

i This form uses JavaScript for optimal performance. Please ensure you have this enabled.
Please refer to the end of this document for submission instructions, [explanatory notes](#) and [help](#).

1. Which legal entity would you like to open the account in?

Individual Joint

2. Personal Details – Applicant 1

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

Street address – *Cannot be a PO Box*

Suburb State Postcode

Country – *If not Australia*

Postal Address

Same as residential address

Street address

Suburb State Postcode

Country – *If not Australia*

Preferred Contact Method

Email address – *Mandatory*

Mobile number – *Mandatory*

Home number

Work number

Preferred contact number Mobile Home Work

Tax File Number or Exemption Code

See [explanatory notes #1](#) at the end of this document.

Tax File Number or Exemption Code – ### - ### - ###

Job Category and Type

Refer to the [Job and Industry Classifications List](#) available on the website for a list of acceptable Job Categories and Types.

Job category

Job type

2. Personal Details – Continues on the next page


Sole Trader Information – *If applicable*

See [explanatory notes #1](#) at the end of this document.

Full business name – *If any*

ABN (Australian Business Number) – ## - ### - ### - ###

Online Access – *Mandatory – If you have an existing username this will be used*

 It is mandatory for you to provide a temporary password for online access. You will need this password the first time you login.

Password

Identification

Select one of the options below:

If you are an existing customer, please provide your username below:

 I will attach certified copies of **two** of the following items to this application: Australian Driver Licence, Passport, Medicare Card.

By ticking this box and providing copies of your ID you consent to the electronic verification of your ID documents as outlined in section 6.

Overseas Applicants Only

Reason for seeking account in Australia

2. Personal Details – *Applicant 2*

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

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode

Country – *If not Australia*

Postal Address

Same as residential address

Street address

Suburb
 State
 Postcode

Country – *If not Australia*

2. Personal Details – *Continues on the next page*

Preferred Contact Method

Email address – *Mandatory*

Mobile number – *Mandatory*

Home number

Work number

Preferred contact number Mobile Home Work

Tax File Number or Exemption Code

See [explanatory notes #1](#) at the end of this document.

Tax File Number or Exemption Code – ### - ### - ###

Job Category and Type

Refer to [Job and Industry Classifications List](#) available on the website for a list of acceptable Job Categories and Types.

Job category

Job type


Sole Trader Information – *If applicable*

See [explanatory notes #1](#) at the end of this document.

Full business name – *If any*

ABN (Australian Business Number) – ## - ### - ### - ###

Online access – *Mandatory – If you have an existing username this will be used*

 It is mandatory for you to provide a temporary password for online access. You will need this password the first time you login.

Password

Identification

Select one of the options below:

<input type="radio"/>	If you are an existing customer, please provide your username below:
<input type="radio"/>	I will attach certified copies of two of the following items to this application: Australian Driver Licence, Passport, Medicare Card.

By ticking this box and providing copies of your ID you consent to the electronic verification of your ID documents as outlined in section 6.

Overseas Applicants Only

Reason for seeking account in Australia

3. CHESS Registration Address

Same as Applicant 1 postal address **OR** Same as Applicant 2 postal address **OR**

Street address

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

4. Settlement Options

What account would you like to use for share purchases and settlements?

Bank Account OR

Account name	BSB	Account number
<input type="text"/>	<input type="text"/>	<input type="text"/>

i The nominated bank account must be in the same name provided in this application.

Third Party Settlement – *For example, a third party Margin Loan or WRAP Account.*

Third party settlement provider (e.g. margin lender)	Account name
<input type="text"/>	<input type="text"/>
Account number	Settlement PID
<input type="text"/>	<input type="text"/>
Third party contact person – <i>If known</i>	Third party contact number – <i>If known</i>
<input type="text"/>	<input type="text"/>

5. Issuer to Broker Sponsorship

Transfer my/our Issuer Participant Sponsored Holdings to the Participant – *Please attach copies of all relevant holdings statements*

Securityholder Reference Number (SRN)	ASX code or security name	Qty
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

I/We authorise the Participant to convert the above listed holding/s into my/our share trading account.

i The name and registration detail that appears on your current registered holdings must be the same as that which appears on your share trading account. If this requirement is not met any request to transfer holdings may be delayed or rejected.

Broker to Broker Share Transfer

Existing broker name	PID – #####
<input type="text"/>	<input type="text"/>
HIN – #####	A/C – #####
<input type="text"/>	<input type="text"/>
Third party contact person – <i>if known</i>	Third party contact number – <i>if known</i>
<input type="text"/>	<input type="text"/>
New broker name	PID – #####
Australian Investment Exchange Ltd	06381

In the event of any mismatch of registration details, I authorise the Participant to make changes to my Holder Identification Number (HIN) registration details in accordance with the information I have provided in my application form.

Transfer Instructions

- Transfer all Broker Sponsored Holdings to the Participant (we will transfer your HIN) **OR**
- Transfer only the following existing Broker Sponsored Holdings to the Participant.

ASX code or security name	Qty
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

6. Declaration and Signatures

All applicants must sign this declaration.

Applicant/s Declaration

I/We the undersigned (being the applicant/s):

1. Declare that the information I/we provided to you in my/our application is complete and correct and acknowledge that it will form part of the contract for each product I/we are applying for;
2. Acknowledge that the name of individual persons given in this application are true and correct and that the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure;
3. Consent to the collection, use and exchange of my/our personal information as set out in the Customer Information and Privacy sections of the Terms and Conditions for each product I/we are applying for;
4. Have obtained the consent of any individual/s whose personal information is provided in this application. They acknowledge and consent to the collection, use or exchange of their information in accordance with the Participant's Privacy Policy.
5. AUSIEX is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before AUSIEX can provide you with the services or products for which you've applied:
 - a. I/We consent to having electronic identification performed using personal details and identification documents I/we have provided, and understand that providing false or misleading information about my/our identity/ies is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
 - b. I/We consent to having my/our personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
 - c. I/We understand that my/our personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
 - d. As part of the electronic identification process, I/we permit these external organisations to record, use and disclose my/our information in accordance with their own privacy policies and legal obligations. I/We understand that AUSIEX and its outsourced providers will access records held about me/us by

these external organisations only for the purpose of matching the identifying information I/we have chosen to provide.

- e. I/We consent to providing my/our name/s, address/es and date of birth to selected credit reporting agencies to match this information against their records. I/We understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You do not have to consent to electronic verification. If you do not want to be verified electronically, you have the option to be identified by sending in your original certified copy of identification to us via post.

Declaration to the Share Trading Terms and Conditions

1. I/We acknowledge that we have been supplied with, and read, the Participant's Financial Services Guide, Best Execution Policy and Share Trading Terms and Conditions prior to receiving any financial service from the Participant.
2. I/We agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement. I/We have read and agree to accept and abide by the terms of the Agreement, and have been supplied with, read and understood the written explanation of the implications of those terms.
3. I/We authorise and request Australian Investment Exchange Ltd (APCA User ID no. 093993 – Debit and 093 992 - Credit) to arrange for funds to be debited from/credited to my/our accounts as specified in this Application through the Bulk Electronic Clearing System (BECS). I/We acknowledge that this authority is governed by and will remain in force in accordance with the Direct Debit/Credit Request Service Agreement section of the Terms and Conditions governing each product I/we are applying for.
4. I/We agree for the Participant to remit funds to my/our choice of Nominated Bank Account upon my/our request.
5. I/We agree that my/our nominated representative/s is/are bound by these Terms and Conditions.
6. I/We agree for the Participant to send my/our Confirmations, Trading Account information and Statements to me/us electronically.
7. I/We declare that I/we have the legal capacity to make these declarations and accept the conditions. I/we agree and enter into the agreements referred to in the points above.
8. I/We acknowledge/certify that the entity's activities and classification that I have provided is complete and correct and that I will advise the Participant immediately if such information is to change.

Applicant 1

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Applicant 2

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

 If there are more than 2 applicants, please take a copy of this section, complete and attach to your application.

Explanatory Notes

1. Australian Business Number (ABN), Tax File Number (TFN) or Exemption Code

Providing your ABN, TFN or Exemption Code is not mandatory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy.

If you quote your TFN or ABN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Corporation, the provider of your cash management account, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the Trading account.

Return to: [2. Personal Details](#)

Share Trading is a service provided by Australian Investment Exchange Ltd (the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a participant of the ASX Group and Chi-X Australia.

How to submit your documents

Once completed and signed,
please scan and email the form to

✉ support@sharetrading.netwealth.com.au

📍 **Netwealth**
Locked Bag 3005
Australia Square NSW 1214

📞 1800 888 223
🌐 sharetrading.netwealth.com.au

7. Additional Authority to Trade – Complete this section if you wish to authorise someone else to trade and/or conduct transactions on your behalf.

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

Street address – Cannot be a PO Box
 Suburb State Postcode
 Country – If not Australia

Postal Address

Same as residential address

Street address
 Suburb State Postcode
 Country – If not Australia

Preferred Contact Method – Must be applicants details

Email address – Mandatory

Mobile number – Mandatory
 Home number
 Work number

Preferred contact number Mobile Home Work

Job Category and Type

Refer to [Job and Industry Classifications List](#) available on the website for a list of acceptable Job Categories and Types.

Job category
 Job type

Identification

Select one of the options below:

- If you are an existing customer, please provide your username below:
- I will attach certified copies of **two** of the following items to this application: Australian Driver Licence, Passport, Medicare Card.

By ticking this box and providing copies of your ID you consent to the electronic verification of your ID documents as outlined in the Declaration Section

Online access – Mandatory – If you have an existing username this will be used

It is mandatory for you to provide a temporary password for online access. You will need this password the first time you login.

Password

Additional Authority to Trade Declaration & Signature/s

All applicants must sign this declaration.

I/We authorise the Additional Authority to Trade set out below to act on my/our behalf in connection with the account including the following:

- a. To have access to, receive, and enquire about information pertaining to an account;
- b. To acquire, buy, deal with, dispose of or sell any financial products;
- c. To provide authorisation to make and receive payment for any financial product transactions and attendant expenses by any means whatsoever and to give goods receipts and discharges for the proceeds of sales on financial products and other monies;
- d. To execute all contracts and other documents necessary or proper for the custody dealing and transfer of financial products and related matters;
- e. To receive, hold, arrange custody of evidence of title to financial products;
- f. To exercise all rights, privileges, duties and obligations now or in the future with regard to transacting in financial products that pertain to me as holder of financial products.

All applicants please sign below

I/We:

- a. Acknowledge that I/we are responsible for and bound by the instructions that the Authority to Trade gives the Participant, and I/we indemnify the Participant in relation to the actions of my/our authorised agent;
- b. Acknowledge that it is my/our obligation to be aware of any activity undertaken on my/our behalf by the Authority to Trade;
- c. Agree that I/we will not provide my/our personal login details to the Authority to Trade, instead relying on the Participant to issue relevant account access to the Authority to Trade;
- d. Authorise and request the Participant to accept and act upon any instructions issued by the Authority to Trade pursuant to this authority and undertake to ratify whatever the signatory lawfully does or causes to be done pursuant to this authority;
- e. Understand the appointment of an Authority to Trade remains effective until I/we revoke it.

Applicant 1

Full name

Date – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

Applicant 2 – *If applicable*

Full name

Date – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

 If there are more than 2 applicants, please take a copy of this section, complete and attach to your application.

8. Additional Authority to Trade declaration and signature

I/We understand and acknowledge that:

- The name of individual persons given to the Participant are true and correct and that the law prohibits the use of false names, as well as the giving or use of a false document in connection with an identification procedure;
- Declare that my particulars (including identification details) as shown on this form are complete and correct;
- Acknowledge that the Participant collects my particulars in order to allow me to exercise this authority; and
- Acknowledge that I have received and agree to be bound by the Terms and Conditions governing each product nominated in this form and consent to the collection, use and exchange of my/our personal information as set out in the Customer Information and Privacy section of those Terms and Conditions.

Identity Verification

AUSIEX is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before AUSIEX can provide you with the services or products for which you've applied. By ticking this box on this form:

- I consent to having electronic identification performed using personal details and identification documents I have provided, and understand that providing false or misleading information about my identity is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
- I consent to having my personal details and identification documents matched to information held by the issuer or Official Record Holder via third party systems.
- I understand that my personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
- As part of the electronic identification process, I permit these external organisations to record, use and disclose my information in accordance with their own privacy policies and legal obligations. I understand that AUSIEX and its outsourced providers will access records held about me by these external organisations only for the purpose of matching the identifying information I have chosen to provide.
- I consent to providing my name, address and date of birth to selected credit reporting agencies to match this information against their records. I understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You do not have to consent to electronic verification. If you do not want to be verified electronically, you have the option to be identified by sending in your original certified copy of identification to us via post.

Additional Authority to Trade

Full name

Date – DD / MM / YYYY

 / /

Signature – *Must be signed pen to paper*

How to submit your documents

Once completed and signed,
please scan and email the form to

✉ support@sharetrading.netwealth.com.au



Netwealth

Locked Bag 3005
Australia Square NSW 1214



1800 888 223



sharetrading.netwealth.com.au