

This is an application to apply to transact in Options 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.

Selling multiple 'one offs'

You can use this form to sell up to three holdings, however all holdings must be registered the same name (name and address is identical). If holdings are registered differently, you must correct the details first with the share registry.

Adviser Details	
Adviser Name _____	OM Adviser Code _____
Contact Tel. _____	Brokerage Code (default) _____

HOLDING & REGISTRATION DETAILS

Provide the registered name/entity and address of the Issuer holding (as per holding or dividend statement):

Registered Name(s)	_____	
Account Designation (if applicable)	< _____	A/C> _____
Registered Address	_____	

AUTHORISATION TO SELL

The below holding(s) will be sold the current market price at the time this application is processed. If you wish to be contacted by OpenMarkets to discuss the price of the shares first, please indicate below.

I/we wish to be contacted by OpenMarkets to discuss the sale price of my/our shares

I/we authorise OpenMarkets to sell:

Full name of Security/Stock	_____	Stock Code e.g. BHP	_____
Quantity (in numbers)	_____		
Quantity (in words)	_____		
Security Reference Number e.g. I0009876555	_____		

ADDITIONAL HOLDINGS TO SELL (registered in the same name and address)

IF APPLICABLE

I/we authorise OpenMarkets to sell:

Full name of Security/Stock	_____	Stock Code e.g. BHP	_____
Quantity (in numbers)	_____		
Quantity (in words)	_____		
Security Reference Number e.g. I0009876555	_____		

I/we authorise OpenMarkets to sell:

Full name of Security/Stock	_____	Stock Code e.g. BHP	_____
Quantity (in numbers)	_____		
Quantity (in words)	_____		
Security Reference Number e.g. I0009876555	_____		

SHAREHOLDER DETAILS

MANDATORY

SHAREHOLDER 1 (Primary Contact)

MANDATORY

*Full Name

*Date Of Birth

*Residential Address
Not a PO Box

Mobile

*Email *Must be your own email address*

*Occupation

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

Country	Citizen	Resides in	Tax Resident	Tax File Number/Tax ID^
<input type="text"/>				<input type="text"/>
<input type="text"/>				<input type="text"/>

US tax residents must also complete a [W-9 Form](#) and attach to this application. For additional countries of citizenship etc, please provide details on a separate sheet of paper.

SHAREHOLDER 2

IF APPLICABLE

*Full Name

*Date Of Birth

*Residential Address
Not a PO Box

Email *optional*

*Occupation

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

Country	Citizen	Resides in	Tax Resident	Tax File Number/Tax ID
<input type="text"/>				<input type="text"/>
<input type="text"/>				<input type="text"/>

US tax residents must also complete a [W-9 Form](#) and attach to this application. For additional countries of citizenship etc, please provide details on a separate sheet of paper.

FOR SHAREHOLDER 3 PLEASE PHOTOCOPY THIS PAGE, COMPLETE AND ATTACHED TO THIS APPLICATION.

COMPANY DETAILS (proprietary companies only)

IF APPLICABLE

Company Name

ABN/ACN

Industry

Registered Address
Not a PO Box

Principal Place of Business (If any)
same as above

Are there additional directors who are not shareholders on this account? Yes No

If Yes, please provide names below:

- 1. Director Full Name
- 2. Director Full Name
- 3. Director Full Name
- 4. Director Full Name

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

TRUST DETAILS (registered in Australia only)

IF APPLICABLE

Type of Trust	Unregulated (e.g. Family Trust)	Regulated (e.g. SMSF)
Full name of Trust	<input type="text"/>	
Trust ABN	<input type="text"/>	^Trust TFN <input type="text"/>

Was the trust established with a 'settled sum' of \$10,000 or more? UNREGULATED TRUSTS ONLY

If Yes, provide full name of settlor:

BENEFICIAL OWNERSHIP COMPANY & TRUST SHAREHOLDERS ONLY

Provide details of the individuals that own 25% or more of the total shareholding of the entity (either directly or indirectly), or who ultimately control the entity e.g. CEO or Managing Director.

Beneficiary/Controller 1 Full Name:

same as Shareholder 1 Residential address:

DOB

Beneficiary 2 Full Name:

same as Shareholder 2 Residential address:

DOB

Beneficiary 3 Full Name:

same as Shareholder 3 Residential address:

DOB

OR Class of Beneficiaries:
(Group of beneficiaries rather than individual names)

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

DIRECT CREDIT AUTHORITY

MANDATORY

I/We authorise and request OpenMarkets to credit the sale proceeds into the bank account nominated below.

****Only a bank account held in the name(s) of the shareholder(s) or e can be accepted****

Account Name	<input type="text"/>		
BSB No./Sort Code	<input type="text"/>	Account No.	<input type="text"/>
SWIFT/IBAN No. (if applicable)	<input type="text"/>		
Name of Financial Institution or Bank	<input type="text"/>		

CLIENT AGREEMENT & DECLARATION

MANDATORY

By signing this form I/we authorise OpenMarkets to sell the security listed in this form (and any additional holdings) and that I/we have read, understood and agree to the following OpenMarkets documents:

- The **Terms & Conditions** – attached to this form
- [Financial Services Guide](#)
- [Best Execution Policy](#)

I/We also understand that unless we have indicated otherwise in this application, the holding(s) will be sold at market on the day this application is processed.

Shareholder Name 1
(PLEASE PRINT)

Signature

Shareholder Name 2
(PLEASE PRINT)

Signature

Shareholder Name 3
(PLEASE PRINT)

Signature

Adviser Name

Signature

Date

Terms & Conditions

By completing this form and sending it to OpenMarkets (we or us), you agree to the terms and conditions set out below.

Instructions and rules

1. You instruct us to sell as your broker the financial products described in the Form in accordance with the instructions described in the Form. Any sale of financial products by us is subject to the Corporations Act and the operating rules, procedures, directions, decisions, requirements, customs, usages and practices of Australian Securities Exchange (ASX), ASX Clear Pty Ltd (ASX Clear) and ASX Settlement Pty Ltd (ASX Settlement) (together the Rules).

Acceptance and execution of instructions

2. We are not bound to accept your instructions but, if we do, we will use our reasonable endeavours to execute them. We will not be responsible for delays or errors in the transmission or execution of your instructions (except to the extent that responsibility cannot be excluded by law). We are not obliged to resubmit orders purged from any trading facility operated by ASX.

Crossings

3. If the sale transaction is effected as a crossing transaction under the rules of ASX, you consent to us charging you, and any client we may act for on the other side of the transaction, commission.

Confirmations

4. If you have specified an email address in the Form, you authorise us to send any transaction confirmation to you to that email address. You acknowledge that any confirmation is subject to the Rules and the correction of errors and omissions. We may, at any time, reissue a confirmation in order to correct any errors or omissions.

Our power to cancel a transaction

5. We may request or agree to, and effect, the cancellation of, your order or any sale transaction without your consent in any of the following circumstances:
 - a. where we consider the cancellation appropriate, having regard to the desirability of maintaining a fair and orderly market;
 - b. where ASX, ASX Clear or ASX Settlement requests or directs that the transaction be cancelled;
 - c. where the Rules require or contemplate that the transaction will be cancelled; and
 - d. where the financial products have been subject to a trading halt and you have not reconfirmed instructions.

Your obligations in relation to the settlement of a transaction which is cancelled cease to apply in

respect of that cancelled transaction from the time it is cancelled (whether or not we have given you a confirmation in respect of the affected transaction.)

ASX's power to cancel a transaction

6. You acknowledge that ASX has a range of powers under its rules including the power to cancel or amend a transaction. You agree not to make, and release us from any right you may have to make, any claim against us for any loss incurred or suffered by you which may arise in connection with the exercise by ASX of those powers (whether or not we have given you a confirmation in respect of any affected transaction).

Settlement

7. You must provide all documents and security holder information (such as your shareholder reference number) to us in deliverable form to enable us to settle the transaction on time. You will only be entitled to payment following settlement of the transaction. We are entitled to deduct our commission (and any amounts you owe under clause 8) from the proceeds of the transaction before remitting the balance to you in accordance with your instructions on the Form. The amount of commission we charge for the transaction is set out in the transaction confirmation.

Failure to settle

8. If you fail to settle the transaction, we may do one or more of the following:
 - a. pass on to you all costs incurred as a result of that failure;
 - b. charge an administration fee or default charge to cover our costs; and
 - c. use our own shares or obtain shares from third parties and use those shares to settle the transaction.

Telephone recording of conversations

9. You authorise us to record any telephone conversation between us, with or without an audible tone warning device.

Acknowledgments of our role

10. You acknowledge that we provide an execution and settlement only service, and do not provide financial product advice. You acknowledge that:
 - a. any material or information made available or provided (whether in writing or orally) to you, has not been prepared taking into account or to take into account your particular investment objectives, financial situation or needs, is not personal financial product advice and is not suitable to be relied upon by you as personal advice;
 - b. it is your responsibility to obtain personal financial product advice before making any investment or trading decision; and
 - c. no warranty or representation is or has been made by or on behalf of us as to the current or future accuracy, completeness or currency of that material or information.

Your representations and warranties

11. You represent and warrant that:

- a. you have read and understood all documentation provided by us to you in relation to the services provided by us including, without limitation, any Financial Services Guide;
- b. you are not a person with whom we are not lawfully entitled to deal pursuant to any statute, law, rule or regulation and that all dealings by you with us or requested to be done by us on your behalf are and will be lawful;
- c. all information supplied on the Form or otherwise to us is true, complete and accurate in all respects; and
- d. you are authorised to give us the instructions in the Form.

Our representations and warranties

12. Apart from any warranties and representations responsibilities which are implied by law and cannot be excluded, we make no warranties or representations in relation to any service or information provided or made available to you.

Indemnity

13. You must, to the maximum extent permissible by law, in addition to your other obligations and responsibilities under this document, at all times and from time to time indemnify us and our directors, officers, contractors, agents and employees (each an Indemnified Person) and hold them harmless from and against all liabilities, costs, claims, damages, proceedings and losses arising from or in connection with

- a. any order placed by you or trade transmitted by you through us;
- b. any failure by you to perform or observe any of your obligations under this document;
- c. any representation or warranty made or given by you under this document proving to be untrue or incorrect; and
- d. any error, omission, fraud, malfeasance, negligence, misappropriation or criminal act or omission by you or by any of your clients, employees, agents, consultants.

Termination

14. You acknowledge that this document relates to instructions by you to enter into a single transaction only and terminates when our settlement obligations to each other relating to the transaction have been settled. Each indemnity in this document survives the termination of this document.

Governing law

15. This document is governed by the laws of the State of New South Wales and you submit to the jurisdiction of the Courts of that State in relation to any claim or dispute arising out of the performance of this document.