

## Which Company's Account Operators Need to be Changed?

Company name

Australian Company Number (ACN)

## New Director / Secretary

☐ 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

## Postal Address

☐ Same as residential address

Street address

Suburb

State

Postcode

Country

## Contact Details

Email address

This email address will be used for electronic statement delivery and will also be provided to relevant Issuers in accordance with AUSIEX's Privacy Policy.

☐ I do **not** wish to receive electronic CHESS statements and do not want my email address shared with Issuers.

Mobile number

Home number – *Optional*

Work number – *Optional*

## Employment Information

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

Job category

Job type

## Source of Funds and Source of Wealth

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

Source of Funds

Source of Wealth

**Please confirm the percentage of the company the Director owns.**

## 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'

## 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"/>	<b>Option 1 – Existing customer</b> If you are an existing customer, please provide your Username or share trading number below.  Username / Share trading account Number <input type="text"/>
<input type="radio"/>	<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 <a href="#">‘Identification Documentation Requirements’</a> 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.
<input type="radio"/>	<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 <a href="#">‘Identification Documentation Requirements’</a> list available from our website. Please ensure the ID provided is <b>originally certified</b> .

## Remove Directors / Secretaries

Name of director / secretary to be removed

Name of director / secretary to be removed

## Declaration and Acknowledgement

1. I/We authorise you to act in accordance with my/our instructions provided above.
2. I/We declare that the information provided on this form is 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. I/We acknowledge that the names of any director or secretary not registered with ASIC will be removed from the account.
4. I/We will promptly notify AUSIEX of any changes to the information.
5. I/We acknowledge that AUSIEX may require further information from time to time and I/we agree to promptly provide AUSIEX with whatever additional information is reasonably required by AUSIEX.
6. For companies holding trading accounts: I/We acknowledge that I/we have received and agree to be bound by the Share Trading Terms and Conditions and consent to the uses and disclosures of my/our personal information set out in the Privacy Policy available from the website.
7. 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 – Passport or Australian Driver Licence' in the Identification section above 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 have your identification verified electronically, please contact us for alternative options of confirming your identity.

### 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:

- I/we are signing this application form electronically and that my/our electronic signature is equivalent to my/our 'wet ink' signature;
- I/we are legally bound to the terms and conditions of this form; and
- 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.

### New Director / Secretary – If applicable

Full name	Date – DD/MM/YYYY
<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Signature – Must be signed pen to paper with the exception of using DocuSign	
<input type="text"/>	


 All current account operators need to sign this section.

### Existing Director / Secretary 1

Full name	Date – DD/MM/YYYY
<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Signature – Must be signed pen to paper with the exception of using DocuSign	
<input type="text"/>	

### Existing Director / Secretary 2 – If applicable

Full name	Date – DD/MM/YYYY
<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Signature – Must be signed pen to paper with the exception of using DocuSign	
<input type="text"/>	

 Ensure ASIC details are up to date before lodging this form with us.

## Explanatory Notes

### 1. 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)

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## 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**

