

SECTION 4 – APPLICANT DETAILS

MANDATORY

APPLICANT 1 / TRUSTEE 1 / DIRECTOR 1 (Primary Contact)

MANDATORY

*Title Existing OpenMarkets account no. (if applicable):

*Given Name(s)
Include middle name

*Surname

*Date Of Birth / / Gender: Male Female

*Residential Address
Not a PO Box

*Occupation

Mobile (WebTrader password sent via SMS)

*Email
Must be your own email address. This email will be the primary recipient of contract notes and will be used as your WebTrader login username (if applicable).

Sole Director? Yes

RESIDENCY & TAX INFORMATION

MANDATORY

Please provide details of all countries in which you are citizen, resident and/or tax resident

Country	Citizen (Y/N)	Resides in (Y/N)	Tax Resident (Y/N)
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			

APPLICANT 2 / TRUSTEE 2 / DIRECTOR 2 or COMPANY SECRETARY

IF APPLICABLE

*Title Existing OpenMarkets account no. (if applicable):

*Given Name(s)
Include middle name

*Surname

*Date Of Birth / / Gender: Male Female

*Residential Address
Not a PO Box

Occupation

Mobile (WebTrader password sent via SMS)

Email
Optional but if provided, must be your own email address.

RESIDENCY & TAX INFORMATION

MANDATORY

Please provide details of all countries in which you are citizen, resident and/or tax resident

Country	Citizen (Y/N)	Resides in (Y/N)	Tax Resident (Y/N)
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			

FOR APPLICANT 3 please photocopy this page and complete/attach to this application, and sign in Section 12.

SECTION 5 – COMPANY DETAILS

IF A COMPANY TRUSTEE

Company Name (as registered with ASIC)		
ABN/ACN	OR Foreign Registration Number	
Company Type	Proprietary	Public
Industry		
Registered Address		
Not a PO Box		
Principal Place of Business (If any)		
same as above		

REGULATORY/LISTING DETAILS

IF APPLICABLE

Regulated company (a company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. E.g. Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL);

Regulator name: _____ License details/no: _____

Australian listed company

Name of market/exchange: _____

Majority-owned subsidiary of an Australian listed company

Company name: _____ Market/exchange: _____

Foreign Company

Foreign registration authority: _____

SECTION 6 – SETTLOR OF TRUST

UNREGULATED TRUSTS ONLY

Was the trust established with a 'settled sum' of \$10,000 or more? Yes No

If Yes, provide full name of settlor: _____

SECTION 7 – ADDITIONAL DIRECTORS

IF APPLICABLE

Are there additional directors who are not applicants on this account? If Yes, please provide names below:

1. Full Name _____
2. Full Name _____
3. Full Name _____
4. Full Name _____

If there are more directors, please provide on a separate sheet.

SECTION 8 – BENEFICIAL OWNERSHIP

MANDATORY

List individual beneficiaries or class of beneficiaries **who own 25% or more of the assets held in trust, or who control 25% or more of the entity** (directly or indirectly), for example through voting rights e.g. CEO or Managing Director.

Beneficiary 1

Full Name: _____

same as Trustee 1

Residential address: _____

DOB _____

Beneficiary 2

Full Name: _____

same as Trustee 2

Residential address: _____

DOB _____

Beneficiary 3

Full Name: _____

same as Trustee 3

Residential address: _____

DOB _____

OR Class of Beneficiaries:

(Group of beneficiaries rather than individual names)

For additional beneficiaries or where a beneficiary is a group or entity, and the directors of that entity are different to the trustees on this application, please provide the underlying individuals' details on a separate sheet of paper and attach to this form.

SECTION 9 – LINKED CASH ACCOUNT

NOT APPLICABLE FOR MARGIN LOAN ACCOUNTS

To settle transactions through OpenMarkets you will need one of the following cash accounts:

1. **Bank West** 'Cash Management Account' (CMA)
2. **DDH Graham** 'Money Market Deposit Account' (MMDA)
3. **Macquarie** 'Cash Management Account' (CMA)

Your adviser will assist you in establishing a new cash account or how to link an existing one (where third party authority is granted to OpenMarkets).

Please provide your cash account details:

Provider: Bank West DDH Graham Macquarie

A/C Name: _____

BSB: _____

A/C No. _____

INCOME DIRECTION

MANDATORY

Would you like OpenMarkets to direct all Issuers (or its nominee) to pay all cash dividends, distributions, interest or income payable, referable to your sponsored holdings, by direct credit into your linked cash account?

Yes, please advise each issuer of my linked cash account details

No, I will notify each issuer separately including participation in Dividend Reinvestment Plans (DRP's)

SECTION 10 – APPLICATION TO TRADE WARRANTS

OPTIONAL

Would you like to apply to trade Warrants? Yes

If **Yes** is selected, you acknowledge that all information relating to Warrants in the Client Agreement applies, which states that before you instruct us to deal in warrants, you must have read a copy of the [Explanatory Booklet](#) issued by ASX in respect of Warrants, which can be obtained via OpenMarkets website or directly via the ASX website.

All trading accounts are CHESS sponsored by OpenMarkets unless you are using a margin loan to settle on this account.

This means a single Holder Identification Number (HIN) will be used to identify all holdings under this account at the share registries. You can choose to transfer an existing HIN from another broker or otherwise we will establish a new HIN

CHESS Registration
Address

same as Applicant 1

This address will be used to register your account with CHESS and the relevant share registries.

TRANSFER EXISTING HIN

OPTIONAL

If you have an existing HIN at another broker that you wish to transfer to OpenMarkets along with all of its holdings, or you would like to transfer some of the holdings, please complete the below details.

Current Sponsoring Broker	_____	Broker PID (if known)	_____
Account Name (as at other broker)	_____		
Account Designation (if applicable)	< _____		_____ > A/C
Registration Address (as at other broker)	_____		
Holder Identification Number (HIN)	X _____		Max 11 digits.

What would you like to transfer?

Transfer my/our HIN and all its holdings – *please attach portfolio summary to this application*

Transfer only some of holdings from my/our HIN – *please attach details of holdings to this application*

AUTHORISATION TO TRANSFER HIN/HOLDINGS

Account Holder 1
(PRINT NAME)

Signature X _____

Account Holder 2
(PRINT NAME)

Signature X _____

Account Holder 3
(PRINT NAME)

Signature X _____

Date

OR

OR USE YOUR MARGIN LOAN / WRAP ACCOUNT

OPTIONAL

Complete only if you wish to settle transactions through an existing margin loan or wrap account. **Please also complete the provider's corresponding third party authority form.**

Provider:

e.g. Leveraged

Account Name

Facility No.

HIN (if applicable)

ALL clients MUST sign this declaration.**By signing below I/We (the applicant(s)/Client(s)):**

- a) declare that the information provided in this Application Form is current and correct, and acknowledge that it forms part of the contract;
- b) acknowledge that I/we are entering into an agreement with OpenMarkets Australia Limited ABN 38 090 472 012 AFSL 246705 and that I/we have received, read, understood and agreed to the terms and conditions outlined in the following OpenMarkets documents:
 - i) Adviser Services Client Agreement including Part 2 CHESS Sponsorship Agreement;
 - ii) Financial Services Guide (FSG); and
 - iii) Best Execution Policy.
- c) acknowledge and agree that all confirmations are to be sent to me electronically to my/our email address(es).

Adviser Authority to Operate. I/We:

- a) authorise the Adviser nominated in this Application Form to open a Trading Account with OpenMarkets and to give instruction to OpenMarkets on my/our behalf;
- b) authorise OpenMarkets to accept instructions on my/our behalf from my/our Adviser and confirm that my/our Adviser has the power to do the following:
 - i) to have access to, receive and enquire information pertaining to my/our account;
 - ii) to acquire, buy, deal with and dispose of, or sell any financial products;
 - iii) to execute all contracts and other documents necessary or proper for the dealing and transfer of financial products and related matters;
 - iv) to receive, hold or arrange custody of evidence or title to financial products; and
 - v) to execute all rights, obligations, duties and privileges now and in the future with regard to transacting in financial products that pertain to me/us as the holder of financial products.
- c) acknowledge that my/our Adviser may delegate the authorisation in the above clause (clause d) to persons nominated by the Adviser from time to time;
- d) accept that my/our Adviser has access to all information relating to transactions undertaken in relation to dealing with OpenMarkets; and
- e) declare that I have the legal capacity to make these declarations, accept the conditions and enter into the agreements referred to in the points above.

Trustee 1 Name
(PLEASE PRINT)

Signature

Trustee 2 Name
(PLEASE PRINT)

Signature

Trustee 3 Name
(PLEASE PRINT)

Signature

Date

Adviser Declaration

1. As the Adviser, I agree that the above client has been issued with all parts of the OpenMarkets Adviser Services Client Agreement and Financial Services Guide prior to receiving any financial service from OpenMarkets
2. As the Adviser, I agree that I have performed the necessary identification check required by law and that I have sufficient evidence that this check will be kept for seven years.
3. As the Adviser, I acknowledge that OpenMarkets relies upon us to perform the necessary ID check and that OpenMarkets can request copies of identification at any time.

Adviser Name
(PLEASE PRINT)

Signature

Date