



INDIVIDUAL CLIENT APPLICATION FORM

Before completing this application form, please ensure that you have obtained and read the information regarding the products and services provided by Saxo Capital Markets South Africa ("SCMSA") and all relevant terms and policies made available, and updated from time to time, on our website: www.za.saxomarkets.com

Once completed this form should be sent to Saxo Capital Markets South Africa at the business address below or alternatively please email a scanned copy of the completed application to saam@saxomarkets.co.za or fax the completed application to +27 (11) 784 7078.

PLEASE COMPLETE THE FORM IN BLOCK LETTERS AND BLACK OR BLUE INK. ALL ITEMS MARKED WITH * MUST BE PROVIDED.

ALL ITEMS WITH * MUST BE PROVIDED.

Part 1 | Personal Details

NAME AS ON IDENTITY DOCUMENT

*Forenames: First Name Other name(s)

*Surname:

*Gender: Male Female

*Date of Birth: DD / MM / YYYY

*Town/City of Birth:

*Country of Birth:

SA Identity No.:

*Nationality:

*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

*Current residential address:

*House Name/No. & Street

*Town/City:

Province:

*Postcode:

*Country:

*Previous residential address:

*House Name/No. & Street

*Town/City:

Province:

*Postcode:

*Country:

* To comply with FATCA (Foreign Account Tax Compliance Act), SCMSA is required to obtain the following self-certification. For more information please visit www.irs.gov

Are you a US citizen? YES NO

Are you a US residents for tax purposes? YES NO

Part 2 | Contact Details

*Primary Telephone No.: (Including country and area code)

Secondary Telephone No.: (Including country and area code)

*E-mail Address:

Part 3 | Sources of Fund & Employment Details

*Please indicate the source(s) of your funds for trading (select by ticking all that apply):

- Employment
- Pensions(s)
- Inheritance
- Self-employed business
- Savings & Investments only
- Other (Please state):

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

*Employer Name:

*Nature of the Business:

*Job Title:

If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

*Business Name:

*Estimated Annual Turnover:

*Nature of the business:

ALL ITEMS WITH * MUST BE PROVIDED.

Part 4 | Financial Details

*Monthly Income after tax:

*Monthly outgoings (Living expenses, mortgage & other payments):

*Estimated value of all Savings & Investments (i.e. excluding any property ownership value):

Part 5 | Trading Knowledge & Experience

*How long have you continuously traded financial products on an execution-only basis?

- Less than 1 year
- 1 to 5 years
- More than 5 years

*Do you have any industry recognised qualifications for the type of trading that you intend to carry out with us?

- Yes
- No

*Do you work, or have you worked, in the financial sector for at least one year in a professional position which requires knowledge of the nature and risk involved in the type of trading that you intend to carry out with us?

- Yes
- No

*Please indicate how many trades you have undertaken in each of the following products on an execution-only basis during the past 12 months.

NON-MARGINED PRODUCTS

APPROXIMATE
NO. OF TRADES

Shares:

ETFs & ETCs:

Gilts & Bonds:

MARGINED PRODUCTS

FX Rolling Spot:

Options & Futures:

CFDs:

Financial Spread Bets:

Part 6 | Signature & Declarations

Data Protection

To comply with the Anti-Money Laundering Regulations, SCMSA is required to collect information about you and to undertake checks on your identity and residential address, including accessing and using information held in database or other electronic format through other agencies. In carrying out electronic verification, other agencies may retain a record of the enquiry and information given to them. SCMSA may also request further supporting documentation from you to verify these details. Your information may be disclosed to law enforcement agencies and other relevant organisations for crime detection and prevention purposes. SCMSA will add your personal data and details (including email details) to the database of Saxo Bank Group which includes entities that are outside SA. A list of entities within the Group can be found on www.saxobank.com. SCMSA may exchange information or share your personal data with the firm or person who introduced you to us (hereafter the "Introducing Broker") in order to provide the service to you. SCMSA may occasionally contact you by email, telephone or post to give you information about products and services offered that are similar or related to the product and services provided or previously provided to you.

If you do not consent to the use of your personal data in this way, we are unable to consider your application. By submitting the completed application form to us, you consent to the use of your information as indicated.

Declaration

I declare that:

- I have read and understood the nature and the risk of the product(s) that I intended to trade in this account;
- I act in my name as specified on this application form and not on behalf of another party in respect of all matters related to this account. Accordingly, all funds to be deposited and transacted on the account are my own funds;
- I am not aware that I have any health or other conditions that may affect the proper operation of the account;
- I have provided true, accurate and complete information and undertake to update SCMSA of any changes to the information provided without delay;
- I have obtained from the website (www.za.saxomarkets.com), read and understood the following:
 - a) The General Business Terms, (including the product risks disclosure detailed in Schedule 1 to these General Business Terms)
 - b) Order Execution Policy,
 - c) Conflict of Interest Policy,
 - d) Commission, Charges & Margin Schedule
- I consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility;
- I consent for any unexecuted limit orders not to be made public;
- I accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to me by way of posting on the website indicated above; and
- I hereby authorize SCMSA to disclose information about my account(s) with SCMSA to the Introducing Broker. I thus understand and agree that SCMSA is allowed to reveal all information about my account(s) at SCMSA to the Introducing Broker and thus, for instance, send copies of any and all transaction notes, account statements etc. To the Introducing Broker. Furthermore SCMSA is allowed to grant to the Introducing Broker a viewing access to my account(s) with SCMSA which entails that the Introducing Broker by separate login will have access to view any and all details on my account(s) with SCMSA.

Signature:

Date: