

- i**
- Providing your ABN, TFN or Exemption Code is not compulsory, 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.
 - Customers are required by law to provide details of their country/ies of tax residency as part of our obligations under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).
 - Refer to the end of this document for submission instructions, [explanatory notes](#) and [help](#).

1. Which legal entity would you like to open?

- Individual account
 Joint account

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*

Contact Details – *Must be applicant's details*

Email address Mobile number
 Home number – *Optional* Work number – *Optional*

Tax Residency Information

1. Are you a tax resident of Australia? – <i>Mandatory</i>	<input type="radio"/> Yes	<input type="radio"/> No
2. Tax File Number or Exemption Code	<input type="text"/>	
3. Are you a tax resident of another country outside of Australia? – <i>Mandatory</i> If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

Instructions for completion

- List all of your other countries of tax residency and your TIN for that country of 'Reason Code' if no TIN is available.
- 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.

For further instructions on how to complete this section see [explanatory notes #2](#) 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

Employment Information – Mandatory

Refer to 'Job and Industry Classifications List' available on the website for a list of acceptable Job Categories and Types.

Job category	Job type
<input type="text"/>	<input type="text"/>

Sole Trader Details – If applicable

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

Full business name – If any	Australian Business Number (ABN) – ## - ### - ### - ###
<input type="text"/>	<input type="text"/>

Online Access – Only complete this section if you do not have an existing login

Password must be 6-16 characters long and must not contain the word 'password'.

Password

Identification – Choose one of the options below

Option 1 – Existing customer If you are an existing customer, please provide your Username or share trading account number below.

Option 2 – New customer
 To meet our obligations with the Anti Money Laundering/Counter-Terrorism Financing Act 2006, we must identify customers before we provide a service.
 Please attach an **original certified copy** of your Australian Driver Licence (both the front and back of the card), and one other supporting document (Passport or Medicare Card).
 See [explanatory notes #3](#) at the end of this document for acceptable identification documentation.

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. 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 Same as Applicant 1

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*
 The postal address will be used as the CHESS registration address.

Contact Details – *Must be applicant's details*

Email address – *this will be used to receive electronic CHESS statements* Mobile number
 Home number – *Optional* Work number – *Optional*

Tax Residency Information

1. Are you a tax resident of Australia? – <i>Mandatory</i>	<input type="radio"/> Yes	<input type="radio"/> No
2. Tax File Number or Exemption Code	<input type="text"/>	
3. Are you a tax resident of another country outside of Australia? – <i>Mandatory</i> If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

Instructions for completion

- List all of your other countries of tax residency and your TIN for that country of 'Reason Code' if no TIN is available.
- 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.

For further instructions on how to complete this section see [explanatory notes #2](#) 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	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
2	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
3	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Employment Information – *Mandatory*

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 Details – *If applicable*

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

Full business name – *If any*

Australian Business Number (ABN)

Online Access – *Only complete this section if you do not have an existing login*

Password must be 6-16 characters long and must not contain the word 'password'.

Password

Identification – *Choose one of the options below*

<input type="radio"/>	<p>Option 1 – Existing customer If you are an existing customer, please provide your Username or share trading account number below.</p> <input type="text"/>
<input type="radio"/>	<p>Option 2 – New customer</p> <p>To meet our obligations with the Anti Money Laundering/Counter-Terrorism Financing Act 2006, we must identify customers before we provide a service.</p> <p>Please attach an original certified copy of your Australian Driver Licence (both the front and back of the card), and one other supporting document (Passport or Medicare Card).</p> <p>See explanatory notes #3 at the end of this document for acceptable identification documentation.</p>
<input type="checkbox"/>	<p>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.</p>

Overseas Applicants Only

Reason for seeking account in Australia

Additional Account Applicants

Please copy and fill out the above section for each additional Account Applicant.

4. Account Structure & Settlement Method

What account structure would you like to apply for?

Your settlement method and brokerage costs will differ depending on the structure type. For a full list of Netwealth Fees and Charges, please refer to our [Financial Services Guide \(FSG\)](#) available from our website www.sharetrading.netwealth.com.au. Please select one option below.

<input type="radio"/>	Standard Account - Funds up front (trade up to the value you BPAY)
<input type="radio"/>	Premium Account - Automatic direct debit (trade up to \$25,000 without funds up front)
<input type="radio"/>	Existing Margin Loan - Third party settlement or WRAP account

Settlement Details

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

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

Existing Margin Loan (Third Party Settlement)

Third party settlement provider (e.g. margin lender)	Account name
<input type="text"/>	<input type="text"/>
Account number	Settlement Participant Identification Number (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"/>

4. Transfer Shares – *Optional*

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	Quantity
<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"/>	<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.

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 Transfers

Existing broker name	Participant Identification Number (PID)
<input type="text"/>	<input type="text"/>
Holder Identification Number (HIN)	Account number
<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	New broker Participant Identification Number (PID)
Australian Investment Exchange Limited	06381

I/We authorise the Participant to make changes to my Holder Identification Number (HIN) registration details in accordance with the information on my Trading Account in the event of any mismatch of registration details.

Transfer Instructions

Option 1 - Transfer **all** broker sponsored holdings to the Participant – *We will transfer your HIN*

Option 2 - Transfer only the following existing broker sponsored holdings to the Participant

ASX Code – e.g. IAG	Security name – e.g. IAG Limited	Quantity – Number of shares

To transfer more than 10 different holdings, photocopy this page, complete and attach to this form.

5. 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 Limited (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.

New customer applying for a Netwealth Share Trading Premium Account

i Only applicable if you selected the Premium Account option in Section 4.
 Disregard if you have selected either the Standard Account or Existing Margin Loan options as your Account Structure.

Declaration and Signature/s

1. In addition to applying to register for Netwealth Share Trading, I/we wish to apply for the Netwealth Share Trading Premium Account available for orders placed via the website or call centre.
2. I/We declare that the information provided by me/us in the Participant's application form is true, complete and correct.
3. I/We confirm that I/we have read and agree to be bound by the Participant's Share Trading Terms and Conditions.
4. I/We confirm that I/we have read and agree to be bound by the Participant's Share Trading Premium Terms and Conditions.
5. I/We confirm that I/we have read the Participant's Financial Services Guide provided to me/us and understand the brokerage rate charged for a Share Trading Premium Account differs to that of a Standard Share Trading Account. Trades are charged at the premium rate of brokerage regardless of the balance of cleared funds.
6. 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 points 1, 2, 3, 4 and 5 above.

Applicant 1

Full name Date signed – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Applicant 2 – *If applicable*

Full name Date signed – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

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

TERMS AND CONDITIONS FOR SHARE TRADING PREMIUM ACCOUNT

These terms and conditions apply to your Share Trading Premium Account with the Participant in relation to the provision of stockbroking execution, clearing, settlement and other services as offered by the Participant from time to time. It should be read in conjunction with the Netwealth Share Trading Terms and Conditions.

1.0 Buy Orders and your Share Trading Premium Account

- 1.1 When placing orders via the internet to buy securities, you qualify to utilise the Participant's Share Trading Premium Account. When using this facility, you will not need to provide cleared funds prior to placing orders via the internet, providing you stay within the \$25,000 limit that applies to the facility. The \$25,000 limit is inclusive of brokerage, GST and government and ASX, ASX Clear and ASX Settlement levied fees. The Share Trading Premium Account is subject to the terms of this agreement and Netwealth Share Trading Terms and Conditions.
- 1.2 Internet trading over the \$25,000 limit requires cleared funds in your account with the Participant prior to placing orders. The cleared funds available to the Participant must cover the cost of purchase, including brokerage, GST and government and ASX, ASX Clear and ASX Settlement levied fees.
- 1.3 The maximum trade value of any individual order that may be placed via the internet is \$100,000. Larger orders may be placed, upon specific application to, and approval by, the Participant. Approval for placing larger orders is in the absolute discretion of the Participant. Each application will be assessed on an individual basis.
- 1.4 The Participant unreservedly may restrict or suspend your use of the Share Trading Premium Account, at any time. Without limiting the generality of this provision, if you have access to and/or control over other accounts with the Participant (whether or not those accounts are in your own name, and irrespective of how those accounts originated), the Participant may at any time deny you access to the Share Trading Premium Account.

Explanatory Notes

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

Providing your ABN, TFN or Exemption Code is not compulsory, 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.

2. 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.

3. Identification requirements

To meet our obligations with the Anti Money Laundering/Counter-Terrorism Financing Act 2006, we must identify customers before we provide a service.

Applicants (including individuals/sole traders), and Authorities to Trade who are not existing Netwealth customers, will need to provide original certified copies of identification documents which must be certified by an eligible person.

Acceptable identification documentation

ONE Primary Photographic Identification Document (Table A), or if unable to, ONE Primary Non-Photographic Identification Document (Table B) and ONE Secondary Identification Document (Table C)

Please note the following:

All documents must be current unless specified otherwise. If any document is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.

 Please attach the original certified copy/ies of the document/s to your application. DO NOT send original documents, or copies of certified copies.

Table A – Primary Photographic Identification Documents

- Australian passport (can either be current or expired within the last 2 years but must not be cancelled, defaced or mutilated)
- Foreign passport issued by a foreign government, the United Nations or an agency of the United Nations (must not be cancelled, defaced or mutilated)
- Foreign travel document issued by a foreign government, the United Nations or an agency of the United Nations
- Australian licence/permit (can either be a driver's licence, learner's permit. Both the front and back of the licence must be certified.)
- Foreign driver's licence which contains a photograph
- Proof of age card issued by a State or Territory (or equivalent)
- National identity card issued by a foreign government, the United Nations or an agency of the United Nations

Table B – Primary Non-Photographic Identification Documents

- Full Australian birth certificate (or extract) issued by State/Territory Registry of Births, Deaths and Marriages
- Full Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations
- Australian citizenship certificate
- Citizenship certificate issued by a foreign government
- Centrelink pension card (Australian)

Table C – Secondary Identification Documents

- A financial benefits notice issued by the Commonwealth or a State/Territory within the last 12 months and includes the customer's name and residential address (e.g. a notice from Centrelink)
- Australian Taxation Office (ATO) notice issued within the last 12 months and includes the customer's name and residential address
- Utilities notice issued by a local government or utilities provider within the last 3 months and includes the customer's name and residential address
- Foreign driver's licence which does not contain a photograph
- Department of Veterans' Affairs pension concession card (Australian)
- A current tenancy/lease agreement (must not be cancelled or expired)
- Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages

List of eligible persons who can certify identification documents:
Each original certified photocopy(ies) must include the statement (or similar wording):

“I certify that this is a true copy of the original document.”

The certifier must include their full name, original signature (photocopied signatures are not accepted), date of certification and qualification or occupation (outlined below) which makes them eligible.

List of eligible persons who are allowed to certify identification documents:

A person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)

- A judge of a court
- A magistrate
- A chief executive officer of a Commonwealth court
- A Justice of the Peace
- A police officer
- A public notary (for the purposes of the Statutory Declaration Regulations 1993)
- An agent of Australia Post who is in charge of an office supplying postal services to the public

- A permanent employee of Australia Post with 2 or more years of continuous service who is employed in an office supplying postal services to the public
- An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- An officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
- A finance company officer with 2 or more continuous years of service with one or more finance companies (for the purpose of the Statutory Declaration Regulations 1993)
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees.
- A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership
- A registrar or deputy registrar of a court
- An international bank employee authorised by their institution to open accounts, where the international bank is acceptable to the Bank

6. Additional Authority to Trade/Power of Attorney – *Optional. Only 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 Same as Applicant 1

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*

Contact Details – *Must be applicant's details*

Email address
 Mobile number

Home number – *Optional*
 Work number – *Optional*

Employment Information – *Mandatory*

Refer to ‘**Job and Industry Classifications List**’ available on the website for a list of acceptable Job Categories and Types.

Job category
 Job type

Online Access – *Only complete this section if you do not have an existing login*

Password must be 6-16 characters long and must not contain the word 'password'.

Password

Identification – *Choose one of the options below*

<input type="radio"/>	<p>Option 1 – Existing customer If you are an existing customer, please provide your Username or share trading account number below.</p>
<input type="radio"/>	<p>Option 2 – New customer To meet our obligations with the Anti Money Laundering/Counter-Terrorism Financing Act 2006, we must identify customers before we provide a service. Please attach an original certified copy of your Australian Driver Licence (both the front and back of the card), and one other supporting document (Passport or Medicare Card). See explanatory notes #3 at the end of this document for acceptable identification documentation.</p>
<input type="checkbox"/>	<p>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.</p>

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.

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 signed – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Applicant 2 – If applicable

Full name Date signed – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

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

7. Additional Authority to Trade Declaration and Signature

I/We understand and acknowledge that:

- a. 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;
- b. Declare that my particulars (including identification details) as shown on this form are complete and correct;
- c. Acknowledge that the Participant collects my particulars in order to allow me to exercise this authority; and
- d. 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:

- a. 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*.
 - b. 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.
 - c. 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.
 - d. 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.
 - e. 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 signed – DD / MM / YYYY

/ /

Signature – *Must be signed pen to paper*

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