

Important Information

Westpac Share Trading and Australian Investment Exchange Limited ('AUSIEX') are authorised under the Income Tax Assessment Act 1936 (Cth) to ask for your Tax File Number (TFN). If you provide your TFN it will apply to all your accounts with Westpac Share Trading and you authorise disclosure of your TFN to third parties, where doing so, is in accordance with applicable taxation law.

It's not compulsory for you to tell us your TFN, Australian Business Number (ABN), or exemption code (if you have one). However, if you don't provide us with these details, withholding tax at the maximum marginal tax rate (plus the Medicare levy) may be deducted from any investment income you earn. In addition, if you do not provide us with your TFN details, due to our account opening requirements, we will not be able to activate your International Markets trading account.

Customers are required by law to provide details of their country/ies of tax residency to Westpac Share Trading and AUSIEX as part of our legal obligations under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

We are unable to accept applications from clients that are US citizens or residents.

How to complete your application form

Please ensure all applicants:

- Read and understand the following documents:
 - International Markets Risk Disclosure Statement within this document ([Section 5](#))
 - [International Markets Terms and Conditions](#) (including the Customer Information and Privacy section and the Direct Debit Request Service Agreement)
 - [Westpac Share Trading Terms and Conditions](#)
 - [International Markets Exchange Rules and Market Conduct Information](#)
 - [Westpac Share Trading and AUSIEX Financial Services Guides](#)
 - [Westpac Privacy Statement and AUSIEX Privacy Policy](#)
- Read all sections and complete all fields within the application form.
- Sign [Section 6 'Client/Applicant/s Acknowledgment and Signature/s'](#), including the bank account owners.
- Are aware that the U.S. Department of Treasury Inland Revenue Service Form W-8BEN-E, Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding will be sent via email to the person identified as Director 1/Trustee 1. This person will be required to complete a digital W-8BEN-E form. The purpose of the W-8BEN-E Form is outlined in [Section 7](#).
- Return your completed application to applications@sharetrading.westpac.com.au or post your completed application and supporting documents to Reply Paid 85157 Australia Square NSW 1214.

For any enquiries or for assistance in filling out this form phone 1300 757 319.

The following sections should be completed if you are:

The red **X** indicates the section requires a signature

Individual Trustee

- | | |
|--|---|
| ☐ 1 – Personal Details | ☐ 5 – Risk disclosure statement for International Markets |
| ☐ 3 – SMSF and Family Trust | ☐ 6 – Client/Applicant/s Acknowledgment and Signature/s X |
| ☐ 4 – Payment Instructions | |

Corporate Trustee

- | | |
|--|---|
| ☐ 1 – Personal Details | ☐ 4 – Payment Instructions |
| ☐ 2 – Company | ☐ 5 – Risk disclosure statement for International Markets |
| ☐ 3 – SMSF and Family Trust | ☐ 6 – Client/Applicant/s Acknowledgment and Signature/s X |

For any enquiries or for assistance in filling out this form phone 1300 757 319
Provide your Westpac Share Trading username and/or account number.

i You must have an existing Share Trading account to be eligible for a International Markets account.

Username/existing share trading account number

1. Personal Details

Director 1 / Trustee 1

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

First name Middle name/s Surname Date of birth – DD/MM/YYYY

List the country/ies you are a citizen of

Tax File Number

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- For further instructions on how to complete this section see [explanatory note 1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)						
List all country/ies of tax residency and your TIN for that country or 'Reason Code' if no TIN is available.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1		TIN:		OR	Reason Code:	☐ A	☐ B	☐ C
2		TIN:		OR	Reason Code:	☐ A	☐ B	☐ C
3		TIN:		OR	Reason Code:	☐ A	☐ B	☐ C

Contact Details

Email address

Mobile number

Home number

Work number

Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

Postal Address

☐ Same as residential address

Street address

Suburb

State

Postcode

Country – *If not Australia*

Promotional Material

From time to time Westpac Share Trading may provide you with promotional information about products, services and special offers. If you no longer wish to receive promotional information (including IPO information) from Westpac Share Trading please indicate your preference by selecting the box below.

Please note: Your preference below will apply to the new or existing Westpac Share Trading Username assigned to access your new trading account. If your contact details are used by other Westpac Share Trading Usernames, you will need to amend how you are sent promotional information for these separately. Regardless of your nomination below, you will continue to receive service communications relating to your account including trade confirmations, order notifications and account statements to your nominated email and/or postal address.

If you also no longer wish to receive promotional information from Westpac Banking Corporation please login to Westpac Live Online Banking and update your preferences.

☐ I do **not** wish to receive any promotional information (including IPO information) from Westpac Share Trading.

Director 2 / Trustee 2

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name

Middle name/s

Surname

Date of birth – DD/MM/YYYY

 / /

List the country/ies you are a citizen of

Tax File Number

Tax Residency Information

Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- For further instructions on how to complete this section see [explanatory note 1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)			
List all country/ies of tax residency and your TIN for that country or 'Reason Code' if no TIN is available.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN			
1		TIN:		OR	Reason Code: ☐ A ☐ B ☐ C
2		TIN:		OR	Reason Code: ☐ A ☐ B ☐ C
3		TIN:		OR	Reason Code: ☐ A ☐ B ☐ C

Contact Details

Email address

Mobile number

Home number

Work number

Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

Postal Address

☐ Same as residential address

Street address

Suburb

State

Postcode

Country – *If not Australia*

Promotional Material

From time to time Westpac Share Trading may provide you with promotional information about products, services and special offers. If you no longer wish to receive promotional information (including IPO information) from Westpac Share Trading please indicate your preference by selecting the box below.

Please note: Your preference below will apply to the new or existing Westpac Share Trading Username assigned to access your new trading account. If your contact details are used by other Westpac Share Trading Usernames, you will need to amend how you are sent promotional information for these separately. Regardless of your nomination below, you will continue to receive service communications relating to your account including trade confirmations, order notifications and account statements to your nominated email and/or postal address.

If you also no longer wish to receive promotional information from Westpac Banking Corporation please login to Westpac Live Online Banking and update your preferences.

☐ I do **not** wish to receive any promotional information (including IPO information) from Westpac Share Trading.

 If there are any additional Directors requiring access to the account photocopy 'Personal Details' and 'Acknowledgment and Signatures' pages.

2. Company

Company name – *This must exactly match the name as lodged with the Australian Securities & Investments Commission (ASIC)*

Australian Company Number (ACN)

Australian Business Number (ABN) – *Optional*

Tax File Number (TFN) or Exception Code – *Optional*

Contact Details

Email address

Phone number

Company's Registered Office Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode	Country – <i>If not Australia</i>
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Principal Place of Business

☐ Same as registered address

Street address – *Cannot be PO box*

Suburb	State	Postcode
Country – <i>If not Australia</i>		

Postal Address

☐ Same as registered address

Street address

Suburb	State	Postcode
Country – <i>If not Australia</i>		

Is the Entity's primary activity investing? Select 'Yes' if:	☐ No	☐ Yes
- The entity earns more than 50% of its total income from investment activities. For example, rent, interest or dividends; OR - More than 50% of the entity's assets produce or are held for producing investment income.		
Has the company ever been declared insolvent?	☐ No	☐ Yes
Was the company established in Australia?	☐ No	☐ Yes
Is this foreign company registered with ASIC?	☐ No	☐ Yes
If yes, provide Australian Registered Business Number – <i>ABN</i>		
Is the company operating as a charity?	☐ No	☐ Yes
If yes, what is the objective/purpose of the charity?		

Company Industry Category and Type – *Mandatory*

See the [Job and Industry Classification List](#) on our Website.

Company industry category	Company industry type
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Additional Company Directors

Provide the full names of ALL additional directors of the company **that are not listed in Section 1 'Personal Details'**. If there are more than 3 additional directors, photocopy this page and fill out details for each additional director.

Additional Directors

First name	Middle name/s	Surname
First name	Middle name/s	Surname
First name	Middle name/s	Surname

Company ownership

Provide details of ALL individuals who are beneficial owners through one or more (direct or indirect) shareholdings of more than 25% of the company's issued capital.

If there are more than 3 Beneficial Owners, photocopy this page and fill out details. Note: We may get in touch if, at a later date, additional information is required.

Shareholder 1

☐ Same as Director/Trustee 1 **or** complete the following

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

Full name
 Date of birth – DD/MM/YYYY / /

Street address

Suburb
 State
 Postcode
 Country – If not Australia

Shareholder 2

☐ Same as Director/Trustee 2 **or** complete the following

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

Full name
 Date of birth – DD/MM/YYYY / /

Street address

Suburb
 State
 Postcode
 Country – If not Australia

Shareholder 3

☐ Mr
 ☐ Ms
 ☐ Mrs
 ☐ Miss
 ☐ Dr
 ☐ Other

Full name
 Date of birth – DD/MM/YYYY / /

Street address

Suburb
 State
 Postcode
 Country – If not Australia

3. SMSF and Family Trust

Full Name of the Trust

Tax File Number (TFN) or Exemption Code - Optional

Trust ABN

i Please provide a **CERTIFIED** copy of the Schedule page of the Trust Deed containing the trust name and date trust was established, including the cover page which shows the trustee's name/s, the trustee's signature/s with witness signatures and a deed of amendment, if there is any.

What type of trust is it?	☐ Super	☐ Family
Is the trust operating as a charity?	☐ No	☐ Yes
If yes, what is the objective/purpose of the charity?		

Source of funds – See [‘explanatory note 2’](#) for list

Industry Classification – Please refer to the [Job and Industry Classifications List](#) available on our website.

Industry Category

Industry Type

Country in which the Trust was established	☐ Australia	☐ Other – Specify and complete the next 3 questions
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What is the objective of the trust?

What is the purpose of seeking a International Markets Trading account?

Nature of Business

Settlor Of Trust

(Not required for SMSF)

Was the “settled sum” \$10,000 or more?	☐ No	☐ Yes
If Yes, name of Settlor:		

Beneficiary information

Complete the full name of each beneficiary or the type of membership class.

Beneficiary 1

☐ Same as Director/Trustee 1 or complete the following

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY

Beneficiary 2

☐ Same as Director/Trustee 2 or complete the following

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY

Beneficiary 3

☐ Mr ☐ Ms ☐ Mrs ☐ Miss ☐ Dr ☐ Other

First name Middle name/s Surname Date of birth – DD / MM / YYYY

If there are more beneficiaries, provide details on a separate sheet

OR

Membership classes – provide details of the membership class/es, e.g. unit holders, family members

If there are more classes, provide details on a separate sheet.

4. Funding Instructions

The account listed below will be used for funding the International Markets AUD wallet for currency conversion or settling trades. You can transfer funds to/from this account via your International Markets Account. Trade settlement for International trades will not occur directly from this funding account. Applicant/s will be notified via email when a transfer of funds occurs in relation to the account. The funding account must be a Westpac bank account that is in the same name as the international markets account application.

Direct Debit Request

I/We authorise and request, Australian Investment Exchange Limited (APCA ID. Direct Debit ID is 12340, Direct Credit ID 12340) to arrange for funds to be debited from and credited to my/our Westpac bank account specified in the application and as prescribed below through the Bulk Electronic Clearing System (BECS). This authorisation is to remain in force in accordance with the terms described in the Direct Debit and Direct Credit Request Service Agreement.

Bank account name Westpac BSB Westpac account number

5. Risk Disclosure Statement for International Markets

The risks involved with investment in International Securities differ significantly from investment in securities quoted on the regulated stock exchanges for Australian shares.

This Risk Disclosure Statement does not disclose all of the risks associated with investment in International Securities. It should not be relied upon as a complete explanation of the risks involved. If you need further explanation regarding investment in international markets, you should seek appropriate independent professional advice. Capitalised terms used in this document have the same meaning as in the International Markets Terms and Conditions.

International Custodian

Your International Securities will be held in the custody of Our International Custodian, appointed by us as set out in the International Markets Terms and Conditions. Securities in the custody of Our International Custodian may be subject to risk arising from changes to the political, legal, regulatory and/or the commercial environment of the country of Our International Custodian or overseas stock exchange(s) that the securities are listed on.

Whilst we will use reasonable care in selecting International Custodians, we shall not be liable for any losses incurred by you by reason of any act, omission, fraud or negligence of Our International Custodian in relation to the holding of or dealing with your International Securities.

Foreign Currency Risk

Your International Securities will be denominated in a currency other than Australian dollars. Foreign currency risk in share trading refers to the potential for losses arising from fluctuations in currency exchange rates when investing in shares listed in a foreign country. If an investor buys shares denominated in a foreign currency, changes in the exchange rate between that currency and their home currency can affect the value of their investment – independently of the share price performance.

Below is an example that seeks to demonstrate the share trading risks when trading in International Securities and how the A\$ value of your investment may change with foreign exchange rate fluctuations. This example is for illustrative purposes only and should not be considered advice or relied upon.

- You buy 100 shares at US\$50 per share for a total value of US\$5,000.
- You purchase US\$5,000 at the rate of A\$/US\$0.60 and your initial investment cost is A\$8,333.33.
- If the A\$/US\$ strengthens to the rate of A\$/US\$0.70, the value of your investment falls to A\$7,142.86 assuming no change in the price of the shares.
- If the A\$/US\$ weakens to the rate of A\$/US\$0.50, the value of your investment rises to A\$10,000 assuming no change in the price of the shares.

You can see from this example that as the A\$ strengthens against US\$, the A\$ value of your US shares will fall. Of course, the reverse applies – as the A\$ weakens against US\$, the A\$ value of your US shares will rise.

Please note that this example is exclusive of brokerage, exchange fees and any other fees and charges that may apply when trading in the above provided circumstances.

Political and Regulatory Risk

Trading conditions and your ability to buy and sell securities in a foreign market may be affected by political risk and regulatory risk in the country in which the overseas market operates. Political risk may include sudden changes in laws and regulations imposed by the government, sometimes on short notice, and sometimes on a temporary basis. Regulatory risk is the risk that standards of conduct in the overseas market may differ from standards of disclosure and conduct that apply to securities quoted on the Australian Securities Exchange and Cboe Australia Pty Ltd. For example, risks will be generally higher where companies are able to list on a foreign market with less initial and ongoing regulatory requirements than on the Australian Exchanges. As a result, securities traded on such a foreign market may be susceptible to high volatility and there are no assurances that there will be a liquid market for your investments.

Australia, as a member state of the United Nations, is obliged to implement United Nations Security Council sanctions. Australia also may be required to implement other international sanctions and sometimes imposes unilateral sanctions. Sanctions can cover various subject matters including financial restrictions. Consequently, Westpac Securities Limited or AUSIEX may be prohibited from dealing with certain persons or entities.

This means that if Westpac Securities Limited or AUSIEX is aware that you are a Proscribed Person or entity, or associates of, then Westpac Securities Limited or AUSIEX may be required to suspend, cancel or refuse you services or close or terminate any account, facility, transaction, arrangement or agreement with you. We may also be required to freeze your assets. You could incur significant costs as a result of these actions.

Taxation

Westpac Securities Limited, and/or AUSIEX do not provide taxation advice, legal, investment or financial advice.

We recommend you obtain professional taxation, legal, investment and/or financial advice to evaluate whether an investment in International Securities is appropriate to your particular financial circumstances and personal objectives.

In Summary

You should read and understand the following:

- a. that investing in International Securities carries risks, including but not limited to:
 - i. gains from security price movements can be more than off-set by adverse foreign exchange movements;
 - ii. intra-day price movements on international security and currency exchanges can be relatively volatile;
 - iii. strong past performances are not necessarily indicative of future performance;

- iv. taxation implications can be different from investing in Australian securities and may vary depending on your individual circumstances;
- b. that you accept without limitations all risk associated with investing in International Securities and the holding of your International Securities by Our International Custodian.
- c. that neither Westpac Securities Limited or AUSIEX do not give financial advice, make personal securities recommendations or provide any foreign exchange or taxation advice, and that it is your own responsibility to assess and evaluate proposed transactions in International Securities in the light of your financial situation, investment objectives and particular needs; and
- d. that Westpac Securities Limited and AUSIEX recommend you seek appropriate professional advice before investing in International Securities.

6. Client/Applicant/s Acknowledgment and Signature/s

All applicants must sign this declaration.

Applicant/s Declaration

By completing and signing this application, the Applicant(s) understand, acknowledge and agree that:

I/We have been supplied with the following documents, available on the Westpac Share Trading website prior to receiving any financial service from Westpac Share Trading, and have read, understand and agree to be bound to the following:

- International Markets Terms and Conditions
- Share Trading Terms and Conditions
- International Markets Risk Disclosure Statement
- International Markets Exchange Rules and Market Conduct Information
- Financial Services Guide
- Privacy Policy

I/We acknowledge that Westpac Share Trading and/or AUSIEX does not give financial advice, make personal securities recommendations, or provide any foreign exchange or taxation advice, and that it is my/our own responsibility to assess and evaluate proposed transactions in International Securities in the light of my/our financial situation, investment objectives and particular needs.

I/We acknowledge that Westpac Share Trading and AUSIEX recommends that I/We seek professional advice before investing in International Securities.

I/We understand the law prohibits the use of false names, as well as the giving or use of false documents in connection with the provision of financial services and the making, possession or use of a false document in connection with an identification procedure.

I am/We are not commonly known by any names different to those disclosed in this application form. The name of individual persons given in this application are true and correct and acknowledge that it will form part of the agreement with Westpac Share Trading and AUSIEX.

I/We declare that I/We are 18 years of age or over, the details as shown on this form are complete and correct. If there are any changes to this information in the future, I/We will advise AUSIEX as soon as possible.

I/We declare that I am/We are Australian resident(s) for taxation purposes.

I/We acknowledge that when there is more than one of us, we authorise Westpac Share Trading and AUSIEX to accept instructions from one or more of us on behalf of all of us.

Declaration regarding the Westpac Share Trading International Markets trading account

I/We agree that AUSIEX may enter into custody agreement with International Custodians to enable the provision of custodial services to you in relation to international securities. I/We acknowledge if AUSIEX does enter into custody arrangements with International Custodians, my/our international securities will be held by an International Custodian on my/our behalf. I/We will retain beneficial ownership (but not legal ownership) of your international securities. This means that the name of the International Custodian rather than my/our name will appear on the share registry.

If AUSIEX does enter into custody arrangements with an International Custodian, AUSIEX will provide me/us with written notice and the contact information of the International Custodian as soon as reasonably practicable before arranging for my/our International Securities to be held by that International Custodian (an in any event before your international securities are held by that International Custodian).

I/We acknowledge that the International Custodian that holds my/our international securities will retain records relevant to those assets in a way that enable it to readily identify those international securities held on my/our behalf. The records will also include information about transactions undertaken and how, by whom and when they were authorised.

I/We acknowledge and agree that my/our Westpac Share Trading International Markets trading account will not take effect until Westpac Share Trading and/or AUSIEX notifies me/us that the identification and verification process has been satisfied. Until that time, Westpac Share Trading and/or AUSIEX is not under any obligation to accept or act on any instructions in relation to this account.

My/Our International Markets investments will be held in the custody of an International Custodian, appointed by AUSIEX and I/We will retain beneficial ownership (but not legal ownership) of our International Securities.

I/We understand that the name of the International Custodian will appear on the share registry as a legal owner rather than my/our own name/s.

I/We understand and agree that I/We will not be eligible to trade in any International Market Available Exchange if we do not provide the necessary documentation to Westpac Share Trading and/or AUSIEX.

I/We acknowledge that I/We have read the International Markets Risk Disclosure Statement above relating to the risks of investing in International Securities and that I/We have read and understood its contents.

I/We acknowledge that Westpac Share Trading and/or AUSIEX are not obliged to notify me/us of any proposed Corporate Actions in relation to securities held by me/us and cannot be held liable for any failure that I/We have not acted on a corporate action.

I/We authorise and request Australian Investment Exchange Limited (APCA User ID no. 123840 – Debit and 123840 – Credit) to arrange for funds to be debited from/credited to my/ our accounts as specified in [Section 4](#) of this Application through the Bulk Electronic Clearing System (BECS).

I/We acknowledge that this authority is governed by and will remain in force in accordance with the Direct Debit/Credit Request Service Agreement section of the International Markets Terms and Conditions governing each product and financial service I/We are applying for unless I withdraw this authority in writing.

I/We agree for AUSIEX to remit funds to my/our nominated bank account.

I/We authorise the following:

- AUSIEX to verify the details of the bank account mentioned in this form with my/our Financial Institution;
- The Financial Institution to release information allowing AUSIEX to verify the account details mentioned in this form.

I/We consent and acknowledge the following:

- Receiving all further information, including but not limited to the Westpac Share Trading and AUSIEX Financial Services Guide, Share Trading Terms and Conditions, International Markets Terms and Conditions, statements, notices and information about fees, by it being made available to me/us on the Westpac Share Trading website.
- Westpac Share Trading and/or AUSIEX will advise me/us via the nominated electronic address(es) (including email and SMS), that information is available on the Westpac Share Trading website.

I/We may not receive paper documents.

I/We understand we need to check my/our accounts regularly for electronic communications and that I/We can change my/our nominated electronic address.

I/We, the Applicant/s, acknowledge and accept that all confirmations are to be sent electronically.

Privacy

I/We have read the notice regarding the collection, use and exchange of my/our personal information as set out in the International Markets Terms and Conditions, Share Trading Terms and Conditions and [Privacy Policy](#) available on the Westpac Share Trading website.

I/We have obtained the consent of any individual/s whose personal information is provided in this application. I/We acknowledge and consent to the collection, use or exchange of my/our personal information in accordance with the Privacy Policy.

Director 1/Trustee 1

Full name

Date signed – DD/MM/YYYY

/

/

Signature – *Must be signed pen to paper*

Director 2/Trustee 2

Full name

Date signed – DD/MM/YYYY

/

/

Signature – *Must be signed pen to paper*

7. W-8BEN-E Form

What is Form W-8BEN-E?

Form W-8BEN-E is a tax form required by the United States Inland Revenue Service (IRS). It allows a foreign investor, to claim concessional tax treaty benefits (including a reduced rate of withholding tax).

Who must complete Form W-8BEN-E?

Form W-8BEN-E must be completed by clients operating International Securities Trading Accounts. Only one Trustee is required to complete a W-8BEN-E for a Family Trust or SMSF. When we receive your International Markets Trading Application Form, an email will be sent to the person identified as Director 1/Trustee 1 to complete a digital W-8BEN-E form.

Purpose of Form W-8BEN-E

Form W-8BEN-E establishes that you are not a U.S. person for tax purposes and, if applicable, allows you to claim a reduced rate of, or exemption from, U.S. withholding tax on income derived from U.S. shares.

Expiration of Form W-8BEN-E

The W-8BEN-E will remain in effect for a period starting on the date the form is signed and ending on the last day of the third succeeding calendar year, unless a change of circumstances makes any information on the form incorrect.

 Sample guides of the W-BEN-E Form are located at <https://sharetrading.westpac.com.au/Private/Trading/InternationalShares/InternationalShares.aspx>. For any enquiries or for assistance in filling out this form phone 1300 757 319.

Please note that you have obligations under U.S. tax laws to provide information necessary for U.S. tax withholding and reporting requirements. Information has been provided to assist you with your obligations, however, you should ensure that you understand your obligations before completing and returning the forms to International Markets. International Markets is unable to provide you with advice in relation to your obligations or the U.S. tax consequences of your investment. For further advice contact the IRS or your U.S. tax adviser.

To view IRS instructions on completing these forms go to www.irs.gov/formw8bene

Explanatory Notes

1. Identification requirements

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries. A compilation of links to information about TINs for many countries can be found here: <https://www.oecd.org>. Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in United Kingdom, Permanent Account Number (PAN) in India, Inland Revenue Department (IRD) Number in New Zealand, and Tax Reference Number (TRN) in Malaysia.

List all your countries of tax residency and your TIN for that country or if no TIN is available, select a reason code. If you have listed Australia as a country of tax residency, insert reason code C in the TIN column. If you are a US citizen or resident, we are unable to accept your application.

2. Source of Funds

The origin and the means of transfer of the Fund to service the new product (e.g. salary/wages, business income)

- Salary/Wages
- Commission
- Bonus
- Business income/earnings
- Business Profits
- Rental income
- Superannuation/pension
- Loan
- Insurance payment
- Compensation payment
- Government benefits
- Sales of an asset
- Liquidation of assets
- Redundancy
- Inheritance
- Gift/Donation
- Windfall
- Tax refund
- Additional Sources (provide sources)

Westpac Securities Limited ABN 39 087 924 221, AFSL 233723 ('Westpac Securities') (trading as 'Westpac Share Trading') provides the opportunity to trade listed financial products through our arrangement with Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ('AUSIEX'), a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') and Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. Neither AUSIEX nor Westpac Securities are representatives of each other. Westpac Securities is not a related party of AUSIEX, NRI, ASX or Cboe. Under this arrangement, all trading, clearing, settlement and stock sponsorship arrangements are directly with AUSIEX. AUSIEX is not authorised to carry on business in any jurisdiction other than Australia.

The Westpac Share Trading International Markets service ('International Markets') is an international share trading, nominee and custody service provided by Australian Investment Exchange Limited ('AUSIEX, We, Us, Our') ABN 71 076 515 930, AFSL 241400, a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX has appointed Saxo Bank A/S Company Reg. No: 15731249 as its International Custodian. For full details, please refer to the International Markets Terms and Conditions. You can either request us to mail one to you, or alternatively, call one of our Trading Representatives on 13 13 31 between 8am and 7pm (Sydney time), Monday to Friday.

How to submit your documents

Once completed and signed, please scan and email or post the form to

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