

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

Adviser code or current username	Adviser name	Brokerage code – <i>Optional</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Individual account Joint account

NOTE: For Company and Trust accounts use Form 1001

2. Personal Details – Applicant 1

Mr Ms Mrs Miss Dr Other

First name	Middle name/s	Surname	Date of birth – <i>DD / MM / YYYY</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

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
<input type="text"/>	<input type="text"/>
Home number – <i>Optional</i>	Work number – <i>Optional</i>
<input type="text"/>	<input type="text"/>

Tax File Number or Exemption Code – *Optional*

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

Tax File Number (TFN)

Job Category and Type

Refer to '[Job and Industry Classifications List](#)' available on our website.

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

Online Access – Complete this section if you require access and do not have an existing login

Password must be 6-16 characters long and must not contain the word 'password'. If you have an existing username this will be used.

Password

Identification – Choose one of the two identification options below.

Option 1 – Passport or Australian Driver Licence
Attach a copy of two of the following items to this application: Passport, Australian Driver Licence, Medicare Card.
By selecting this box and providing copies of your ID you consent to the electronic verification of your ID documents as outlined in the Declaration Section of this form.

Option 2 – No Passport or Australian Driver Licence
If you do not have a Passport or Australian Driver Licence contact us for alternative options to confirm your identity.

2. Personal Details – Applicant 2

Mr Ms Mrs Miss Dr Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY

/ /

Other name/s commonly known by – If applicable Male Female

Residential Address 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*

Contact Details – Must be applicant's details

Email address Mobile number

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

Tax File Number or Exemption Code – *Optional*

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

Tax File Number (TFN)

Job Category and Type

Refer to '[Job and Industry Classifications List](#)' available on our website.

Job Category Job Type

Online Access – Complete this section if you require access and do not have an existing login

Password must be 6-16 characters long and must not contain the word 'password'. If you have an existing username this will be used.

Password

6. Client Declaration and Signature/s

All applicants and the adviser must sign this declaration.

Applicant/s Declaration

I/We understand, acknowledge and declare:

1. 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.
2. 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. that I/we have read the notice regarding 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 accompanying this form with respect to each product I/we are applying for, and the Participant's Privacy Policy.
4. that I/we 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 we can provide you with the services or products for which you've applied. If you selected 'Option 1 - Passport or Australian Driver Licence' as the method of ID in this form the following applies to you:
 - 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/s 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.
- f. 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, please contact us for alternative options of confirming your identity.

Declaration to Share Trading Terms and Conditions

1. I/We, the Applicant/s acknowledge that we have been supplied with, and read, the Participant's Financial Services Guide, Best Execution Guide and Share Trading Terms and Conditions prior to receiving any financial service from the Participant.
2. I/We, the Applicant/s, 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, the Applicant/s, authorise the adviser to open a Share Trading Account with the Participant and to give instruction to the Participant on the Account on my/our behalf.
4. I/We, the Applicant/s, acknowledge that as a result of my/our Share Trading Account managed by my adviser with the Participant having Straight Through Processing (an automated processing of a securities trade through the Market Operator's trading system) it is possible that any orders on my/our Account may be matched with another order also placed by the Participant. This "crossing" may be with an order by another client of the Participant or by the Participant itself.
5. 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 Share Trading Terms and Conditions governing each product I/we are applying for.
6. I/We, the Applicant/s, acknowledge and agree that all confirmations are to be sent electronically to my/our email and where the confirmation is posted, that a charge will apply.
7. I/We authorise the Participant to accept instructions on my/our behalf from my/our adviser and confirm that my/our adviser has the power to do the following in my/our name and on my/our behalf from time to time:

- a. to have access to, receive, and enquire about information pertaining to an account;
 - b. to acquire, buy, deal with and dispose of, or sell any financial products;
 - c. to provide authorisation to make and receive payment for any financial products transactions and attendant expenses by any means whatsoever and to give a goods receipts and discharges for the proceeds and 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, or arrange custody of evidence or title to financial products; and
 - f. to exercise all rights, obligations, duties, and privileges now and in the future with regard to transacting in financial products that pertain to me as the holder of financial products;
- 8. I/We accept that my/our adviser has access to all information relating to transactions undertaken in relation to dealings with the Participant.
 - 9. I/We acknowledge that my/our adviser or the Adviser's named licensee may delegate the authorisation in clause 7 above to persons nominated by the Licence Holder from time to time.
 - 10. I/We, the Applicant/s, declare that I/we have the legal capacity to make these declarations, accept the conditions and enter into the agreements referred to in the points above.

Applicant 1

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Applicant 2 – If applicable

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

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

Adviser Declaration

1. As the adviser, I agree that the above client has been provided with and read, the Participant's Financial Services Guide prior to receiving any financial service from the Participant.
2. I have been appointed by the applicant/s as their client adviser and I have identified the applicant/s and where applicable the Trust.
3. AUSIEX is authorised to take instruction/s from this client's adviser on behalf of the applicant/s.

Adviser

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

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.

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 Chi-X 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


Clients

Please provide your completed and signed form with relevant supporting documents to your adviser.

Advisers

Lodge this form and all supporting documents
ausiex.com.au > Administration > eSubmit

If you are required to send Original Certified Copies of documents please send via post to:

 **AUSIEX, Locked Bag 3005, Australia Square NSW 1215**

 1800 252 351  service@ausiex.com.au  ausiex.com.au

