

Application Form

CFD

Beaufort Securities Ltd is acting as an introducing broker for the purposes of providing you, the client with a Margined Product, which is provided by CMC Markets UK PLC referred to as "CMC" or "we" or "us", whose registered office is at 133 Houndsditch, London, EC3A 7BX.

CMC MARKETS UK 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 EMAIL TRANSMISSION IS ACCEPTABLE) IF THERE IS SUBSEQUENTLY ANY 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 Markets UK 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. CFDs are 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 CFDs?
Yes No
IF YES, please provide details of who the seminar or course was run by
- CMC Markets UK Plc have provided information on their website (www.cmcmarkets.co.uk) on how CFDs work, 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 CFDs 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 Markets?

I WOULD LIKE TO FUND MY CMC MARKETS UK PLC ACCOUNT WITH PAYMENT BY

- Cheque* Debit Card Credit Card**

*Please make cheques payable to CMC Markets UK Plc and attach to this completed application form. Please note that all cheques take a minimum of 5 working days to clear to your CMC Markets UK Plc account. **Transaction charge applies please contact our helpdesk on 020 7170 8205 for applicable rate.

- Mastercard Visa Delta Switch Solo

Card No.

Start date Expiry date Issue No. Security Code

I hereby authorise you to debit the sum of _____ (amount in figures) _____ (amount in words) to fund my CMC Markets UK Plc Account.

Cardholder's Name:

Signature:

Date:

IMPORTANT

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

PLEASE POST ALL DOCUMENTS TO

Beaufort Securities Ltd
131 Finsbury Pavement
London EC2A 1NT

If you have any questions, please call us on +44 (0) 207 382 8300.
All Information given will be treated in the strictest of confidence.
CFDs are only offered to non US residents.

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 Markets UK Plc 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 CFD trading 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): Beaufort Securities Ltd

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

Beaufort Securities Ltd may use your personal data provided in this Application Form to inform you by letter, telephone (including sending text messages), or computer (including email) about products and services (including those of third parties) which may be of interest to you.

Beaufort Securities Ltd may also share your personal data with [companies within its group companies] and its marketing partners for the same purposes. By completing this Application Form you consent to the use of your personal data in this way unless you notify Beaufort Securities Ltd that you do not want Beaufort Securities Ltd to use or share your personal data for all or some of these marketing purposes. You can do so by contacting the Data Protection Coordinator, 131 Finsbury Pavement, London EC2A 1NT.

Beaufort Securities Ltd, 131 Finsbury Pavement London EC2A 1NT

T +44 (0) 207 382 8300 **F** +44 (0) 207 382 8400 **E** cfdbrokers@beaufortsecurities.com www.beaufortsecurities.com

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I _____ [name] of _____ [address] (the "Client"), as customer of CMC Markets UK Plc (trading as 'CMC Markets') hereby appoint Beaufort Securities Ltd [Agent name] of 131 Finsbury Pavement, London. EC2A 1NT [address] ("the Agent") as my agent with full power and authority to trade upon my express instructions on my account or accounts with CMC Markets (the 'Account(s)') including without limitation to give instructions, open and/or close any trade and to place and/or cancel any order.

I confirm that:

1. The Agent is entitled to have access to all information available on-line relating to the Account(s). the Account(s) and pay to my Agent the amount of, incentive fees and/or brokerage commissions to be paid to the Agent.
 2. I shall be fully responsible for all acts and omissions of the Agent including all trades/orders placed and instructions given by the Agent as if such acts, omissions, trades/orders and instructions were done, made or given by me and as if the Agent was me. 8. This agreement shall continue in full force and effect until CMC Markets receives actual written notice of revocation or termination in accordance with the Terms. Until CMC Markets has received actual written notice of such revocation or termination in accordance with the Terms, the terms of this agreement and all indemnities contained therein shall continue in force.
 - 3.. Notwithstanding that the Agent is still entitled to trade on my Account, I am solely responsible for my Account(s) including without limitation: (a) all monies payable in respect of my Account(s) (whether in respect of trades placed by me, the Agent and/or any other person giving/using my name, Account(s) number and/or password), including any Margin which may be payable, and (b) monitoring my Account(s), open positions and all other factors relevant to calculate Margin and other amounts payable. 9. I acknowledge that CMC Markets may exercise its rights under the Terms (by giving notice to me) to refuse to accept instructions from the Agent and to treat the appointment of the Agent as terminated.
 4. CMC Markets is entitled to rely upon any statement made or other information given by me and/or the Agent (and/or any other person giving my name, Account(s) number and/or Password as the case may be). 10. Notwithstanding the appointment of the Agent, I will be treated as CMC Markets' customer.
 5. If I wish to terminate this appointment of the Agent, I must serve written notices on the Agent and CMC Markets. Service of all notices to CMC Markets must be in accordance with CMC Markets' Terms of Business (the "Terms"). 11. Each of the Agent and CMC Markets shall be entitled to enforce this agreement (jointly and/or severally). No provision of this agreement shall be enforceable under the Contracts (Rights of Third Parties) Act 1999 by a person who is not a party to this agreement.
 6. I hereby expressly ratify and confirm any and all transactions, trades or dealings effected in and for the Account(s) with CMC Markets by the Agent. 12. This agreement (together with the Terms) is the entire agreement between the Agent, CMC Markets and myself in relation to the agency hereby created.
 7. I authorise and direct CMC Markets to deduct from 13. This agreement shall be governed by the laws of England and I submit to the non-exclusive jurisdiction of England.
- In consideration of the foregoing, the parties and/or their authorised representatives signify their agreement by signing below.

SIGNED by: _____

Print Name: _____

CLIENT

The Agent hereby confirms that he:-

1. has read and understood and agrees to the above;
2. accepts his appointment as agent;

SIGNED: _____

Print name and Title: _____

Duly authorised signatory

For and on behalf of **AGENT**

SIGNED: _____

Print name and Title: _____

Duly authorised signatory

For and on behalf of **CMC MARKETS UK PLC**