

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 – ACCOUNT TYPE MANDATORY

INDIVIDUAL (or Sole Trader) JOINT applicants (2 persons)

SECTION 2 – APPLICANT DETAILS MANDATORY

APPLICANT 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	_____			
	Other Phone: _____			
*Email	_____			

Must be your own email address. This email will be the primary recipient of contract notes and will be used as your platform login username.

RESIDENCY & TAX INFORMATION MANDATORY

Please provide details of all countries in which you are citizen, resident and tax resident, along with your Tax File Number (TFN) and/or Tax Identification Number (TIN).

Country	Citizen (Y/N)	Resides in (Y/N)	Tax Resident (Y/N)	^TFN OR Exemption Code / TIN
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

ADDITIONAL INFORMATION – Sole Traders only IF APPLICABLE

Business Name (if any) _____	ABN (if any) _____
Principal Place of Business _____	

[^] 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 the disclosure of it to third parties where doing so is in accordance with taxation law.

SECTION 2 – APPLICANT DETAILS (continued)

APPLICANT 2

IF APPLICABLE

*Title		Existing OpenMarkets account no. (if applicable):		
*Given Name(s) Include middle name				
*Surname				
*Date Of Birth	/	/	Gender:	Male Female
*Residential Address Same as Applicant 1				
*Occupation				
*Mobile	Other Phone:			
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 tax resident

Country	Citizen (Y/N)	Resides in (Y/N)	Tax Resident (Y/N)	^TFN OR Exemption Code / TIN

For APPLICANT 3 please photocopy this page and complete/attach to application. Please also sign in Section 6.

SECTION 3 – 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)

Please provide your cash account details:

Provider	Bank West	DDH Graham	Macquarie
Existing 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 4 – 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 our website or directly via the ASX website.

[^] 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 the disclosure of it to third parties where doing so is in accordance with taxation law.

All trading accounts with OpenMarkets must be CHESS Sponsored by us (your broker) 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 your 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.

Please provide the address that you wish to register at CHESS and the relevant share registries.

CHESS Registration Address

Same as Applicant 1

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) _____

SECTION 6 – CLIENT DECLARATION & SIGNATURE

MANDATORY

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