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CIA, DD, DVP Application Form

Execution, Clearing and Settlement through: Share Investing Limited ABN 93 078 174 973, AFSL No. 238277, an ASX and Chi-X Australia market participant, an ASX Clear participant and ASX Settlement participant.

This form must be completed for all new clients.
Please send completed form to:

Email anzsi_newaccounts@anz.com

Share Investing Limited
PO Box 1346
Royal Exchange NSW 1224

ADVISER TO COMPLETE

Adviser name

Client Account No.

Brokerage Scale

1. TYPE OF ACCOUNT

Individual Joint Sole Trader Company Superfund/Trust Registered Body

2. FOR SOLE TRADER, COMPANY, TRUST/SUPERFUND OR REGISTERED BODY ACCOUNTS ONLY

For superannuation funds with a company trustee, please provide an ACN. For superannuation funds with individual trustees, please provide an ABN.

ACN or ABN/ABRN

3. CHESS REGISTERED ACCOUNT NAME

The name you nominate here will be your CHESS Registered Name. Account Designation is the name of the superfund, trust or minor's name.

Account Name
(e.g. Mr John Smith + Mrs Jane Smith or ABC Pty Ltd)

Account Designation A/C>
(e.g. <Smith S/F>)

4. ADDRESS

Individual, joint accounts or sole traders to provide a residential address. Company, super and trust accounts, to provide the registered address. This will be your CHESS registered address **unless** you provide an address in question 5 or 6.

Address (Not P.O. Box)
Suburb/City State Postcode Country

5. POSTAL ADDRESS (if different from above)

This will be your CHESS registered address, **unless** you provide an address in question 6. Contract notes will be sent to this address if provided.

Address
Suburb/City State Postcode Country

6. ADVISER ADDRESS

If address is provided this will be the CHESS Registered Address.

Address
Suburb/City State Postcode Country

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7. CONTACT DETAILS

Please tick your preferred means of contact. An email address plus at least one phone number is required.

Phone	<input type="checkbox"/>	Work	<input type="text"/>	<input type="checkbox"/>	Home	<input type="text"/>
	<input type="checkbox"/>	Mobile	<input type="text"/>	<input type="checkbox"/>	Fax	<input type="text"/>
Email	<input type="checkbox"/>	<input type="text"/>				

8. ACCOUNT HOLDER 1

Please provide details for an individual, trustee, custodian or company director.

All fields are mandatory and your account will not be processed if you do not complete all sections.

Title	<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Ms	<input type="checkbox"/> Miss	Other <input type="text"/>	Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Family name	<input type="text"/>							
Given names	<input type="text"/>						Date of Birth (dd/mm/yyyy)	<input type="text"/>
Occupation	<input type="text"/>							
Residential Address	<input type="text"/>							
Suburb/City	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>	Country	<input type="text"/>	
Citizenship	<input type="text"/>				<input type="text"/>			
	Primary (e.g. Australian)				Secondary (if applicable e.g. British, Indonesian, Japanese etc.)			

Tax Residency Details

Please complete where the Account Holder is an Individual or Sole Trader

(Please note, US Citizens are considered to be Tax Residents of the US)

I am only Tax Resident in Australia

OR

I have included below all countries in which I am Tax Resident (other than Australia)

Country of Tax Residence (Do not include country of Australia)	Taxpayer Identification Number (TIN) (or country equivalent)	Reason Code (if TIN not provided)	Explanation (if Reason Code is Z)
<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"/>

Reason codes:

A – TIN Not Issued (The Country does not issue TINs)

B – TIN Not Required (The Country does not require collection of a TIN)

C – TIN Applied For (I have applied for a TIN and will inform you upon receipt)

Z – TIN Unobtainable (I am unable to obtain a TIN) Please provide explanation.

ANZ Customers only

Current ANZ Account Number

Customer Reference Number

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9. ACCOUNT HOLDER 2

Please provide details for an individual, trustee, custodian or company director.
All fields are mandatory and your account will not be processed if you do not complete all sections.

Title Mr Mrs Ms Miss Other Gender Male Female

Family name

Given names Date of Birth (dd/mm/yyyy)

Occupation

Residential Address

Suburb/City State Postcode Country

Citizenship

Primary (e.g. Australian) Secondary (if applicable e.g. British, Indonesian, Japanese etc.)

Tax Residency Details

Please complete where the Account Holder is an Individual or Sole Trader

(Please note, US Citizens are considered to be Tax Residents of the US)

I am only Tax Resident in Australia

OR

I have included below all countries in which I am Tax Resident (other than Australia)

Country of Tax Residence (Do not include country of Australia)	Taxpayer Identification Number (TIN) (or country equivalent)	Reason Code (if TIN not provided)	Explanation (if Reason Code is Z)
<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"/>

Reason codes:

A – TIN Not Issued (The Country does not issue TINs)

B – TIN Not Required (The Country does not require collection of a TIN)

C – TIN Applied For (I have applied for a TIN and will inform you upon receipt)

Z – TIN Unobtainable (I am unable to obtain a TIN) Please provide explanation.

ANZ Customers only

Current ANZ Account Number

Customer Reference Number

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10. ACCOUNT HOLDER 3

Please provide details for an individual, trustee, custodian or company director.
All fields are mandatory and your account will not be processed if you do not complete all sections.

Title Mr Mrs Ms Miss Other Gender Male Female

Family name

Given names Date of Birth (dd/mm/yyyy)

Occupation

Residential Address

Suburb/City State Postcode Country

Citizenship

Primary (e.g. Australian) Secondary (if applicable e.g. British, Indonesian, Japanese etc.)

Tax Residency Details

Please complete where the Account Holder is an Individual or Sole Trader

(Please note, US Citizens are considered to be Tax Residents of the US)

I am only Tax Resident in Australia

OR

I have included below all countries in which I am Tax Resident (other than Australia)

Country of Tax Residence (Do not include country of Australia)	Taxpayer Identification Number (TIN) (or country equivalent)	Reason Code (if TIN not provided)	Explanation (if Reason Code is Z)
<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"/>

Reason codes:

A – TIN Not Issued (The Country does not issue TINs)

B – TIN Not Required (The Country does not require collection of a TIN)

C – TIN Applied For (I have applied for a TIN and will inform you upon receipt)

Z – TIN Unobtainable (I am unable to obtain a TIN) Please provide explanation.

ANZ Customers only

Current ANZ Account Number

Customer Reference Number

11. CONTRACT NOTES

Please tick your preference. I/we would like to receive my/our contract notes by

Email

Post

Email and post

12. CUSTODIAN/MARGIN LENDER DETAILS (complete this section if you are applying for a DVP account)

This account must be in the name of, or include the name of, the party in question 3.

Custodian Name

PID HIN

External Reference Number

CTM Reference (Optional)

If you completed question 12, please go to question 18 Acknowledgements/Declaration.

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13. NOMINATED FINANCIAL INSTITUTION ACCOUNT

You must nominate a financial institution account in the name of, or including the name of the party shown in question 3 into which we will credit any funds withdrawn from your ANZ Cash Investment Account. On request, cleared funds are remitted to this financial institution account as cheque withdrawals are not available.

Account Holder Name	<input type="text"/>		
BSB Number	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	Account Number	<input type="text"/>

14. TAX FILE NUMBER

Individual and joint accounts: please provide the Tax File Number (TFN) of each Account Holder signing.

Companies, funds or trust accounts: please provide the TFN of the entity.

The collection of TFN's is authorised by the Australian Taxation Office. It is not compulsory to quote a TFN, however if you choose not to, withholding tax will be applied at the highest rate. Should you choose to provide a TFN, we will pass it on to Share Investing Limited, ANZ Bank and share registries with whom you hold securities.

Tax File Number – Account Holder 1	<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"/>	Or Exemption Code	<input type="text"/>
Tax File Number – Account Holder 2	<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"/>	Or Exemption Code	<input type="text"/>

15. DIRECT DEBIT

I/We authorise and request Share Investing Limited to arrange for funds to be debited from my/our account at the financial institution identified in question 13.

I/We understand and acknowledge that:

1. My financial institution has absolute discretion to decide the order in which it will pay money under this request, or any other request, authority or mandate;
2. My financial institution has absolute discretion to refuse to honour this request at any time;
3. You may vary the amount or frequency of future debits to meet amounts payable under the product;
4. This request operates on the terms of the attached Direct Debit Service Agreement.

Yes No

16. CHESS SPONSORSHIP TRANSFER

Complete only when transferring sponsorship to Share Investing Limited.

I/We am/are currently sponsored on CHESS by another broker or have issuer sponsored securities but would prefer to hold some or all of my/our securities with Share Investing Limited sponsorship. Please read the CHESS Sponsorship Terms (contained within the Trading Terms and Conditions) and if you agree with the terms contained therein, complete this section.

Broker Sponsored Holdings (please attach a copy of your CHESS holding statement)			
Name of Existing Sponsoring Broker	<input type="text"/>	HIN to be transferred	<input type="text"/>
CHESS Registered Account Name <input type="text"/>			

If you complete this section your HIN and all holdings on the HIN will be transferred from your existing broker to Share Investing Limited.

To transfer selected holdings or issuer sponsored holdings complete the Broker to Broker Transfer or Issuer Sponsored Conversion forms.

Please note, transfers may require you to re-notify the share registries of your instructions regarding dividend reinvestment plans and Tax File Numbers. The account name and address with your existing broker must be EXACTLY the same as your account name and address with Share Investing Limited.

17. DIVIDEND DIRECTION

Only applicable if distribution is paid into the ANZ Cash Investment Account.

Please tick.

I/We hereby authorise and request Share Investing Limited to instruct the share registries of any companies in which I hold shares to pay any dividends and other distributions directly into my/our ANZ Cash Investment Account. These instructions apply for all existing holdings and future holdings. Please note:

- This dividend direction applies only to shares held in the account name below which are Broker Sponsored by Share Investing Limited.
- These instructions will override all previous instructions that you have provided to share registries regarding payment of dividends.

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17. DIVIDEND DIRECTION (continued)

- If you wish to use an account other than your Share Investing Limited Settlement Account for the direct crediting of dividends, you will need to liaise directly with the relevant share registries.
- This form operates as a standing authorisation and instruction by you to Share Investing Limited in relation to any shares that you purchase through Share Investing Limited at any time after the date of this form. Share Investing Limited will provide your Share Investing Limited Settlement Account details to the relevant registry at the time of purchasing the stock for you.
- You may cancel your Dividend Direction Request at any time by a written confirmation.

18. ACKNOWLEDGEMENTS/DECLARATION

1. I/We acknowledge having received, read and understood the Financial Services Guide and ANZ Privacy Policy.
2. I/We acknowledge having received, read, understood and agree to be bound by the Trading Terms and Conditions (including the Best Execution Policy and CHES Sponsorship Agreement) and Direct Debit Service Agreement (if applicable).
3. I/We authorise Share Investing Limited to open a Bank Account as Account Holder and trustee of which I/we are beneficiaries for the purpose of settling share transactions on the account (applicable for opening an ANZ Cash Investment Account).
4. I/We authorise to give effect to my instructions regarding execution and settlement of my/our securities transactions, request transfers to the linked nominated account and to request information relating to my account. I will be bound by all such instructions.

For Company/Partnership/Trust (Referring to the Know Your Customers section)

I/We certify that; I/We understand and agree to all matters specified in this form and this declaration; the place of establishment/registration of the Company/Partnership/Trust specified in this form is accurate and can be relied upon by Share Investing Limited; the nature of business specified in this form generates at least 50% of Company's/Partnership/Trust gross income; and all other information provided in this form is true and correct.

Anti-Money Laundering and Sanctions

The Client agrees that Share Investing Limited may delay, block or refuse to process any transaction without incurring any liability if Share Investing Limited suspects that:

- a. the transaction may breach any laws or regulations in Australia or any other country;
- b. the transaction involves any person (natural, corporate or governmental) that is itself sanctioned or is connected, directly or indirectly, to any person that is sanctioned under economic and trade sanctions imposed by the United States, the European Union or any country; or
- c. the transaction may directly or indirectly involve the proceeds of, or be applied for the purposes of, unlawful conduct. The Client must provide all information to Share Investing Limited which Share Investing Limited reasonably requires in order to manage money-laundering or terrorism-financing and economic and trade sanctions risk or to comply with any laws or regulations in Australia or any other country. Unless the Client has disclosed that it is acting in a trustee capacity or on behalf of another party, the Client warrants that it is acting on its own behalf in signing this Application Form. The Client declares and undertakes to Share Investing Limited that the processing of any transaction by Share Investing Limited in accordance with the Client's instructions will not breach any laws or regulations in Australia or any other country.

19. SIGNATORY REQUIREMENTS

Signature	<input type="text"/>	Date	<input type="text"/>
Name	<input type="text"/>		
Title (if company)	<input type="text"/>		
Signature	<input type="text"/>	Date	<input type="text"/>
Name	<input type="text"/>		
Title (if company)	<input type="text"/>		
Signature	<input type="text"/>	Date	<input type="text"/>
Name	<input type="text"/>		
Title (if company)	<input type="text"/>		

For joint applicants, please indicate signatory requirements for all written instructions (please tick one)

- Either applicant to sign All applicants to sign

Share Investing Limited Direct Debit Service Agreement

This agreement sets out the terms on which you have authorised Share Investing Limited to arrange for amounts owing to Share Investing Limited, to be made by deduction from your account at the **approved financial institution**.

1. You will need to complete the Direct Debit Request in the Application Form to use the Share Investing Limited trading facility provided by us (the 'Service').
2. By the Direct Debit Request, you authorise us to arrange for amounts that become payable to Share Investing Limited under the Service, to be made by deduction from your account at the **approved financial institution** written on your application form.
3. Your Direct Debit Request allows us to arrange for payment to us for the amounts on the trade day or other nominated times, as required by the Trading Terms and Conditions ('Conditions') of the Service including all amounts in relation to your trading instructions or your adviser's trading instructions to us.
4. You can cancel your Direct Debit Request by calling us on 1300 363 241 8:30 am to 5:00 pm AEST weekdays. We will require 6 working days to process your cancellation request (in some cases, we will also need your written confirmation). You or your adviser cannot, however, vary, defer or suspend it, or stop or suspend an individual debit from taking place under it.
5. Once you have asked us to cancel your Direct Debit Request:
 - We will cancel any outstanding buy orders that have been approved on the basis of accessing funds via direct debit;
 - We can still use the Direct Debit Request to process any filled, but unsettled, buy orders for another 6 working days; and
 - You will not be able to give further buy orders without cleared funds in your ANZ Cash Investment Account or until we have received a replacement Direct Debit Request.
6. Debits will be processed in accordance with the Conditions of the Service. If a due date for a debit falls on a weekend or public holiday, the debit will be processed on the next settlement day. Please contact us if you are uncertain when a debit will be processed to your account.
7. You must ensure that you have sufficient **cleared funds** available in the nominated account by the due date to permit the payments under the Direct Debit Request as required by the Conditions of the Service.

IMPORTANT Information: The funds will be drawn on trade day. Please ensure that when placing an at limit order that cleared funds are maintained in the account at the approved financial institution, during the entire life of the order. Insufficient cleared funds in your nominated financial institution account e.g. an uncleared cheque deposit will result in the drawing being unsuccessful.

8. If a drawing is unsuccessful you or your adviser will need to transfer cleared funds to the ANZ Cash Investment Account by the settlement date.
9. Please contact Share Investing Limited on 1300 363 241 if you have any questions about your Direct Debit Request, such as concerns about a debit that we make under it. We will reply to you within seven (7) days.
10. We can vary this Service Agreement at any time after giving you 14 days notice of the changes.
11. We will keep information about your financial institutions account confidential, except to the extent necessary to resolve any claim you might make relating to a debit which you claim has been made incorrectly.
12. Please ensure that your **approved financial institution** allows direct debits on your nominated account.