

Important Information

You need to have an existing CHESS sponsored Share Trading Account to open an Exchange Traded Options Account.

You can obtain an application form from this website. **Self-Managed Super Funds (SMSF) are limited to Tier 1 access.**

Before you start

Ensure that you have read the Exchange Traded Options Product Disclosure Statement (PDS). You should also have read the following:

- The ASX Understanding Options Trading booklet.
- The ASX Margins booklet.

Client Details

Do you have an existing CHESS sponsored Share Trading Account?

<input type="radio"/> Yes	Please provide the details below
<input type="radio"/> No	Please attach this application form to your Share Trading Account Application. The entities applying for the Exchange Traded Options Trading account have to be identical with those on the Share Trading Account Application. An entity cannot have an Exchange Traded Options Trading account without a Share Trading Account in place.

I/We have a Share Trading Account.

Username	Trading account number
<input type="text"/>	<input type="text"/>
Account name	Designation – <i>If applicable</i>
<input type="text"/>	<input type="text"/>

Personal Details

Applicant/Director/Trustee 1

In what capacity are you completing this section?

- Individual
 Director/Secretary
 Trustee
 Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

Other name/s commonly known by – *If applicable*

Male Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode	Country – <i>If not Australia</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Tax Residency Information

Instructions for completion:

- List all your countries of tax residency and your TIN for that country or 'Reason Code' if no TIN is available.
- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- If you are a US citizen or resident you must include USA as a country of tax residency.
- Tax residency information is not required for Publicly Listed Companies or Company Trustees except where lodging managed funds as collateral.

For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)						
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

Applicant/Director/Trustee 2

In what capacity are you completing this section?

- Individual
 Director/Secretary
 Trustee
 Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname
 Date of birth – DD / MM / YYYY / /

Other name/s commonly known by – *If applicable*

Male Female

Residential Address Same as Applicant/Director/Trustee 1 **OR** complete the following

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode
 Country – *If not Australia*

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- Where the organisation has no residence for tax purposes, provide the country in which key management decisions are made.
- For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)			
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN			
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3		TIN:		OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Applicant/Director/Trustee 3

In what capacity are you completing this section?

- Individual
 Director/Secretary
 Trustee
 Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY / /

Other name/s commonly known by – *If applicable*

Male Female

Residential Address Same as applicant 1 **OR** complete the following

Street address – *Cannot be a PO Box*

Suburb State Postcode Country – *If not Australia*

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- Where the organisation has no residence for tax purposes, provide the country in which key management decisions are made.
- For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

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3		TIN:		OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Company Details

Company name

What type of Company is applying?

Public
 Proprietary/Private

Is the Company's primary business activity investing?

Tick "Yes" if the Company earns more than 50% of its total income from investment activities (e.g. rent, interest or dividends); or more than 50% of the Company's assets produce or are held for producing investment income.

Yes
 No

If Yes, complete the next question

Are any Company Applicant/s, Director/s or Shareholder/s tax resident/s, citizen/s or a resident/s of country/ies other than Australia?

Yes
 No

US tax residents, please complete and return the supplementary Entity Classification (W-8BAR-E) Form' with the completed Account Application Form.

Residential Address

Same as registered address
 Same as applicant 1 **OR** complete the following

Street address – *Cannot be a PO Box*

Suburb	State	Postcode	Country – <i>If not Australia</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- Where the organisation has no residence for tax purposes, please provide the country in which key management decisions are made.
- Tax residency information is not required for Publicly Listed Companies or Company Trustees except where lodging managed funds as collateral.
- For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency	Tax Identification Number (TIN)			
Please provide all country/ies of tax residency. The organisation must be a tax resident of at least one country.	1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN			
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2	TIN:	<input type="text"/>	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
3	TIN:	<input type="text"/>	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Beneficial Owner Details

Are there any individuals who own 25% or more of the shares in the company, either directly or indirectly?

<input type="radio"/>	Yes – Provide details of all such individuals in the sections below.
<input type="radio"/>	No – Answer question B

Are there any individuals who own 25% or more of the shares in the company, either directly or indirectly?

<input type="radio"/>	Yes – Provide details of all such individuals in the sections below.
<input type="radio"/>	No – In that case, provide details below of any individuals who are responsible for the strategic or financial decisions of the company (that is, the individual who exercises primary control over the company because of the position they hold, e.g. the CEO, Managing Director or equivalent).

Please note the details of at least one individual must be provided in the section below.

For any additional individuals please photocopy this section, complete and attach to your application.

Individual 1

Same as Applicant/Director/Trustee 1 **OR** complete the following

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

Email address – *Optional*

Male Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode	Country – <i>If not Australia</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- Where the organisation has no residence for tax purposes, provide the country in which key management decisions are made.
- For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)			
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN			
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3	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Individual 2

Same as Applicant/Director/Trustee 2 **OR** complete the following

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname
 Date of birth – DD / MM / YYYY / /

Email address – *Optional*
 Male Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode
 Country – *If not Australia*

Tax Residency Information

For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)			
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN			
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3	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Individual 3

Same as Applicant/Director/Trustee 3 **OR** complete the following

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname
 Date of birth – DD / MM / YYYY / /

Email address – *Optional*
 Male Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode
 Country – *If not Australia*

Tax Residency Information

For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)			
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3		TIN:		OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Trust Details

Charity
 Informal
 Family
 Minor
 Other

Full trust name – *As per Trust Deed*

Trust Industry Category and Type

See the [Job and Industry Classification List](#) on our website.

Trust industry category

Trust industry type

Is the trust's primary business activity investing?

Tick "Yes" if the Trust earns more than 50% of its total income from investment activities (e.g. rent, interest or dividends); or more than 50% of the Trust's assets produce or are held for producing investment income.

Yes
 No

Registered Address of the Trust

Same as Applicant/Director/Trustee 1

Same as Company **OR** complete the following

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- Where the organisation has no residence for tax purposes, please provide the country in which key management decisions are made.
- For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)				
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Suitability Questionnaire Details

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- For Joint and Company/Trust accounts, we require up to 3 account holders to complete and satisfactorily pass our ETO Suitability Questionnaires.
- For Self-Managed Super Fund (SMSF) accounts, we require ALL account holders to complete and satisfactorily pass the ETO Suitability Questionnaires. Where there are more than 3 account holders, please repeat one of the additional Suitability Questionnaires found on the ETO forms section of our website.
- Suitability Questionnaire 1 is below while Suitability Questionnaires 2 and 3 are found on the ETO forms section of our website.

Please indicate the individual completing Suitability Questionnaire 1 below:

Suitability Questionnaire 1

Please indicate which level of access you require.

<input type="radio"/> Tier 1	Allows you to trade Long Puts or Calls and Covered Calls as single leg and rollover Covered Calls using Multi Leg orders. (Complete questions 1 to 10)
<input type="radio"/> Tier 2	Allows you to trade Long Puts or Calls and write Puts or Calls as single or Multi Leg orders. Ratio spreads may be traded over the phone only. (Complete questions 1 to 18)

1. Have you traded Exchange Traded Options before?	<input type="radio"/> Yes – Go to question 2	<input type="radio"/> No – Go to question 6		
2. How many times have you traded Exchange Traded Options in the last 12 months?	<input type="radio"/> 0	<input type="radio"/> 1-2	<input type="radio"/> 3-5	<input type="radio"/> 6+
3. Have you previously written Covered Options (i.e. scrip covered)?	<input type="radio"/> Yes	<input type="radio"/> No		
4. Have you previously written Uncovered Options?	<input type="radio"/> Yes	<input type="radio"/> No		
5. Why do you wish to trade Options? Please refer to the latest ETO Target Market Determination for guidance if applicable.	<input type="radio"/> Hedging/risk management	<input type="radio"/> Income generation		
	<input type="radio"/> Speculation	<input type="radio"/> Other		
If 'Other' please give details				

6. Assuming no public holidays, if you buy an options contract on Monday the 1st, what day will the funds be debited from the linked account?

- Monday the 1st
- Tuesday the 2nd
- Wednesday the 3rd
- Thursday the 4th

7. You hold a European call and wish to acquire the stock before the expiry date. Are you able to exercise your call before the expiry date?

- No - European options can only be exercised on the expiry date
- Yes - European options can be exercised at any time

8. What will happen if your long call over ABC stock expires in the money and you take no-action?

- Your position will be cash settled
- Your call will be auto-exercised, you will receive stock and will be required to pay the strike price
- Nothing, your option will just expire
- You will need to buy additional ABC stock

9. On Monday ABC stock is trading at \$9.00.


You buy a \$10.00 ABC call for \$0.25 expiring on Thursday. On Thursday the price of ABC closes at \$9.95. How much have you made or lost?

- Gain: \$0.95 per contract (the amount ABC has appreciated)
- Loss: \$0.05 per contract (the difference between the ABC option strike price and ABC stock price)
- Loss: \$0.25 per contract (the call has expired worthless as the stock price of ABC is less than the strike price)
- Gain: \$1.00 per contract (the difference between ABC stock on Monday and the strike price)

10. You buy an ABC put though do not hold ABC stock. On the day of expiry the stock price of ABC closed below the strike price of the put and is exercised. You are advised by your broker that your position has been exercised and as such you need to deliver ABC stock. What action do you need to take?

- You must sell ABC the stock - As you have been assigned you must sell the stock on market (this will not happen automatically)
- You must buy the stock - As you do not hold the stock and are required to deliver ABC stock, you will need to buy stock on market
- No need to take any action

Tier 2 Trading Applicants

 This section to be completed by Tier 2 applicants only.
Tier 2 trading allows you to place more complex orders such as short calls or puts.

Financial Details

11. What is your approximate annual gross income (pre-tax)?

- Less than \$50,000 \$50,000 - \$100,000 Greater than \$100,000

12. Detail the approximate value of your substantial assets and liabilities.

	Applicant/Director/ Trustee 1	Applicant/ Director/ Trustee 2	Applicant/Director/ Trustee 3
Assets	Value	Value	Value
Investment properties - <i>Value</i>	\$	\$	\$
Investment properties - <i>Quantity</i>			
Cash in bank accounts	\$	\$	\$
Listed shares – <i>Unencumbered</i>	\$	\$	\$
Other assets	\$	\$	\$
Total assets (A)	\$	\$	\$
Liabilities	Value	Value	Value
Name of mortgagor			
Property mortgage – <i>Primary residence and investment property</i>	\$	\$	\$
Credit Card – <i>Current balance</i>	\$	\$	\$
Line of credit/overdraft – <i>Drawdowns</i>	\$	\$	\$
Other debts outstanding – <i>e.g personal loans, car loans</i>	\$	\$	\$
Total liabilities (L)	\$	\$	\$
Net assets (A) – (L)	\$	\$	\$

13. If additional margin is needed to cover a position, what actions can your broker take:

- Call on you to lodge additional cash or stock
- Automatically lodge additional cash or stock on your behalf
- Sell stock or close existing options positions on your account to recover funds and reduce exposure
- All of the above

14. All else remaining constant, an increase in volatility for the underlying will lead to:

- Calls and puts become more expensive
- Calls become more expensive, puts become cheaper
- Puts become more expensive, calls become cheaper
- Calls and puts become cheaper

15. You sell 1 x \$5.00 ABC call for \$0.35 at 100 shares per contract. What is the premium received excluding brokerage and fees?

- \$5.00
- \$500.00
- \$35.00
- \$0.35

16. You hold the below spread over XYZ:

Buy 15 XYZ January \$4.00 Put @ \$0.40
Sell 15 XYZ January \$6.00 Put @ \$2.00

What is the most likely outcome if you close (sell) the \$4.00 put?

- Your margin obligations will increase
- You will make a loss
- You will make a profit
- You will no longer be required to pay margin

17. You open the below spread over ABC:

Buy 5 ABC January \$10.00 Call @ \$2.00
Sell 5 ABC January \$14.00 Call @ \$0.40

What is the net price received or paid for the spread?

- Debit of \$2.40 paid
- Debit of \$1.60 paid
- Credit of \$1.60 received
- Credit of \$2.40 received

18. If you are assigned on a sold ABC call and do not hold the stock, what action do you need to take?

- Deliver cash instead
- Buy ABC stock immediately
- No action is required. The position has already been assigned
- Sell additional calls

OFFICE USE ONLYPlease tick one: Pass Fail

Officer's name

Client's Acknowledgement and Signature/s

- I/We have read the Exchange Traded Options PDS and the Client Agreement for Exchange Traded Options in the Exchange Traded Options PDS. If the application is accepted, I/we agree to abide by that Agreement.
- I/We confirm that the information I/we have provided on the application form is true and correct and that I/we will promptly advise the participant if any of the information has changed
- I certify that I am authorised by, and have the consent of the organisation and any Beneficial Owners to provide this information.
- I am authorised by each Beneficial Owner to provide the information on their behalf and they have confirmed to me that the information provided about them is true and correct. I confirm I have made them aware that this information and information relating to the account may be provided to the tax authorities.
- I/We have received or accessed the ASX Understanding Options Trading booklet.
- I/We have read Clause 30 of the Client Agreement for Exchange Traded Options in the Exchange Traded Options PDS relating to email confirmations. I/We acknowledge and consent that on supplying an email address, it will be used as the sole method of communication as detailed in that section.
- I/We have read and accept Clause 33 of the Client Agreement for Exchange Traded Options in the Exchange Traded Options PDS relating to the obligations and liabilities I/we will have to the Security Trustee.
- I/We have read and understood the Risk Disclosure Statement in the Exchange Traded Options PDS.
- I/We have read the Terms and Conditions in the Exchange Traded Options PDS.
- I/We have read the notice regarding the collection, use and exchange of my/our personal information as set out in the Customer Information and Privacy section of the Exchange Traded Options PDS and the Participant's Privacy Policy.
- I/We agree and confirm that the settlement method will be identical to the one used on my/our Share Trading Account.
- I/We agree to become CHESSE Sponsored by the Participant and agree to abide by the CHESSE Sponsorship Terms and Conditions of the Exchange Traded Options PDS.
- I/we agree to a limited range of Exchange Traded Options trading strategies until I/we have successfully completed and answered all required Tier 2 questions, after which more complex strategies can be entered.
- I/We agree that references to 'Client', 'you' and 'your' in the Client Agreement for Exchange Traded Options means the person, persons or company to whom the Participant provides the Services and where relevant includes my authorised representative. Authorised representative includes the adviser named in the Adviser Signature section of this Application Form who is appointed and authorised by me, and accepted by the Participant to act on my behalf in connection with this Exchange Traded Options PDS.

Tier 2 Applicants – Additional Acknowledgements

- I/We understand the term 'Leverage' as defined in the Risk Disclosure Statement in the Exchange Traded Options PDS, and have considered and accept all the risks involved when writing a Call or Put Option.
- I/We have read the ASX Margins booklet and are aware of my/our margin obligations when writing Call or Put Options.
- I/We understand that if I/we intend to lodge stock to meet my/our margin obligations that the stock will be subject to a security interest granted to ASX Clear and that I/we authorise the Participant to grant such security interest under and in accordance with the ASX Rules.
- I/We understand that the Participant may call for proof of my/our ability to service the obligations of my/our open short positions. I/We agree to provide any requested financial statements and understand the Participant may restrict my/our trading activity until I/we have done so.
- I/We understand that the Participant requires all trades to settle through the same settlement arrangement as nominated on my/our Share Trading Account.
- I/We agree that when I/we give an instruction to write a Call or Put Option, that I/we have considered all information relating to that position that is available to the market (including but not limited to Financials, Announcements, Dividends (etc) and that I am/we are responsible for the instructions that I/we confirm for placement.
- I/We agree that when I/we enter an Options position, that at all times I/we will be responsible for that position up until that position has been closed in full, and that I am/we are required to meet all settlements on T+1.
- I/We understand that corporate actions and other anomalies that occur in the market without prior warning may adversely affect my/our position.
- I/We agree that at any time without giving prior notice, the Participant has the right to reduce the trading level of my/our account and/or close any open positions if it is considered to be in the Participant's reasonable interest to do so.

By signing this Application in the place/s provided, I/we acknowledge the correctness of these statements.

Tick this box if you do not wish to receive any promotional information (including information about initial public offers).

Applicant/Director/Trustee 1

Full name

Date – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Applicant/Director/Trustee 2

Full name

Date – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Applicant/Director/Trustee 3

Full name

Date – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Adviser Signature

As the Adviser of

I agree that the above client/s:

- Have been provided with and read, the Participant's Financial Services Guide prior to receiving any financial service from the Participant.
- Have read, acknowledged and understood 'Client Acknowledgements and Signatures' section of this application.

For Adviser, please sign here:

Full name

Date signed – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Explanatory Notes

1. Tax Identification Number (TIN)

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries.

A compilation of links to information about TINs for many countries can be found here: <http://www.oecd.org/>

Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in

United Kingdom, Permanent Account Number (PAN) in India, IRD Number in New Zealand, and Tax Reference Number (TRN) in Malaysia.

List all your countries of tax residency and your TIN for that country or if no TIN is available, select a reason code. If you have listed Australia as a country of tax residency, insert reason code C in the TIN column.

If you are a US citizen or resident, you must include USA as a country of tax residency.

Return to: [Personal Details](#) | [Company Details](#) | [Trust Details](#)

Exchange Traded Options (ETO) trading is a service provided by Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ("AUSIEX"), a wholly owned subsidiary of Nomura Research Institute, Ltd ("NRI"). AUSIEX is a Market Participant of ASX Limited ("ASX") and Cboe Australia Pty Ltd ("Cboe"), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. AUSIEX is not authorised to carry on business in any jurisdiction other than Australia. Accordingly, the information contained in this document is directed to and available for Australian residents only.

ETO trading is a service provided by AUSIEX, the Issuer of ETO products. Your trading in ETOs is conducted by AUSIEX.

For full details, please refer to the ETO Product Disclosure Statement ("PDS") and the Target Market Determination ("TMD") available on the forms section of our website where you can either download a current version or request us to mail one to you.

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