



## Important Information

- You cannot use this application form to open a Westpac Cash Investment Account (CIA). If you wish to open a CIA, please go to [www.westpac.com.au/sharetrading](http://www.westpac.com.au/sharetrading).
- You will receive a welcome email from us once your account has been established, this will include your Username.
- By completing this form, you are agreeing with the Westpac Share Trading Terms and Conditions available from our website.
- To meet our obligations with the *Anti Money Laundering/Counter-Terrorism Financing Act 2006 (Cth)*, we must identify customers before we provide a service.

## Application instructions

### Who can apply

- Aged 18 years of age or older
- An Australian resident
- An existing Westpac customer

Applicant Type	Mandatory Sections to complete	Optional Sections
<b>Individual (Includes Sole Trader)</b> Account Name (example): Peter John Brown	1, 2 & 5	3
<b>Joint</b> Account Name (example): Peter John Brown & Susan Alice Brown	1, 2 & 5	3

## Information needed

### All Applicants

- Your Tax File Number (optional)
- Your Westpac Customer ID or account details.
- If you're an existing Westpac Share Trading customer, you'll need your Username.
- BSB and account number of your existing Westpac bank account, if you're linking to a bank account for settlement.
- Your margin loan number if you're linking to a BT Margin Loan.

### Which account type would you like to apply for?

Individual  Joint

## 1. Personal Details

For joint accounts, statements and notices will only be delivered to the postal address for Applicant 1.

### Applicant 1

Mr  Ms  Mrs  Miss  Dr  Other

First name  Middle name/s  Surname

Other name/s commonly known by – *If applicable*  Date of birth – DD / MM / YYYY  /  /   Male  Female



### Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country

### Postal Address

Same as residential address

Street address

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country

The postal address will be used as the CHESS registration address.  
Your CHESS address is the registered address held with your sponsoring broker.

### Contact Details

Email address – *This email address will be the default email address used for electronic CHESS statement delivery.*

I do **not** wish to receive electronic CHESS statements.

Mobile	Home number	Work number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Tax File Number or Exemption Code – *Optional*

You are not required by law to provide your TFN, however if you do not provide one, tax may be deducted from your dividends and distributions at the highest marginal tax rate (plus Medicare Levy). If you quote your TFN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Pty Limited, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.

### Job Type and Category

See the [Jobs and Industry Classification List](#) available on our website.

Job Type	Category
<input type="text"/>	<input type="text"/>

### Employment Status

Full time    Part time    Casual    Self-employed    Unemployed    Retired

### Source of Funds and Source of Wealth

Refer to [explanatory notes](#) at the end of this document.

Source of Funds	Source of Wealth
<input type="text"/>	<input type="text"/>

### Identification

To meet our obligations under the *Anti Money Laundering/Counter-Terrorism Financing Act 2006 (Cth)*, we must identify customers before we provide a service.

Please provide a Westpac bank account **or** Customer ID for Applicant 1.



**Westpac BSB and account number**

BSB

Account number

**Westpac Customer ID**

**Do you have a Westpac Share Trading account?**

Yes

If **Yes**, please provide your Westpac Share Trading Username.  
*Providing your Username allows us to link the new trading account to your current Username.*

Username

No

If **No**, please provide us with a temporary login password.  
*You'll need this the first time you log in. Your Username will be provided in a welcome email when your account has been established.*

Temporary Login Password

Your nominated temporary password:

- Must be between 6 and 16 characters long
- Is not case sensitive
- Must not contain spaces
- Can contain most characters except '<=>^{}'
- Must not contain your Username or the word 'password'

**Promotional Material**

From time to time, Westpac Share Trading may provide you with promotional information about products, services and special offers. If you do not 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.

**Applicant 2 – if applicable**

Mr    Ms    Mrs    Miss    Dr    Other

First name  Middle name/s  Surname

Other name/s commonly known by – If applicable  Date of birth – DD / MM / YYYY  /  /   Male  Female



**Residential Address**

Street address – *Cannot be a PO Box*

Suburb	State	Postcode
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Country

**Postal Address**

Same as residential address

Street address

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country

**Contact Details**

Email address

Use this email in lieu of Applicant 1 to receive electronic CHESS statements.

Mobile	Home number	Work number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Tax File Number or Exemption Code – *Optional*

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Refer to explanatory notes at the end of this document.

Source of Funds	Source of Wealth
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**Identification**

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**Westpac BSB and account number**

BSB

Account number

**Westpac Customer ID**

**Do you have a Westpac Share Trading account?**

Yes

If **Yes**, please provide your Westpac Share Trading Username.  
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**Applicant 3 – if applicable**

Mr  Ms  Mrs  Miss  Dr  Other

First name  Middle name/s  Surname

Other name/s commonly known by – If applicable  Date of birth – DD / MM / YYYY  /  /   Male  Female



### Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

### Postal Address

Same as residential address

Street address

Suburb

State

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Country

### Contact Details

Email address

Use this email in lieu of Applicant 1 to receive electronic CHESSE statements.

Mobile

Home number

Work number

Tax File Number or Exemption Code – *Optional*

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Source of Funds

Source of Wealth

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**Westpac BSB and account number**

BSB

Account number

**Westpac Customer ID**

**Do you have a Westpac Share Trading account?**

<input type="radio"/>	Yes						
	If <b>Yes</b> , please provide your Westpac Share Trading Username. <i>Providing your Username allows us to link the new trading account to your current Username.</i>						
	Username						
	<input type="text"/>						
<input type="radio"/>	No						
	If <b>No</b> , please provide us with a temporary login password. <i>You'll need this the first time you log in. Your Username will be provided in a welcome email when your account has been established.</i>						
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	<input type="text"/>						
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I do **not** wish to receive any promotional information (including IPO information) from Westpac Share Trading.

**2. Settlement Options**

**Settle to a Westpac bank account**

**Nominated Westpac bank account**

To settle (pay for) your share trading transactions and/or any fees associated with subscriptions on your trading account, complete the Direct Debit Request details below. The bank account must be a Westpac bank account and in the same name/s provided in this application.

**i** If this bank account is a joint account where one or more parties are not account holders on this share trading account, you **MUST** ensure they sign the Declaration & Signature/s section of this form.









**Source of Wealth**

The origin of your financial standing or total net worth (e.g., how you have generated your wealth)

- Business income/earnings
- Business profits
- Compensation payment
- Employment income/earnings
- Gift/Donation
- Government benefits
- Inheritance
- Insurance payment
- Investment income/earnings
- Liquidation of assets
- Owns real estate/property
- Redundancy
- Refused to answer
- Rental income
- Sale of assets
- Superannuation/pension
- Windfall
- Additional Sources (provide sources)

**5. Declaration and Signature/s**

**All account holders MUST sign this declaration.**

I/We the undersigned (being the applicant/s):

1. Declare that the information I/we provided to you in my/our application is complete and correct and acknowledge that it will form part of the contract for each product I/we are applying for;
2. Acknowledge that the name of individual persons given in this application are true and correct and that the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure;
3. Consent to the collection, use, disclosure and storage of my/our personal information in accordance with the Customer Information section in the Westpac Share Trading Terms and Conditions and the Westpac Privacy Statement (available at [westpac.com.au](http://westpac.com.au) or by calling 132 032), each as amended from time to time.
4. Declare that I/we have read and understood Westpac's Data Protection Policy at <https://www.westpac.com.au/privacy/au-data-protection-policy/>.
5. I/We have read and agree to be bound by the Participant's Terms and Conditions of Online Access.
6. I/We agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement. I/we have read and agree to be bound by the Participant's Terms and Conditions of Participant Sponsorship Agreement.
7. 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 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 sections of the Terms and Conditions governing each product I/we are applying for.
8. I/We agree for the Participant to remit funds to my/our nominated Westpac bank account upon my/our request.
9. I/We agree that my/our nominated representative/s is/are bound by these Terms and Conditions.
10. I/We agree for the Participant to send my/our Confirmations, Trading Account information and Statements to we/us electronically.
11. I/We declare that I have the legal capacity to make these declarations and accept the conditions. I agree and enter into the agreements referred to in points 1 to 8 above.

**Declaration to Terms and Conditions**

1. I/We hereby acknowledge that I/we have read and understood the Financial Services Guides provided to me/us by Westpac Securities Limited and the Participant.
2. I/We have read and agree to be bound by the Participant's Terms and Conditions of Share Trading Account.

**Applicant 1**

Full name

Date signed – DD / MM / YYYY  
 /  /

Signature – *Must be signed pen to paper*

**Applicant 2 – If applicable**

Full name

Date signed – DD / MM / YYYY  
 /  /

Signature – *Must be signed pen to paper*

**Applicant 3 – If applicable**

Full name

Date signed – DD / MM / YYYY  
 /  /

Signature – *Must be signed pen to paper*



Westpac Share Trading is a service provided through Westpac Securities Limited, ABN 39 087 924 221, AFSL 233723 ("Westpac Securities") by 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. AUSIEX is not authorised to carry on business in any jurisdiction other than Australia. Accordingly, the information contained in this document is directed to and available for Australian residents only.

## How to submit your documents

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

✉ [applications@sharetrading.westpac.com.au](mailto:applications@sharetrading.westpac.com.au)

📍 **Westpac Share Trading**  
Reply Paid 85157  
Australia Square NSW 1214

☎ 13 13 31  
🌐 [sharetrading.westpac.com.au](http://sharetrading.westpac.com.au)