



# Kauri.

## INDIVIDUAL APPLICATION FORM

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**Physical Address**

Level 8, 25 Bligh Street  
Sydney, NSW 2000  
Australia

**Postal Address**

GPO Box 2348  
Sydney, NSW 2011  
Australia

**Contact**

+61 2 8379 1868  
[info@kauriam.com.au](mailto:info@kauriam.com.au)

Section 1: Primary Account Holder Details

First Name:.....  
Initial:.....  
Last Name:.....  
Date of Birth:.....  
Mobile Number:.....  
Email:.....  
Street Address:.....  
Suburb:.....  
State:.....  
Post Code:.....

Secondary Account holder details (if applicable)

First Name:.....  
Initial:.....  
Last Name:.....  
Date of Birth:.....  
Mobile Number:.....  
Email:.....  
Street Address:.....  
Suburb:.....  
State:.....  
Post Code:.....

Identification:

As part of the account opening process we require a certified copy of either your driver's license or passport.

Passport                      Driver's License

Identification number:

Country of Issue:

Tax File Number:

Identification:

As part of the account opening process we require a certified copy of either your driver's license or passport.

Passport                      Driver's License

Identification number:

Country of Issue:

Tax File Number:



### Security Questions

The answers to these questions will be used to verify the client when requesting information regarding the account.

Name of a School you attended: .....

City you were Born: .....

Grandmothers First Name:Suburb: .....

### Section 2: Regulatory Information for Primary Account Holder

Are you a US Permanent Resident (Green Card Holder)?	Yes	No
Is the main account holder or any immediate family member who resides in the same household, an em-ployee, director or owner of a financial services firm?	Yes	No
Is the main account holder a member or employee of a regulatory or self-regulatory organisation or ex-change?	Yes	No
Has the main account holder ever been the subject of, or initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	Yes	No
Has the main account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority?	Yes	No
Is the main account holder a director, a 10% shareholder or a policy making officer of any publicly traded company?	Yes	No

### Section 3: Financial Information

This information is used to determine the suitability for some investment products. For example, if the primary contact or trust has a net income less than \$50,000 per annum the account holder would not be able to access options or other leveraged products.

Net Worth: .....

Annual Net Income: .....

Total Assets: .....

Total Liabilities including mortgage and credit cards: .....

### Section 4: Investment Experience

Stocks	Years Trading	Extensive	Good	Limited
Options	Years Trading	Extensive	Good	Limited
Currency	Years Trading	Extensive	Good	Limited

**Section 5: Legal Agreements**

The Client agrees, acknowledges and confirms, by signing this Acceptance and Acknowledgement, that:

- a) I/We acknowledge that we have received a Financial Services Guide and copy of the International Securities Trading Terms and Conditions and that I/we have read and understood the contents.
- b) If the application is accepted I/we agree to continue to be bound by the International Securities Trading Terms and Conditions as though entered into between me/us and Kauri Asset Management.
- c) I/we agree to Kauri Asset Management obtaining from a credit reporting agency personal credit information about me/us in relation to this application. This is in accordance with section 18k(1)(b) of the Privacy Act 1988.
- d) I/We consent to the collection, use, disclosure and storage of my/our personal information in accordance with the Kauri Asset Management Privacy Policy as amended from time to time.
- e) I/We understand and acknowledge that the law requires signatories to provide true and correct information and state all the names by which they are commonly known. I also understand that the law prohibits the use of false names, as well as the giving, use or production of false or misleading information or documents in connection with the provision of financial services and the making, possession or use of a false document in connection with an identification procedure.
- f) I/We declare that the details as shown on this form are complete and correct.
- g) I/We acknowledge that we have received the Interactive Brokers Australia Customer Agreement and the IB Disclosure of Risks of Margin Trading and that I/we have understood the contents and agree to be bound by the terms and agreements.
- h) I/We consent to receiving further information about Kauri Asset Management services or products
- i) I/We consent to the executing broker collecting fees and passing on those fees to Kauri Asset Management

**Signature of Primary Applicant**

Signature: .....

Name: .....

Date: .....

**Signature of Secondary Applicant (if applicable)**

Signature: .....

Name: .....

Date: .....