

## Account Details

Adviser to Complete

Adviser name

Adviser code

Contact phone

Brokerage  
(inclusive GST)

Client WebTrader login ☐ Trading ☐ View-only ☐ None

Data feeds to

## Section 1 - Account Type

Mandatory

☐ Individual ☐ Joint (2 or 3 persons) ☐ In trust for a minor

Name of minor

Minor D.O.B.

## Section 2 - Applicant Details

Mandatory

### Applicant 1 (primary contact)

Title

Existing OpenMarkets  
account no. (if applicable)

Given name(s)  
Include middle name

Gender ☐ Male ☐ Female

Surname

Date of birth

Residential address  
(Not a P.O. Box)

Occupation

Industry

Email\*

Mobile

\*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade confirmations to be sent to this address.

Is the Applicant affiliated with any government official or entity, or having dealings with a government official or any government related entity of any country?

☐ No ☐ Yes If Yes, please provide details

### Citizenship, Residency & Tax Information

Please provide tax details of all countries in which you are a citizen, resident and tax resident. If you are a U.S. citizen or resident for tax purposes please also complete the **FATCA Supplementary Declaration Form** available at [openmarkets.com.au/support/form-library](https://openmarkets.com.au/support/form-library) and attach to this application.

Country

Citizen

Resides

Tax resident

TFN or Exemption Code/TIN^

☐
☐
☐
☐
☐
☐

^Quotation of your Australian tax file number(s) (TFN) is optional. OpenMarkets is an Australian financial service licensee that is authorised by law to request your TFN. You are not required to provide your TFN. If OpenMarkets is unable to quote your tax file number or exemption to registries, they may be obliged to take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled and you may wish to seek independent advice in this regard. By providing a TFN and signing the Application Form you:

- (a) appoint OpenMarkets as your agent and request and authorise OpenMarkets to;
- (i) provide your Tax File Number to all investment bodies with whom OpenMarkets acts on your behalf;
- (ii) apply your TFN to any investment or account which you may in future make or open with or through OpenMarkets (and its related bodies corporate) to which your TFN may lawfully be applied; and
- (b) acknowledge that this authority will apply until such time as it is revoked in writing to OpenMarkets.

## Section 2 - Applicant Details (cont.)

### Sole Trader - Information (if applicable)

Business name (if any)

ABN (if any)

Principal place of business

### Applicant 2 (if applicable)

Title

Existing OpenMarkets  
account no. (if applicable)

Given name(s)  
Include middle name

Gender ☐ Male ☐ Female

Surname

Date of birth

Residential address  
(Not a P.O. Box)

☐ same as Applicant 1

Occupation

Industry

Email\*

Mobile

\*This email will be the recipient of trade confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade confirmations to be sent to this address.

Is the Applicant affiliated with any government official or entity, or having dealings with a government official or any government related entity of any country?

☐ No ☐ Yes If Yes, please provide details

### Citizenship, Residency & Tax Information

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Country Citizen Resides Tax resident TFN or Exemption Code/TIN^

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**For Applicant 3 please photocopy this page and complete/attach to application. Please also sign in Section 7.**

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(a) appoint OpenMarkets as your agent and request and authorise OpenMarkets to;

(i) provide your Tax File Number to all investment bodies with whom OpenMarkets acts on your behalf;

(ii) apply your TFN to any investment or account which you may in future make or open with or through OpenMarkets (and its related bodies corporate) to which your TFN may lawfully be applied; and

(b) acknowledge that this authority will apply until such time as it is revoked in writing to OpenMarkets.

## Section 3 - Main Source(s) of Funds for Investment

**Mandatory**

☐ Employment ☐ Superannuation savings ☐ Inheritance/gift ☐ Financial investments

Other (please provide a brief description)

## Section 4 - CHESS Sponsorship & Settlement

**Mandatory**

All trading accounts with OpenMarkets will be CHESS sponsored by us (your broker) unless you wish to settle via a Margin Loan/Wrap/Custodian.

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**.

### CHESS Registration Address

☐ same as Applicant 1

This address will be registered at CHESS and the relevant share registries, and will be used as the mailing address for any correspondence unless you opt to provide your email address below.

Would you like OpenMarkets to provide an email address to CHESS and the relevant share registries for the purpose of receiving any correspondence via email? (Note not all share registries may accept this instruction).

☐ None ☐ Yes, same as Applicant 1 ☐ Yes, other

### 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

Registration address  
(as at other broker)

Holder Identification Number (HIN)  
(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

Applicant 1  
(Print name)

Signature X

Date

Applicant 2  
(Print name)

Signature X

Date

Applicant 3  
(Print name)

Signature X

Date

### OR Settle using a Margin Loan/Wrap/Custodian

Complete only if you wish to settle transactions through an existing margin loan or wrap account, or via a custodian. Please also complete the provider's corresponding **third party authority form** available at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library)

Account name

Provider  
e.g. Leveraged

Facility number

HIN  
(if applicable)

## Section 5 - Linked Cash Account

Not applicable for Margin Loan/Wrap/Custodian Accounts

Please provide the details of the cash account that will be used to settle transactions on my/our trading account.\*

Provider ☐ Macquarie Cash Management Account ☐ Bankwest Cash Management Account ☐ CBA Accelerator Cash Account ☐ DDH Graham Money Market Deposit Account

Account name

BSB

Account number

### \*Third party authority access required

Please ensure to grant OpenMarkets with third party authority access by completing the provider's corresponding authority form located at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library)

### OR OpenMarkets ANZ Cashactive Trust Account:

☐ I/we request the OpenMarkets ANZ Cashactive Trust Account be used to settle transactions on my/our trading account.

### Nominated Bank Account (for funds transfer)

Please provide the details of a designated bank account (in the same name) for OpenMarkets to transfer funds to, should you wish to withdraw funds from the OpenMarkets ANZ Cashactive Trust Account.

Account name

BSB

Account number

*Please ensure to provide us with a copy of a most recent statement (within three months) for us to verify this account.*

For more information on the OpenMarkets Cashactive Trust Account go to [openmarkets.com.au/anz-cashactive-account/](https://openmarkets.com.au/anz-cashactive-account/)

### Income Direction (for dividends)

Would you like OpenMarkets to provide your linked cash management account details to all issuers/share registries (or its nominee) for the purposes of paying dividends, distributions, interest or income payable referable to your sponsored holdings via direct credit?

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

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

This instruction only applies to holdings sponsored by OpenMarkets in CHESS. Note that by providing this instruction, it may override your participation in any existing Dividend Reinvestment Plans or Bonus Share Plans. There are also no guarantees that all share registries will accept these instructions from OpenMarkets.

## Section 6 - Additional Copies of Trade Confirmation

Optional

Please provide the email address(es) of any third parties to whom you wish to receive a copy of your trade confirmation notes:

Email

## Section 7 - Client Declaration & Signature

**Mandatory**

By signing below I acknowledge that I have received (in hard copy or where I have received this form electronically I have accessed by hyperlink) read and understood and the Applicant agrees to be bound by (and further disclosures or agreements referred to therein).

- a. [OpenMarkets Client Agreement](#) (comprising Part 1 - Equities Terms and Conditions and Part 2 - CHESS Sponsorship Agreement)
- b. [OpenMarkets Financial Services Guide](#)
- c. [OpenMarkets Privacy Policy](#)
- d. the authorisations and agreements made in this account application form relating to electronic trade confirmations, your Tax File Number and electronic verification of identity

I also acknowledge and declare that all the information provided in this Application Form is true and correct and that I am over 18 years of age and without legal disability. If this application is signed under Power of Attorney, the attorney declares they have not received notice of any revocation or limitation of that power.

By making this application you consent to OpenMarkets conducting an electronic verification of your identity on the terms detailed in our Client Agreement. If you do not consent to electronic verification of your identity, you will not be able to proceed with this application.

Applicant 1  
(Print name)

Signature X

Date

Applicant 2  
(Print name)

Signature X

Date

Applicant 3  
(Print name)

Signature X

Date

### OpenMarkets Use Only

*Upon the acceptance of this application, the opening of an account for the Applicant(s) by OpenMarkets (and if the applicant(s) has agreed to be CHESS sponsored, upon the issue of a HIN), OpenMarkets will be taken to have agreed to be bound by and to have signed the OpenMarkets Client Agreement (including CHESS Sponsorship Agreement).*