

- 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?

- Company
 SMSF/Trust – Individual/Joint as trustee
 SMSF/Trust – Company as trustee

2. Personal Details – Applicant 1 / Director 1 / Trustee 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*

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

Contact Details

Email address – *Mandatory - this will be used to receive electronic CHESS statements*

Mobile number – *Mandatory*

Home number

Work number

Preferred contact number Mobile Home Work

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

Job Category and Type – 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"/>

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'.

Identification

Select one of the options below:

<input type="radio"/>	Option 1 – Existing customer If you are an existing customer, please provide your Username or share trading account number below.
<input type="radio"/>	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 the Declaration Section.

Overseas Applicants Only

Reason for seeking account in Australia

3. Personal Details – Applicant 2 / Director 2 / Company Secretary / Trustee 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 Same as applicant 1 **Postal Address** Same as residential address

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

i Statements and notices will only be to the postal address for applicant 1.

Preferred Contact Method

Email address – *Mandatory*

Mobile number – *Mandatory* Home number Work number

Preferred contact number Mobile Home Work

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

Job Category and Type – *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'.

Identification

Select 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 the Declaration Section.

Overseas Applicants Only

Reason for seeking account in Australia

4. Company Details – *If applicable*

Company name

Registered business name

Australian Company Number (ACN)

Australian Business Number (ABN) – *Optional*

Tax File Number (TFN) or Exception Code – *Optional*

See [explanatory notes](#) for definitions.

Type of Company?	<input type="radio"/> Public	<input type="radio"/> Proprietary / Private
Was the Company established in Australia?	<input type="radio"/> Yes	<input type="radio"/> No
Is the Company operating as a charity?	<input type="radio"/> Yes	<input type="radio"/> No

If yes, what is the objective / purpose of the charity?

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

Company Industry Category and Type – Mandatory

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

Company industry category

Company industry type

Company Address

Registered Business Address

Same as registered address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

Postal Address

Same as registered address

Street address

Suburb

State

Postcode

Country – *If not Australia*

Principal Place of Business

Same as registered address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

Company Contact

Same as Applicant 1

Email address

Phone number

Additional Director Details

List the full names of all additional directors of any foreign company or domestic proprietary company that are not listed as an applicant in Section 2. If there are more than three additional directors please take a copy of this section, complete and attach to your application.

Additional Director 1

Mr Ms Mrs Miss Dr Other

First name

Middle name/s

Surname

Additional Director 2

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname

Additional Director 3

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname

Beneficial Owner Details – *Mandatory for Proprietary / Private Companies*

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

Yes – Go to Part D and provide details

No – Go to Part B

B. Are there any individuals who control 25% or more of the shares either directly or indirectly in the company? For example through voting rights?

Yes – Go to Part D and provide details

No – Go to Part C

C. If there are no beneficial owners or controllers please provide details in Part D for 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 held. e.g. CEO, Managing Director of equivalent.

D. Please provide personal details of individuals below – at least one individual must be listed.

Beneficial Owner / Controller 1 same as Applicant 1 **OR** fill out [Appendix 1](#)

Beneficial Owner / Controller 2 same as Applicant 2 **OR** fill out [Appendix 1](#)

Additional Beneficial Owners / Controllers

Please copy and fill out [Appendix 1](#) at the end of this form for each additional Beneficial Owner / Controller.

5. Trust Type

SMSF
 Family
 Testamentary
 Other

Full Trust Name – *As per Trust Deed*

Account Designation

Used when you wish to trade under the trust. Ensure the account designation matches your CHES registration name.

Account Designation

i The words or reference to “trust”, “as trustee for”, “trustee”, “ATF”, “Testamentary” should not be used in Account Designation as it will not be accepted by CHESS.

Was the Trust established in Australia?

Yes No

Is the Trust operating as a charity?

Yes No

Trust Tax Details

Australian Business Number (ABN) – *Mandatory for SMSF*

Tax File Number (TFN) or Exemption Code – *Optional*

See [explanatory notes](#) for definitions.

Trust Industry Category and Type – *Mandatory*

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

i SMSF Trusts are category ‘Finance and Insurance’ and Type ‘Superannuation Funds’.

Trust industry category

Trust industry type

Settlor of Trust – *Mandatory except if trust type is SMSF or Testamentary Trust*

Was the trust established with a ‘settled sum’ of \$10,000 or more? – *If yes, please provide the settlor name below*

Yes No

1) 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

Trust Address Details

Registered Address of the Trust

Same as Applicant 1
 Same as Company

Postal Address

Same as Applicant 1
 Same as Applicant 2

Street address – *Cannot be a PO Box*

Suburb State Postcode

Country – *If not Australia*

Street address

Suburb State Postcode

Country – *If not Australia*

Contact Details

Same as Applicant 1 Same as Company

Email address

Phone number

Trust Identification

If the trust is an SMSF, a search will be performed by AUSIEX on the relevant regulator's website;

For all other trust types, I will attach a certified copy of:

- The extract of the Trust Deed, The extract of the Trust Deed should include the page/s which shows: the Trust name, name/s of Trustee/s, signature/s of Trustee/s with witnesses' signatures, date of execution, names of Beneficiary/ies, name/s of Settlor and settled sum (if formal trust), AND
- Copy of the notice from the Australian Taxation Office, such as a Notice of Assessment, issued in the last 12 months, OR
- A bank statement issued from another financial institution from the last 12 months, OR
- A letter from the legal practitioner who prepared your trust deed this must confirm that the Legal Practitioner assisted in the creation of the Trust; the Trust has been established and confirm the Full name of the Trust, the Trustees and the Settlor of the Trust.

Additional Trustee Details – *For individual trust type only*

Please copy and fill out [Appendix 1](#) at the end of this form for each additional Trustee.

Beneficiary Details – *Mandatory except for SMSF*

Provide the type of membership class (e.g. unit holder, family member) or the full name of each beneficiary. If there are more than 2 membership classes/beneficiaries please take a copy of this section, complete and attach to your application.

Membership classes

OR give Beneficiary details

Beneficiary 1

Same as Applicant 1

Mr Ms Mrs Miss Dr Other

First name

Middle name/s

Surname

Beneficiary 2

Same as Applicant 2

Mr Ms Mrs Miss Dr Other

First name

Middle name/s

Surname

6. 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 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"/>

7. 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	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 <input type="text"/>	Participant Identification Number (PID) <input type="text"/>
Holder Identification Number (HIN) <input type="text"/>	Account number <input type="text"/>
Third party contact person – <i>If known</i> <input type="text"/>	Third party contact number – <i>If known</i> <input type="text"/>
New broker name Australian Investment Exchange Limited	New broker Participant Identification Number (PID) 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"/>

8. 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.

For Trusts Only:

I/We:

- a. Warrant that the trust deed/instrument authorises the opening and operation of the account as contemplated by this Application, and
- b. Warrant that authority has been given by signature of the trustee/s, or where the trustee is a company, by resolution passed at a legally constituted meeting of director/s of the company for the opening and operation of the account/s in the name of and on the terms and conditions and in the manner set out in this Application.

Applicant 1 / Director 1 / Trustee 1

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

Signature – Must be signed pen to paper

Applicant 2 / Director 2 / Company Secretary / Trustee 2

Full name Date signed – 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.

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 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.

TFN and Trusts

Formal trust – established as a legal entity under a formal trust deed and has a TFN. Please quote the TFN of the formal trust.

Informal trust – no formal arrangements in place e.g. minor, and there is no requirement for you to furnish a Trust income tax return to the Australian Taxation Office. Please provide the Tax File Number/s of the Trustee/s.

Return to: [2. Personal Details](#) | [3. Company Details](#)

2. Account Designation

Account Designation is used when you wish to trade under the name of a Superannuation Fund, Family Trust, Minor or Deceased Estate. Examples include: Brown S/F A/C, Brown Family A/C, Louise Brown (minor). Please ensure that your account designation matches that of your CHESS registration name.

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.

i 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)
- 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

9. Additional Authority to Trade – *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

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

Job Category and Type – *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

Identification


Select 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 the Declaration Section.

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

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

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

Additional Authority to Trade Declaration and 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/ Director 1/ Trustee 1


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

Signature – *Must be signed pen to paper*

Applicant 2/ Director 2/ Trustee 2 – If applicable

Full name Date signed – 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.

10. Additional Authority to Trade Declaration and Signature/s Continued

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*

Appendix 1

Additional Beneficial Owner, Controller or Trustee

Additional Beneficial Owner / Controller Additional 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

Street address – *Cannot be a PO Box*

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

Identification

Select 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 the Declaration Section.

Declarations

1. The information I provided to you in this form is complete and correct.
2. The name of individual persons given in this form 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. That I consent to the collection, use and exchange of my 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. AUSIEX is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before we can provide you with the services or products for which you've applied. If you selected 'Passport or Australian Driver Licence' as the method of ID in this form the following applies to you:
 - 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.
 - f. 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, please contact us for alternative options of confirming your identity.

Full name Date signed – DD / MM / YYYY

<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>
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Signature – *Must be signed pen to paper*

Share Trading is a service provided by Australian Investment Exchange Limited (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Market Participant of the ASX Limited and Cboe Australia Pty Ltd, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

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