

1. Service Selection – *What service/s are you applying for?*

Please ensure you have the appropriate authorisation under you license for the service you have selected.

Share Trading
 Exchange Traded Options (ETOs)
 Warrants Trading

2. Adviser Details

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*

Adviser's company name
 Australian Company Number (ACN) or Australian Business Number (ABN)
 Authorised representative number

Employment Information

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

Job Category
 Job Type

Email address

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

Residential Address of the Adviser

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode

Country

Registered Address of the Business

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode

Country

Postal Address of the Business

Same as registered address

Street address

Suburb
 State
 Postcode
 Country – *If not Australia*

Dealer Group Details

AFSL holder			
AFSL number		Licensee name	

Business Development Manager (BDM) Details – Optional

Business Development Manager name

3. Online Access – You will need this password the first time you log in

Password must be 6-16 characters long and must not contain the word 'password'. A username will be emailed to you accompanying your registration confirmation.

Temporary password

4. Subscription Package Options

Please select from the following subscription packages:

Subscription Package	Features	Price (inc-GST)
<input type="checkbox"/> Standard (automatically applied)	<ul style="list-style-type: none"> Live market data company announcements Morningstar basic company research Morningstar Australian & World market reports 	Free
<input type="checkbox"/> Research Plus	All features of the standard package plus: <ul style="list-style-type: none"> Morningstar stock recommendations and research Corporate events calendar 	\$55/month
<input type="checkbox"/> ViewPoint	<ul style="list-style-type: none"> Integrated buy and sell functions, accessible from a range of screens and stock contexts Real-time, dynamic online market data and quotes on equities and derivatives Market overview information Enhanced charting abilities with added indicators and drawing tools Historical data Real-time charting Extensive market watch and alerts capabilities Customisable watchlists and custom keys Live ETO process 	\$342.82/month
<input type="checkbox"/> IRESSPro ¹		\$1375/month

¹ The IRESSPro monthly price is the base package price which includes IRESS Service Fee, ASX Market Point, IRESS News, Reference Data and S&P/ASX Index Data Access Fee. For any additional access features, an IRESS price list of additional modules and exchange royalties will be provided upon request via your BDM.

Data Feed

To set up data feed access, please email us with your instructions at service@ausiex.com.au or call us on 1800 252 351 for further information.

5. Adviser Acknowledgements

1. I understand and acknowledge that the law requires applicants to provide true and correct information and state all the names by which they are commonly known. I also understand that the law prohibits the use of false names, as well as the giving, use or production of false or misleading information on documents in connection with an identification procedure.
2. I understand that the additional services have monthly fees as indicated in the pricing schedule (subject to variation). I authorise the Participant to deduct any fees charged to me in the end of month payment process.
3. I declare:
 - a. That the information provided in this form is true and correct;
 - b. I have appropriate qualifications, training and experience;
 - c. I am an authorised representative of the Dealer Group;
 - d. I have the relevant authorisations from the Dealer Group for the services applied for under this form;
 - e. A copy of the Dealer Group Agreement and/or Dealer Terms of Trade has been provided to me; and
 - f. I have read and agree to the terms in the Dealer Group Agreement and/or Dealer Terms of Trade which relate to the provision of the nominated services.
4. I acknowledge that I am responsible to promptly inform AUSIEX if there is any change to my status as an authorised representative of an AFS.
5. I consent to the collection, use and exchange of my personal information for the purposes of managing and maintaining my relationship with you, including confirming my identity, communicating with me, and complying with relevant laws and regulations. I understand that personal information collected, used or shared (including with third parties) will be in accordance with the terms outlined in the AUSIEX Privacy Policy available from the AUSIEX website. I have read through your Privacy Policy as it contains important information on how AUSIEX handles personal information and details on how to raise privacy concerns and complaints.
6. I have read and agree to accept and abide by the Participant's Terms and Conditions and Terms of Access prior to receiving any financial service. These, along with other legal documents are available on AUSIEX's website and I agree to access these documents from the website.

Adviser full name Date signed – DD / MM / YYYY

 /
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Signature – *Must be signed pen to paper*

Where to from here?

Please attach copies of the following documents:

All applicants

- Certified copy of Driver Licence or Passport (both the front and back of the licence)
- Authorised Representative Certificate or Employee Representative Certificate

Advisers planning to trade options on behalf of clients

- Level 2 ADA Certificate - to provide advice on warrants and all exchange-traded options strategies (including naked strategies)

Share trading is a service provided by Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 (AUSIEX, the Participant, we, us, our), 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.

How to submit your documents

Once completed and signed, please scan and email the form to

✉ service@ausiex.com.au

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

📞 1800 252 351
 🌐 ausiex.com.au