

This is an application to open a trading account with OpenMarkets Australia Limited ABN 38 090 472 012 AFSL 246705 on behalf of Independent Capital Advisers Pty Ltd ABN 95 765 269 541 AFSL No 378693.

Account Details				ADVISER TO COMPLETE
Adviser Name	_____	Adviser Code	_____	
Contact Tel	_____	Brokerage	_____	
C/N copies email	_____	Data feeds to	_____	
Client WebTrader Login	Trading	View-only	None	

SECTION 1 – COMPANY TYPE				MANDATORY
Company	Association	Partnership	Business	
Incorporated Body	Charity (provide purpose): _____			

SECTION 2 – COMPANY DETAILS				MANDATORY
Company Name (as registered with ASIC)	_____			
ABN/ACN	_____	OR Foreign Registration Number:	_____	
Company Type	Proprietary	Public		
Industry Type	_____			
Registered in Australia?	Yes	No (if No please also complete <i>Supplementary Information</i> from)		
Company Tax File Number	_____	OR Exemption Code:	_____	
Company Registered Address	_____			
Not a PO Box	_____			
Physical Place of Business	_____			
Same as above	_____			

REGULATORY/LISTING DETAILS		IF APPLICABLE
<p><b>Regulated company</b> (a company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body. E.g. Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees.)</p>		
Regulator name:	_____	License number: _____
<p><b>Australian listed company</b></p>		
Market/exchange:	_____	
<p><b>Majority-owned subsidiary of an Australian listed company</b></p>		
Company name:	_____	Market/exchange: _____
<p><b>Foreign Company</b></p>		
Foreign registration authority:	_____	

^ OpenMarkets is authorised by the Australian taxation law to ask for your TFN. You're not required to provide your TFN and it's not an offence if you decide not to. However if you don't provide it, any withholding tax required by law to be deducted will be deducted at the highest marginal rate. If you provide your TFN, you authorise OpenMarkets to disclose it to all investment providers' parties where doing so is in accordance with taxation law, and that this authority will apply until it is revoked or amended in writing to OpenMarkets.

**SECTION 3 – APPLICANT DETAILS** MANDATORY

**APPLICANT 1 / DIRECTOR 1 (Primary Contact)** MANDATORY

*Title	<input type="text"/>		<input type="text"/>
			Existing OpenMarkets account no. (if applicable):
*Given Name(s) Include middle name	<input type="text"/>		
*Surname	<input type="text"/>		
*Date Of Birth	<input type="text"/> / <input type="text"/> / <input type="text"/>	Gender:	Male      Female
*Residential Address Not a PO Box	<input type="text"/>		
*Occupation	<input type="text"/>		
Mobile	<input type="text"/>	(WebTrader password sent via SMS)	
*Email	<input type="text"/>		
	<i>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).</i>		
Sole Director?	Yes		

**RESIDENCY & TAX INFORMATION**

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 / DIRECTOR 2 or COMPANY SECRETARY** IF APPLICABLE

*Title	<input type="text"/>		<input type="text"/>
			Existing OpenMarkets account no. (if applicable):
*Given Name(s) Include middle name	<input type="text"/>		
*Surname	<input type="text"/>		
*Date Of Birth	<input type="text"/> / <input type="text"/> / <input type="text"/>	Gender:	Male      Female
*Residential Address Not a PO Box	<input type="text"/>		
Occupation	<input type="text"/>		
Mobile	<input type="text"/>	(WebTrader password sent via SMS)	
Email	<input type="text"/>		
	<i>Optional but if provided, must be your own email address.</i>		

**RESIDENCY & TAX INFORMATION**

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 9.**

**SECTION 4 – ADDITIONAL DIRECTORS**

IF APPLICABLE

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

1. Full Name	<input type="text"/>	3. Full Name	<input type="text"/>
2. Full Name	<input type="text"/>	4. Full Name	<input type="text"/>

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

**SECTION 5 – BENEFICIAL OWNERSHIP / COMPANY CONTROLLER**

MANDATORY

List individuals or entities who **own or control 25% or more of the company** (either directly or indirectly), for example through voting rights e.g. CEO or Managing Director.

**Beneficiary/Controller 1**  
same as Applicant 1

Full Name:

Residential address:

DOB:

**Beneficiary/Controller 2**  
same as Applicant 2

Full Name:

Residential address:

DOB:

**Beneficiary/Controller 3**  
same as Applicant 3

Full Name:

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 6 – 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:	<input type="text"/>		
BSB:	<input type="text"/>	A/C No.	<input type="text"/>

**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 7 – 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.

**SECTION 8 – CHESS SPONSORSHIP (or MARGIN LOAN / WRAP SETTLEMENT)**

**MANDATORY**

**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 SETTLE USING A 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.

**Applicant 1 Name**  
(PLEASE PRINT)

Signature X

**Applicant 2 Name**  
(PLEASE PRINT)

Signature X

**Applicant 3 Name**  
(PLEASE PRINT)

Signature X

**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 X

**Date**