

Application Form



INFORMATION DISCLOSURE

You are being introduced to CMC Spreadbet Plc by Pretium Securities Ltd. Your Spread Betting account will be provided by CMC Spreadbet Plc, who are authorised and regulated by the Financial Services Authority. By completing and submitting this form, you will be applying to CMC Spreadbet Plc. All dealing, administration and settlement in relation to these services is undertaken by CMC Spreadbet Plc. You and CMC Spreadbet Plc, not Pretium Securities Ltd, will be counterparties to each transaction.

CMC SPREADBET PLC WILL ONLY CONDUCT BUSINESS WITH A CUSTOMER FOR WHOM IT CONSIDERS SUCH BUSINESS TO BE APPROPRIATE AND IN ASSESSING APPROPRIATENESS, WILL RELY ON THE INFORMATION PROVIDED BY THE CUSTOMER IN HIS/HER APPLICATION FORM. FOR THIS REASON, IT IS ESSENTIAL THAT YOU IMMEDIATELY ADVISE US IN WRITING (FAX OR E-MAIL TRANSMISSION IS ACCEPTABLE) IF THERE IS SUBSEQUENTLY ANY ADVERSE CHANGE IN THE INFORMATION WHICH YOU HAVE PROVIDED.

GENERAL INFORMATION

1. Full Name:
2. Residential Address: (Please refer to last page for further information)
3. E-mail address:
4. Telephone Number:

home:

work:
5. Mobile No:
6. Date of Birth: (Day/Month/Year)

JOINT APPLICATION

For joint accounts each applicant should complete a separate form. Please contact a sales executive who will provide another form if necessary.

INVESTMENT SERVICES

1. Will any other person aside from you personally give us instructions regarding trading to be undertaken on your account, or, will an agent act on your behalf?

Yes No

IF YES, please contact our sales department who will provide you with the necessary forms. N.B. Full proof of address and identity will be required for any third party.

EMPLOYMENT INFORMATION

1. Employer's Name:
2. Employer's Principal Type of Business:
3. Position Held:
4. Is your employer an FSA Member firm? Yes No

IF YES, please advise us of the e-mail address to which copy contract notes should be sent to satisfy personal account trading rules.

5. Does your position require knowledge of derivatives?
Yes No
6. Have you previously worked in a professional position which requires knowledge of derivatives?
Yes No

IF YES, please provide details of employer's name and position held

FINANCIAL INFORMATION

This information is provided to assist CMC Spreadbet Plc in assessing the appropriateness of you trading with us, and will not have the effect of limiting your potential losses to the amount indicated.

1. Approximate Annual Income – All Sources:
2. Approximate Net Worth: (Excluding Private Residence)
3. Approximate value of your Share Portfolio:
4. Are your investment objectives: (please tick one or more of the following)
Speculation Hedge against other investments
5. Spread Betting is a leveraged product, which means you can lose more than your initial investment. Are you able to bear the financial risk associated with this kind of product and does this meet your investment objectives?
Yes No

BANK / BUILDING SOCIETY DETAILS

1. Name of Bank:
2. Name of account:
3. Account number:
4. Sort Code:
5. IBAN Number:
(Non UK Accounts)

PREVIOUS TRADING EXPERIENCE

- Do you understand the nature of margined transactions?
Yes No
- Do you understand the risks involved in margined transactions?
Yes No
- Have you traded any instruments in the last 12 months?
Yes No
- IF YES, how many times have you traded each of the products listed in the last 12 months? And what was your average deal size?

| | No. of Trades | Average Deal Size <small>(please specify currency e.g. £, \$, € etc)</small> |
|---------------------------|---------------|---|
| Shares | _____ | _____ |
| Spread Betting / CFDs | _____ | _____ |
| Foreign Exchange: | _____ | _____ |
| Commodities / Treasuries: | _____ | _____ |
| Financial Futures: | _____ | _____ |
| Options: | _____ | _____ |

- Which Companies have you dealt with?
And was it on an EXECUTION ONLY basis?

| | Company Name | Execution Only | |
|---------------------------|--------------|------------------------------|-----------------------------|
| Shares | _____ | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Spread Betting / CFDs: | _____ | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Foreign Exchange: | _____ | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Commodities / Treasuries: | _____ | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Financial Futures: | _____ | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Options: | _____ | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

KNOWLEDGE AND EXPERIENCE

- Have you ever attended a seminar or course on Spread Betting and/or CFDs?

Yes No

IF YES, please provide details of who the seminar or course was run by

- CMC Markets have provided information on their website (www.cmcmarkets.co.uk) on how Spread Betting works, the risks involved and trading examples. Have you read this information carefully and understood it?

Yes No

- Do you have a numerate based university degree?
(for example: economics, mathematics, physics, engineering, accounting)

Yes No

IF YES, please provide details

- Do you have a relevant professional qualification that you consider would assist your understanding of Spread Betting or leveraged products in general?
(for example: accountancy, legal or Securities and Investment Institute qualifications.)

Yes No

IF YES, please provide details

Please select a reporting currency for your account
i.e £ GBP,

Where did you hear of CMC Spreadbet Plc?

FOR UK RESIDENTS ONLY, you do not need to supply any supporting documents at this stage if you have lived at your current residential address for three (3) years or more.

If you have lived at your current UK residential address for less than 3 years each completed and signed application form must be accompanied by a clear and readable copy of your UK valid photocard driving licence along with a copy of the full counterpart.

If this cannot be provided, please provide a clear and readable photocopy of one (1) document from list A and one (1) from list B below

List A – Proof of identity

Valid passport
Valid photocard driving licence or full paper driving licence
Valid National ID card

List B – Proof of address

Utility bill
Local authority tax bill
Valid driving licence, either part (if not used from list A)
Bank, building society or credit union statement
Most recent mortgage statement

List B documents (with the exception of the Valid Drivers Licence) should be dated from within the last six (6) months. Please note that mobile phone and internet bills, or final demand and reminder letters will not be accepted.

Whilst we do not recommend that you send original documents if you prefer this method then we strongly recommend that you use registered post. We will endeavour to return this to you the same business day of receipt also by registered post.

IMPORTANT

PLEASE NOTE THAT EACH COMPLETED AND SIGNED APPLICATION FORM MUST BE ACCOMPANIED BY THE APPROPRIATE DOCUMENTS LISTED.

PLEASE POST ALL DOCUMENTS TO

**Pretium Securities Ltd (Execution Only)
Beaufort House
15 St. Botolph Street
London EC3A 7DT**

If you have any questions, please call us on +44 (0) 207 613 8380. All Information given will be treated in the strictest of confidence. CMC Markets is the trading name of CMC Spreadbet Plc. Authorised and regulated by the Financial Services Authority, registration no. 173730.

DECLARATIONS

I represent that the information contained in this Customer Account Application is true and accurate and I will promptly notify you in writing if any of the representations contained herein materially change or cease to be true and correct.

I agree that CMC will provide the Services on the terms of the Terms of Business and I have read and understood the Terms of Business.

I understand the nature and risks of Spread Betting and I have read and understood the contents of the Risk Warning Notice.

I can confirm that I have read and accept the Execution Policy.

Signature:

Date (Day/Month/Year):

CMC Markets Data Protection Statement

If I provide you with personal data, I understand that the data will be held securely in accordance with the terms of CMC Markets' Privacy & Security Policy (a copy of which can be accessed on www.cmcmarkets.co.uk or provided on request).

We would like to send you information about CMC Markets' or CMC Group's products or services by text messaging from time to time. If you would like to receive such communications please tick this box

We would like keep you informed by letter and/or electronic mail about CMC Markets our CMC Group's products, services and additional benefits which we believe may be of interest to you. If you do not want us to do so, please tick this box

The list of CMC Group companies can be obtained from www.cmcmarkets.com

I **do not** want to receive further information about CMC Markets or its products and services