

Client ID

| | | | | |
|--|--|--|--|--|
| | | | | |
|--|--|--|--|--|

Direct Multi-Market Access
CLIENT AGREEMENT FORM
With State One Stockbroking Ltd

Amscot Trading Account Name

Account Designation (if applicable)

I/We hereby declare that I/We understand and agree:

- That Cboe Australia operates an independent equity market to that of the ASX.
- This agreement provides access to place direct orders on any licenced execution venue across any market that Amscot / State One is a participant of and provides direct online access to. Some venues may be restricted for online trading at State Ones sole discretion.
- This agreement will provide access to direct order placement on the following execution venues; which may be amended at a later date.
 - ASX Trade Match (TM)
 - ASX Centre- Point (ASXCP)
 - Cboe – CXA
 - Cboe Mid-Point
- Trading Operations of the Cboe Market may vary to the ASX Market including but not limited to the below listed variations
 - The Cboe Market is a Day Only Market, any orders placed in the market will expire at close of trade.
 - Cboe Market does not operate or participate in the opening and closing auction phases of the ASX. Order placed into the Cboe market during these periods will be placed into the continuous trading market and have the opportunity to be executed. For more information on Cboe trading hours please see <https://www.Cboe.com.au/trading-information/trading-hours>
 - For more information on the Cboe market operations please see <https://www.Cboe.com.au/trading-information>
- Trading activity on any or all exchanges requires adherence to all Amscot and State One Client Agreements, Terms and Conditions, and Policies, including but not limited to the Amscot Online Trading and Market Integrity Agreement. This includes any reference to the Market or ASX Market or Cboe Market having the same meaning and any licensed execution venue.
- Since Clearing and Settlement is still facilitated by the ASX, any stocks you buy through Cboe will settle on your CHESS HIN or directly with the share registries. This means you can sell the stock back through either exchange
- Access to and use of Direct Multi Market order placements is not without risk. Risk include but are not limited to order trading at prices other than what is available on another market or execution venue. The use of Direct Multi Market order placement is at your own risk.
- In addition and subject to those provisions of the Trade Practices Act and any other rights implied by law

which cannot be excluded by agreement between you and us, we exclude all liability in contract, tort (including negligence) or otherwise relating to or resulting from use of Direct Multi Market Order Placement and for any loss incurred by you or a third party directly or indirectly, including as a result or arising out of:

- a. failure to provide the Multi -Market access on a continuous basis;
- b. any interruptions, delays, failures, or inaccuracies in the processing of your order including as a direct or indirect result of:
 - i. an unexpected or sudden fall or rise in the market.
 - ii. a large volume of Orders received by us,
 - iii. the time taken for processing an order into the market; or
 - iv. a dispute concerning your Direct Multi Market Order.
- Direct placement of orders on any market will have the effect of overriding certain terms of the Amscot / State One Best Execution Policy; as such, signing this agreement is considered a formal request to Opt-Out of the Amscot / State One Best Execution Policy.
- Cboe and ASX operate different compensation funds that provide protection for retail investors in the circumstances defined in the Corporations Act and Regulations. The Cboe compensation fund covers losses resulting from defalcation or fraudulent misuse of your money, property or authority by a Cboe participant, subject to certain exceptions. If you do not expressly or impliedly instruct us to execute your trading instructions on the Cboe market, the Cboe fund will not apply. In this case, the National Guarantee Fund (NGF) may apply, provided the loss is connected to the ASX market and is covered by the NGF claims provisions. The NGF claims provisions are set out in Division 4 of Part 7.5 of the Corporations Act and Regulations.
- I/We have understood Cboe Operating rules – Fair and orderly market.
<https://www.cboe.com.au/wp-content/uploads/2022/02/CXA-Operating-Rules-v1.91.pdf>
- This agreement/ rules should be read in conjunction with the Market Integrity Rules and the Corporations Act.

ACKNOWLEDGEMENT AND SIGNATURE

| Applicant 1 or Director | Applicant 2 or Director/Company Secretary |
|-------------------------|---|
| Name: | Name: |
| Signature: | Signature: |
| Date: | Date: |

Please send the completed form to:

Amscot Stockbroking
PO BOX 7625
CLOISTERS SQUARE WA 6850

Or Email: amscot@amscot.com.au