

# Share Trading Account Application Form

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.



Please refer to the 'Application Guide' at the end of this form for guidance on completing this application form.

### Where to send the completed application form?

Once completed and signed, please return the application form by email or fax to the details listed at the top of this page.

### Which account type would you like to complete this application for?

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



### Where to from here

**All applicants** – Please start by providing your personal details in Section 1.

## Section 1 – Personal Details

### Applicant 1/Director 1/Trustee 1

In what capacity you are completing this section:

Individual
  Director/Secretary
  Trustee

Mr
  Ms
  Mrs
  Miss
  Dr
 Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

Gender

Male
  Female

### Address Details

Residential Address (cannot be a PO Box)



State

Postcode

Country (if not Australia)

Postal Address  Same as Residential Address



State

Postcode

Country (if not Australia)

### CHES Registration Address

The CHES registration address will only apply to Individual/Joint account types. For Company/Trusts account types, please complete CHES registration address details in section 3.

The postal address will be used as the CHES registration address. If you would not like this to happen, please provide a CHES registration address below:

State	Postcode
Country (if not Australia)	

### Contact Details

Email Address

You **must** complete at least one contact number (and tick your preferred contact number)

Mobile

Work ( )

Home ( )

Fax ( )

### Tax File Number or Exemption Code (optional)

(refer Explanatory Note 1)

-    -

### Job Category and Type (mandatory)

(see the Job and Industry Classifications List available from the website for a list of acceptable Job Categories and Types)

Job Category

Job Type

Are you a sole trader?

Yes
  No

If yes, complete the next 2 questions:

Sole Trader Business Name

Sole Trader ABN (optional) (refer Explanatory Note 1)

-    -    -

## Section 1 – Personal Details (continued)

### Online access (refer Explanatory Note 2)

Do you require online access?

Yes  No

If yes, nominate a Username and Temporary Password below (if you have an existing Username this will be used)

Username (6 to 16 alphanumeric characters)


Temporary Login Password (6 to 16 alphanumeric characters, and must not contain the word "password")


You **must** provide a Temporary Login Password for online access. Please make a note of the Temporary Login Password you have nominated as you will be asked to change your Password upon your first login.

### Identification

Select one of the options below:

If you are an existing customer, please supply your Username below:

I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 6 for Declaration & Signature/s. Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

### Overseas Applicants Only

Reason for seeking account in Australia



### Where to from here?

**Company/Company Trust/SMSF Applicants –**  
Please provide your Company/Company Trustee details in Section 2.

**Individual Trust/Joint Trust/SMSF Applicants –**  
Please provide your trust details in Section 3.

**Otherwise –** Please complete your Settlement details in Section 4.

## Applicant 2/Director 2/Trustee 2

In what capacity are you completing this section:

Individual  Director/Secretary  Trustee



For joint accounts, statements and notices will only be posted to the first applicant's Postal Address.

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

Gender

Male  Female

### Address Details

Same as Applicant 1 **Or**, complete the following:

Residential Address (cannot be a PO Box)

State	Postcode
Country (if not Australia)	

Postal Address  Same as Residential Address

State	Postcode
Country (if not Australia)	

### Contact Details

Email Address (must be applicant's email address)

You **must** complete at least one contact number (and tick your preferred contact number)

Mobile

Home ( )

Work ( )

Fax ( )

**Tax File Number or Exemption Code** (optional)  
(refer Explanatory Note 1)

-    -

### Job Category and Type (mandatory)

(see the Job and Industry Classifications List available from the website for a list of acceptable Job Categories and Types)

Job Category

Job Type

## Section 1 – Personal Details (continued)

Are you a sole trader?

Yes  No

If yes, complete the next 2 questions:

Sole Trader Business Name

Sole Trader ABN (optional) (refer Explanatory Note 1)

-    -    -

**Online access** (refer Explanatory Note 2)

Do you require online access?

Yes  No

If yes, nominate a Username and Temporary Password below (if you have an existing Username this will be used)

Username (6 to 16 alphanumeric characters)

Temporary Login Password (6 to 16 alphanumeric characters, and must not contain the word "password")

You **must** provide a Temporary Login Password for online access. Please make a note of the Temporary Login Password you have nominated as you will be asked to change your Password upon your first login.

### Identification

Select one of the options below:

If you are an existing customer, please supply your Username below:

I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 6 for Declaration & Signature/s. Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

### Overseas Applicants Only

Reason for seeking account in Australia



#### Further applicants required?

Please photocopy and complete this section to add additional applicants if required.



#### Where to from here?

**Company/Company Trust/SMSF Applicants** – Please provide your Company/Company Trust details in Section 2.

**Individual Trust/Joint Trust/SMSF Applicants** – Please provide your trust details in Section 3.

**Otherwise** – Please complete your Settlement details in Section 4.

## Section 2 – Company Details

Company Name

Australian Company Number (ACN)

Registered Business Name

**What type of Company is applying? (mandatory)**

Public  Proprietary/Private

**Was the Company established in Australia? (mandatory)**

Yes  No

**Is the Company operating as a charity? (mandatory)**

Yes  No

If yes, what is the purpose of the charity?

### ABN and TFN Details

Australian Business Number (ABN) (optional) (refer Explanatory Note 1)

-    -    -

Company Tax File Number (TFN) or Exemption Code (optional) (refer Explanatory Note 1)

-    -

**Company Industry Category and Type (mandatory)**

(see Job and *Industry Classifications List* available from the website for a list of acceptable Industry Categories and Types e.g. personal investment companies are Category 'Personal and Other Services and Type 'Individuals')

Company Industry Category

Company Industry Type

**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

### Address Details

Same as Applicant 1 **Or**, complete the following:

Registered Business Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

Postal Address  Same as Registered Business Address

State

Postcode

Country (if not Australia)

Principle Place of Business (cannot be a PO Box)

Same as Registered Business Address

State

Postcode

Country (if not Australia)

## Section 2 – Company Details (continued)

### CHES Registration Address

The postal address will be used as the CHES registration address. If you would not like this to happen, please provide a CHES registration address below:

State	Postcode
Country (if not Australia)	

### Contact Details

Same as Applicant 1 **Or**, complete the following:

Email Address

Phone

### Additional Director Details

Please list the full name/s of **all** Additional Directors of the foreign company or domestic proprietary that are not listed as an Applicant in Section 2. If there are more than 2 Additional Directors, please photocopy this section, complete and attach to your Application.

#### Additional Director 1

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

#### Additional Director 2

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

### Beneficial Owner Details - (mandatory for Proprietary/Private Companies)

A. Are there any individuals who own 25% or more of the shares in the Company, either directly or indirectly?  
You must make a selection below:

Yes Please provide details of all such individuals in the sections below

No Please answer question B

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

Yes Please provide details of all such individuals in the sections below

No In that case, please provide details below of any individuals who are responsible for the strategic or financial decisions of the Company (that is, the individual who exercises primary control over the company because of the position they hold, e.g. the CEO, Managing Director or equivalent)

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

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

### Individual 1

Same as Applicant 1 **Or**, complete the following:

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Date of Birth

Gender

Male  Female

Email Address (optional)

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

### Identification

Select one of the options below:

If you are an existing customer, please supply your Username below:

I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 6 for Declaration & Signature/s. Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

Signature

### Individual 2

Same as Applicant 2 **Or**, complete the following:

Mr  Ms  Mrs  Miss  Dr Other

Given Names/s

Surname

Date of Birth

Gender

Male  Female

Email Address (optional)

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

### Identification

Select one of the options below:

If you are an existing customer, please supply your Username below:

## Section 2 – Company Details (continued)

- I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 6 for Declaration & Signature/s. Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

Signature

### Individual 3

- Mr  Ms  Mrs  Miss  Dr Other

Given Names/s

Surname

Date of Birth

Gender

- Male  Female

Email Address (optional)

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

### Identification

Select one of the options below:

- If you are an existing customer, please supply your Username below:

- I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 6 for Declaration & Signature/s. Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

Signature

**If the Company was not established in Australia, please complete the next five questions:**

Country of formation/incorporation/registration

What is the Company's business activity?

What is the purpose of seeking an account in Australia?

Is this Foreign Company registered with ASIC?

- Yes Please provide Australian Registered Body Number (ARBN)

- No Please provide the unique identification number issued to the Company on its registration/incorporation with the foreign registration body and attach a copy of original certificate of registration issued by the foreign registration body.



### Where to from here?

**Company Trust/SMSF Applicants** – Please provide your trust details in Section 3.

**Otherwise** – Please complete your Settlement details in Section 4.

### Section 3 – Trust Details

#### Trust Type

- SMSF  Charity  Informal  Family  Minor  
 Other, please specify below

Full Trust Name (as per Trust Deed)

  

**Account Designation** (e.g. Brown Family Account)  
(refer Explanatory Note 3)

Please provide an abbreviated version of the full name of the trust (up to 23 characters, including spaces).

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

A/C

**Was the Trust established in Australia? (mandatory)**

- Yes  No

**Is the Trust operating as a charity? (mandatory)**

- Yes  No

If yes, what is the purpose of the charity?

#### ABN and TFN Details

Australian Business Number (ABN)  
(refer Explanatory Note 1)

-  -  -

Trust Tax File Number (TFN) or Exemption Code (optional)  
(refer Explanatory Note 1)

-  -

**Trust Industry Category and Type (mandatory)**

(see Job and Industry Classifications List available from the website for a list of acceptable Industry Categories and Types e.g. 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?

- Yes  No

If Yes, name of Settlor:

**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

#### Address Details

- Same as Applicant 1  Same as Company

Or, complete the following:

Registered Address of the Trust (cannot be a PO Box)

<input type="text"/>	
<input type="text"/>	
State	Postcode
Country (if not Australia)	

Postal Address  Same as Registered Address of the Trust

<input type="text"/>	
<input type="text"/>	
State	Postcode
Country (if not Australia)	

#### Contact Details

- Same as Applicant 1  Same as Company

Or, complete the following:

Email Address

Phone

#### Identification

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

- The extract of the Trust Deed, **AND**
- A 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.

(Please refer to the Share Trading Application Guide at the end of this application for more information on the documentation required.)

#### Additional Trustee Details

Please list the full names of all Additional Trustees that are not listed as an Applicant in Section 2. If there are more than 2 Additional Trustees, please photocopy this section, complete and attach to your application.

##### Additional Trustee 1

- Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Date of Birth

Gender

- Male  Female

Email Address (optional)

Residential Address (cannot be a PO Box)

<input type="text"/>	
<input type="text"/>	
State	Postcode
Country (if not Australia)	

### Section 3 – Trust Details (continued)

#### Identification

Select one of the options below:

If you are an existing customer, please supply your Username below:

I will attach certified copies of ID and consent to the electronic verification to be performed (Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

Signature

#### Additional Trustee 2

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Date of Birth

Gender

Male  Female

Email Address (optional)

Residential Address (cannot be a PO Box)

State Postcode  
Country (if not Australia)

#### Identification

Select one of the options below:

If you are an existing customer, please supply your Username below:

I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 6 for Declaration & Signature/s. Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

Signature

#### Beneficiary Details

Please 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 photocopy this section, complete and attach to your application.

### Section 3 – Trust Details (continued)

Membership classes

Or

#### Beneficiary 1

Same as Applicant 1 **Or**, complete the following:

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

#### Beneficiary 2

Same as Applicant 2 **Or**, complete the following:

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

**If the Trust was not established in Australia, please complete the following three questions**

What country was the Trust established in?

What is the objective of the Trust?

What is the purpose of seeking an account in Australia?



#### Where to from here?

**All applicants** – Please complete your Settlement details in Section 4.

## Section 4 – Settlement Options

You must provide a nominated bank account in the same entity name as this application for any amounts you must pay us. If this bank account is a joint account where one or more parties are not applicants on this share trading account, you **MUST** provide identification for them and have them sign the Declaration & Signature/s section of this form.

### Nominated bank account for direct debit/credit

Account Name

BSB

Account Number

### Please select how you would like your share trades settled:

- Direct debit/credit the nominated bank account above
- Settle to a third party settlement provider  
(Please complete the Third Party Settlement section below)

#### Third Party Settlement (e.g. Margin Loan or WRAP Account)

Complete only if you intend to settle your share trading transactions through a Third Party Settlement provider.

Third Party Settlement Provider (e.g. Margin Lender)

Third Party Settlement PID

Third Party Account Number

Third Party Settlement Account Name

Third Party Contact Person (if known)

Third Party Contact Number (if known)



#### Where to from here?

**For CHESs Sponsorship Requests** – Go to Section 5.

**Otherwise** – Please continue to the declaration in Section 6 to complete the application.

## Section 5 – CHESs Sponsorship Request

It may be necessary to re-lodge your standing instructions with the share registries after some transfers. These include tax file numbers, banking details or dividend instructions.

Your trading account will be CHESs sponsored by the Participant unless you have provided Third Party Settlement details.



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.

Please tick the option/s you are requesting for:

- ISSUER to BROKER SPONSORSHIP**  
Transfer my/our Issuer Sponsored Holdings to the Participant. (Please attach copies of all relevant holdings Statements)

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

Securityholder Reference Number (SRN)

ASX Code or Security Name

Qty

I/We authorise the Participant to convert the above listed Holding/s into my/our Share Trading Account.

- BROKER to BROKER TRANSFER**  
You may select to either transfer all or part of your existing broker holdings.

**Existing Broker Name:**

PID:

HIN:

A/C:

**New Broker Name:**

PID:

- 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.



## Section 5 – CHESS Sponsorship Request (continued)

### Broker to Broker Transfer Instructions:

a)  Transfer **all** Broker Sponsored Holdings to the Participant (we will transfer your HIN).

or

b)  Transfer only the following existing Broker Sponsored Holdings to the Participant.

ASX Code or Security Name	Qty



### Where to from here?

**All Applicants** – Please continue to the declaration in Section 6 to complete the application.

## Section 6 – Declaration & Signature/s

### All applicants must sign this 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.

### 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.

- 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(s) is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
- 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
- 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
- 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
- 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.

## Section 6 – Declaration & Signature/s (continued)

### Declaration to 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.

### 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

Signature

Date

### Applicant 2/Director 2/Trustee 2

Full Name

Signature

Date

**Note:** E-signature is not accepted.

If there are more than 2 applicants, please photocopy this section, complete and attach to your Application.



### Where to from here?

**If you would like to authorise someone else to trade and/or conduct transactions on your behalf – Please complete Section 7.**

If not, you are now complete:

- Please email your completed Application Form to us to the details on the front of this application.
- Where your forms are completed correctly and all required documentation is received, we will activate your new trading account within 2 business days.
- You will receive an email notification from us once your account has been established
- Please ensure that you have made a note of your Username and Temporary Login Password so that you can access your share trading account as soon as it has been activated. You must make a reasonable attempt to disguise your Username and Temporary Login Password if you write it down – that is scramble details in such a way that others will not be able to decode it.

## Section 7 – Additional Authority to Trade



This section should be completed for applicants wishing to authorise someone else to trade and/or conduct transactions on your behalf. The Additional Authority to Trade must complete this section, provide proof of identification and sign the declaration.

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Other names commonly known by (if applicable)

Date of Birth

Gender

Male  Female

### Address Details

Residential Address (cannot be a PO Box)

State Postcode

Country (if not Australia)

Postal Address  Same as Residential Address

State Postcode

Country (if not Australia)

### Contact Details

Email Address

Tick your preferred contact number

Mobile

Work ( )

Home ( )

Fax ( )

**Tax File Number or Exemption Code** – optional  
(refer Explanatory Note 1)

-    -

### Identification

If you are an existing customer, please supply your Username below:

I will attach certified copies of ID and consent to the electronic verification to be performed (Refer to section 7 for Additional Authority to Trade declaration and signature. Your ID documents must be in the exact same details as those provided in this application. See to the Identification Documentation Requirements available from the website for more information.)

### Login details for online access (refer Explanatory Note 2)

Username (6 to 16 alphanumeric characters)

You **must** provide a Temporary Login Password for online access

Temporary Login Password (6 to 16 alphanumeric characters)

Please make a note of the Temporary Login Password you have nominated.

### Additional Authority to Trade Declaration & Signature/s

All Applicants **must** sign this declaration – photocopied and faxed signatures are not accepted.

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:

- To have access to, receive, and enquire about information pertaining to an account;
- To acquire, buy, deal with, dispose of or sell any financial products;
- 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;
- To execute all contracts and other documents necessary or proper for the custody dealing and transfer of financial products and related matters;
- To receive, hold, arrange custody of evidence of title to financial products;
- 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:

- 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;
- Acknowledge that it is my/our obligation to be aware of any activity undertaken on my/our behalf by the Authority to Trade;
- 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;
- 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;
- Understand the appointment of an Authority to Trade remains effective until I/we revoke it by providing a notice in writing to the Participant.

### Applicant 1/Director 1/Trustee 1

Full Name

Signature

Date

**Section 7 – Additional Authority to Trade (continued)**

**Applicant 2/Director 2/Trustee 2**

Full Name

Signature

Date

**Note:** E-signature is not accepted.

If there are more than 2 applicants, please photocopy this section, complete and attach to your Application.

**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:

- 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

Signature

Date

# Share Trading Application Guide

This application guide provides additional information that may assist you in filing out the application form. The application comprises multiple sections. Please refer to the matrix below to determine which sections are applicable to your application. Once completed and signed, please return the application form by email or fax.



## Identification and Documents Required

- Please note all fields are **mandatory** to complete within each required section unless otherwise specified
- We are required by law to identify applicants, including Beneficial Owners of Companies and Additional Trustees of Trusts. All Individuals who **are not** existing clients need to provide evidence of identification as per the options provided in the relevant sections of the application form. **See the Identification Documentation Requirements available from the website for more information.**
- If you elect an identification method which requires you to provide supporting documents, then,
  - Proof of identification documents must be in the exact same details provided in this application;
  - If you are providing certified copies of ID, a photocopy must be made from the original document and include a statement "This is a true copy of the original document" (or similar wording) and the agent's signature.

## APPLICATION INSTRUCTIONS

Account Type	Mandatory Sections	May be Applicable	Instructions
<b>Individual</b> e.g. Peter John Brown	<b>1, 4 &amp; 6</b>	<b>5</b> – Clients transferring stock from another broker <b>7</b> – Clients wanting to provide authority to a third party	No Account Designation or Trust Use full given and last names of individual. <b>Individual to sign</b>
<b>Joint</b> e.g. Peter John Brown & Susan Alice Brown	<b>1, 4 &amp; 6</b>	<b>5</b> – Clients transferring stock from another broker <b>7</b> – Clients wanting to provide authority to a third party	No Account Designation or Trust Use full given and last names of individuals <b>All individuals to sign</b>
<b>Company</b> e.g. Bokum Pty Ltd	<b>1, 2, 4 &amp; 6</b>	<b>5</b> – Clients transferring stock from another broker <b>7</b> – Clients wanting to provide authority to a third party	No Account Designation Use full company name <b>At least 2 company officers (2 Directors, or 1 Director and 1 Secretary) or Sole Director/Secretary to sign</b>
<b>Trust (Individual as Trustee)</b> e.g. Peter John Brown & Susan Alice Brown	<b>1, 3, 4 &amp; 6</b>	<b>5</b> – Clients transferring stock from another broker <b>7</b> – Clients wanting to provide authority to a third party	Account Designation e.g. Brown Family A/C The words "as trustee for" or "trust" should not be used. Use name/s of trustee/s or custodian/s instead of trust name, fund name or name of minor. For Superannuation Fund, "S/F" should be used in place of "Super Fund". 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(s), name(s) of Settlor and settled sum (if formal trust). The letter from the Legal Practitioner who prepared your Trust Deed must confirm: <ul style="list-style-type: none"> <li>The Legal Practitioner assisted in the creation of the Trust;</li> <li>The Trust has been established;</li> <li>Full name of the Trust;</li> <li>Full name of all Trustees;</li> <li>Full name of the Settlor of the Trust</li> </ul> <b>All trustees to sign</b>
<b>Trust (Company as Trustee)</b> e.g. Bokum Pty Ltd	<b>1, 2, 3, 4 &amp; 6</b>	<b>5</b> – Clients transferring stock from another broker <b>7</b> – Clients wanting to provide authority to a third party	Account Designation e.g. Bokum Family A/C The words "as trustee for" or "trust" should not be used. Use name/s of trustee/s or custodian/s instead of trust name, fund name or name of minor. For Superannuation Fund, "S/F" should be used in place of "Super Fund". 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(s), name(s) of Settlor and settled sum (if formal trust). The letter from the Legal Practitioner who prepared your Trust Deed must confirm: <ul style="list-style-type: none"> <li>The Legal Practitioner assisted in the creation of the Trust;</li> <li>The Trust has been established;</li> <li>The full name of the Trust;</li> <li>The full name of all Trustees;</li> <li>The full name of the Settlor of the Trust</li> </ul> <b>All trustees to sign</b>

## 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, 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.

### **2. USERNAME**

If your nominated Username is already in use, we will nominate a similar alternative on your behalf. You will receive confirmation of your Username with your Welcome Letter or Email.

### **3. 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.