

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

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

☐ Australian Share Trading
 ☐ International Markets
 ☐ 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

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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 – For Australian Shares only

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.

For electronic signatures only

- I agree that if I choose to sign this document utilising DocuSign, I acknowledge that:
 - a. 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;
 - 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

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

Where to from here?

Please attach copies of the following documents:

All applicants

<input type="checkbox"/>	Certified copy of Driver Licence or Passport (both the front and back of the licence)
<input type="checkbox"/>	Authorised Representative Certificate or Employee Representative Certificate

Advisers planning to trade options on behalf of clients

<input type="checkbox"/>	Level 2 ADA Certificate - to provide advice on warrants and all exchange-traded options strategies (including naked strategies)
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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