

- i** • Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy. If you quote your TFN or ABN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Corporation, the provider of your cash management account, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.
- Customers are required by law to provide details of their country/ies of tax residency as part of our obligations under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).
  - We are unable to accept DocuSign signatures for Share Transfers. To complete a Share Transfer request with your application, please print and sign the application pen to paper.
  - Refer to the end of this document for submission instructions and [explanatory notes](#).

Adviser code or current username

Adviser name

Brokerage code – *Optional*

### 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 – DD/MM/YYYY

 /  / 

Other name/s commonly known by – *If applicable*

- Male     Female

#### Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

#### Postal Address

Same as residential address

Street address

Suburb

State

Postcode

Country – *If not Australia*

#### Contact Details – *Must be applicant's details*

Email address

Mobile number

Home number – *Optional*

Work number – *Optional*

#### Tax Residency Information

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

**Instructions for completion:**

- List all of your other countries of tax residency and your TIN for that country of 'Reason Code' if no TIN is available.
- If you are a US citizen or resident, you must include USA as a country of tax residency.

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

Refer to the 'Job and Industry Classifications List' available on our website.

Job Category	Job Type
<input type="text"/>	<input type="text"/>

**Sole Trader Details – If applicable**

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

**Source of Funds and Source of Wealth**

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

Source of Funds	Source of Wealth
<input type="text"/>	<input type="text"/>

**Identification – Choose one of the options below.**

To meet our obligations with the *Anti Money Laundering/Counter-Terrorism Financing Act 2006 (Cth)*, we must identify customers before we provide a service. Please select one of the following:

<input type="radio"/>	<p><b>Option 1 – Existing customer</b> If you are an existing customer, please provide your Username or share trading account number below.</p> <p>Username/Share trading account number: <input type="text"/></p>
<input type="radio"/>	<p><b>Option 2 – New customer</b> Please attach two copies of primary ID such as Australian Driver Licence (both the front and back of the card), and Passport or Medicare card. Refer to the 'Identification Documentation Requirements' list available from our website. By selecting this option 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.</p>
<input type="radio"/>	<p><b>Option 3 – New customer</b> If you do not meet the criteria for Option 1 or Option 2 or you do not consent to your ID being electronically verified, please refer to the 'Identification Documentation Requirements' list available from our website. Please ensure the ID provided is <b>originally certified</b>.</p>

**Online Access** – *new customers only*

You will need this the first time you log in. Your Username will be provided in a welcome email when the account has been established.

Temporary Login Password

**i** Your nominated temporary password:

- Must be between 6 and 16 characters long
- Is not case sensitive
- Must not contain spaces
- Can contain most characters except '<=>^{}'
- Must not contain the word 'password'

**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

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

Home number – *Optional*

Mobile number

Work number – *Optional*

**Tax Residency Information**

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

**Instructions for completion:**

- List all of your other countries of tax residency and your TIN for that country of 'Reason Code' if no TIN is available.
- If you are a US citizen or resident, you must include USA as a country of tax residency.

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

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**

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

**Source of Funds and Source of Wealth**

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

Source of Funds	Source of Wealth
<input type="text"/>	<input type="text"/>

**Identification – Choose one of the options below.**

To meet our obligations with the *Anti Money Laundering/Counter-Terrorism Financing Act 2006 (Cth)*, we must identify customers before we provide a service. Please select one of the following:

<input type="radio"/>	<p><b>Option 1 – Existing customer</b></p> <p>If you are an existing customer, please provide your Username or share trading account number below.</p> <p>Username/Share trading account number: <input type="text"/></p>
<input type="radio"/>	<p><b>Option 2 – New customer</b></p> <p>Please attach two copies of primary ID such as Australian Driver Licence (both the front and back of the card), and Passport or Medicare card. See the '<a href="#">Identification Documentation Requirements</a>' list available from our website for more information.</p> <p>By selecting this option 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.</p>
<input type="radio"/>	<p><b>Option 3 – New customer</b></p> <p>If you do not meet the criteria for Option 1 or Option 2 or you do not consent to your ID being electronically verified, please refer to the '<a href="#">Identification Documentation Requirements</a>' list available from our website.</p> <p>Please ensure the ID provided is <b>originally certified</b>.</p>

**Online Access** – *new customers only*

You will need this the first time you log in. Your Username will be provided in a welcome email when the account has been established.

Temporary Login Password

- i** Your nominated temporary password:
- Must be between 6 and 16 characters long
  - Is not case sensitive
  - Must not contain spaces
  - Can contain most characters except '<=>^{}'
  - Must not contain the word 'password'

**Additional Account Applicants**

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

**3. CHESS Registration Details**

**Email**

- Same as Applicant 1 email address       Same as Applicant 2 email address

Email address:

This email address will be used for electronic CHESS statement delivery.

- I do **not** wish to receive electronic CHESS statements.

**Address**

- Same as Applicant 1 Postal Address       Same as Applicant 2 Postal Address

Street address

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

**4. Settlement Options**

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

- Existing bank account

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

- i**
- If the linked bank account has one or more parties which are not the share trading account holders, you must provide identification of those parties with their signature and ensure they sign the Declaration & Signature/s section of this form.
  - If you are linking a Macquarie Cash Management Account (CMA) and would like to authorise your adviser with view only access to view the cash account balance on our website, please speak with your adviser so they can complete the appropriate Macquarie 'Third Party Authority' form available from Macquarie's website called the 'Financial Services Professional or Company Third Party Authority' form. Please select 'Enquiry Authority' and enter company code D642 for AUSIEX to access your linked CMA account, if this is not already in place.

Third party settlement – for example, a third-party Margin Loan or WRAP account

Third party settlement provider	Account name	Account number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Third party contact person – if known	Third party contact number – if known
<input type="text"/>	<input type="text"/>

**Dividend Redirection Request**

Pay my dividends directly to the nominated linked settlement account

- i** • Not all companies or share registries support electronic payment of dividends or their direction.  
 • Not applicable for Third Party Settlements, such as a Margin Loan. We will automatically send your BSB and Account Number to the share registries on your CHESS Sponsored Share Trading Account with the Participant.

**5. Share Transfer Requests – Optional**

- i** We are unable to accept DocuSign signatures for Share Transfers. To complete a Share Transfer request with your application, please print and sign the application pen to paper.

**Issuer to Broker Share Transfers**

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

- 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.

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

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

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

### Broker to Broker Share Transfers

Existing broker name

Participant Identification (PID)

Holder Identification Number (HIN)

Account number

New broker name

Participant Identification Number (PID) - AUSIEX PID is 6381

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

### Broker to Broker Transfer Instructions

a. Transfer ALL broker sponsored holdings to the Participant – *We will transfer your Holder Identification Number (HIN)*  Yes  No

OR

b. Transfer only the following existing broker sponsored holdings to the Participant  Yes  No

Please list the security/ies that you would like to transfer from your existing broker. Attach a separate sheet if more space is required.

ASX code or security name	Quantity

## 6. Client Declaration and Signature/s

All Applicant/s 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 (Cth)* 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 2 - New customer', and are providing either your Passport or Australian Driver Licence as the method of ID, 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 (Cth)*.
  - 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 (Cth)*.

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 my 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 being 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 Limited (APCA User ID no. 093993 – Debit and 093992 – 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 this application form.

**For electronic signatures only**

I/We agree that if I/we choose to execute this document which is required by the Participant, utilising DocuSign, I/we acknowledge that:

- a. I/we are signing this application form electronically and that my/our electronic signature is equivalent to my/our 'wet ink' signature;
- b. I/we are legally bound to the terms and conditions of this form; and
- c. I/we confirm that my/our electronic signature is valid and that I/we are authorised to enter into the relevant agreement with the Participant as described in this form.

**Applicant 1**

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

Signature – Must be signed pen to paper with the exception of using DocuSign

**Applicant 2 – If applicable**

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

Signature – Must be signed pen to paper with the exception of using DocuSign

**i** If there are more than 2 Applicant/s, please copy this page and attach it to your Application.

**Adviser Declaration and Signature**

- 1. As the adviser, I agree that the above named 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.

- d. I am legally bound to the terms and conditions of this form; and
- e. I confirm that my electronic signature is valid and that I am authorised to enter into the relevant agreement with the Participant as described in this form.

**Adviser**

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

Signature – Must be signed pen to paper with the exception of using DocuSign

**For electronic signatures only**

I agree that if I choose to sign this document utilising DocuSign, I acknowledge that:

- a. I hold an authorised, current, and valid licence for DocuSign;
- b. I have advised the signatory of this document that they are signing electronically;
- c. I am signing this application form electronically and that my electronic signature is equivalent to my 'wet ink' signature;

## Explanatory Notes

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

Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy. If you quote your TFN or ABN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Corporation, the provider of your cash management account, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.

### 2. Tax Identification Number (TIN)

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries.

A compilation of links to information about TINs for many countries can be found here: <http://www.oecd.org/>

Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in United Kingdom, Permanent Account Number (PAN) in India, IRD Number in New Zealand, and Tax Reference Number (TRN) in Malaysia.

### 3. Source of Funds and Source of Wealth

#### Source of Funds

The origin and the means of transfer of the Fund to service the new product (e.g. salary/wages, business income).

- Salary/Wages
- Commission
- Bonus
- Business income/earnings
- Business Profits
- Rental income
- Superannuation/pension

- Loan
- Insurance payment
- Compensation payment
- Government benefits
- Sales of an asset
- Liquidation of assets
- Redundancy
- Inheritance
- Gift/Donation
- Windfall
- Tax refund
- Additional Sources (provide sources)

#### Source of Wealth

- The origin of your financial standing or total net worth (e.g., how you have generated your wealth).
- Business income/earnings
- Business profits
- Compensation payment
- Employment income/earnings
- Gift/Donation
- Government benefits
- Inheritance
- Insurance payment
- Investment income/earnings
- Liquidation of assets
- Owns real estate/property
- Redundancy
- Refused to answer
- Rental income
- Sale of assets
- Superannuation/pension
- Windfall
- Additional Sources (provide sources)

Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ('AUSIEX') is a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') and Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. All trading, clearing, settlement and CHESS sponsorship arrangements are held directly with AUSIEX.

## How to submit your documents

### Clients

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

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](mailto:service@ausiex.com.au) 🌐 [ausiex.com.au](http://ausiex.com.au)

### Advisers

Lodge this form and all supporting documents  
**[ausiex.com.au](http://ausiex.com.au) > Administration > eSubmit**

