

## Important Information

- You cannot use this application form to open a Westpac Cash Investment Account (CIA). If you wish to open a Westpac Cash Investment 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.
- By completing this form, you are agreeing to 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.
- Companies and Trusts must nominate a Westpac bank account or Westpac Margin Loan as their settlement account.
- Applicants (including Beneficial Owners and Additional Trustees) must be existing Westpac customers.
- Each account operator must be 18 years of age or older and an Australian resident.

## Application instructions

Applicant Type	Mandatory Sections to complete	Optional Sections	Tips
<b>Company</b>  <b>Account Name (example):</b> Bokum Pty Ltd  <b>No Account Designation</b>	1, 2, 4, 7	5	Use full company name  <b>Who signs:</b> At least 2 company officers (2 Directors, or 1 Director and 1 Company Secretary) or Sole Director/ Company Secretary.
<b>Trust - Individual as Trustee</b>  <b>Account Name (example):</b> Peter John Brown & Susan Alice Brown  <b>Account Designation:</b> Brown Family S/F	1, 3, 4, 7	5	In the account designation, the words "as trustee for" or "trust" should not be used.  Use name/s of trustee/s or custodian/s instead of trust name, fund name or name of minor.  <b>Who signs:</b> All trustees – at least 2 company officers (2 Directors, or 1 Director and 1 Company Secretary) or Sole Director/Company Secretary.
<b>Trust - Company as Trustee</b>  <b>Account Name (example):</b> Bokum Pty Ltd  <b>Account Designation:</b> Bokum Family S/F	1, 2, 3, 4, 7	5	

## Information needed

### All Applicants

- A 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 Westpac Margin Loan.

### Trusts

- Original certified photocopy of an up-to-date extract of the Trust Deed and a deed of amendment (where applicable). Extract should include pages which show the trust name, the trustee's name/s, Settlor of Trust full name (where applicable); and show the trustee's signature/s with witness signatures (if formal trust).

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

☐ Company
 ☐ Trust – Individual as trustee
 ☐ Trust – Company as trustee

## 1. Personal Details

 Statements and notices will only be delivered to the postal address for Director/Trustee 1.

### Director/Trustee 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

Country

### Postal Address

☐ Same as residential address

Street address

Suburb 
 State 
 Postcode

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 used for electronic statement delivery and will also be provided to relevant Issuers in accordance with AUSIEX's Privacy Policy.

☐ I do **not** wish to receive electronic CHESS statements and do not want my email address shared with Issuers.

Mobile 
 Home number 
 Work number

## Tax Residency Information

1. Are you a tax resident of Australia? – <i>Mandatory</i>	<input type="radio"/> Yes	<input type="radio"/> No
2. Tax File Number or Exemption Code		
3. Are you a tax resident of another country outside of Australia? – <i>Mandatory</i> If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

### Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- If you are a US citizen or resident, you must include USA as a country of tax residency.
- For further instructions on how to complete this section see [explanatory note](#) 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:		<b>OR</b>	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
2		TIN:		<b>OR</b>	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
3		TIN:		<b>OR</b>	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

## 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 Director/Trustee 1.

### Westpac BSB and account number

BSB	Account number

Westpac Customer ID

--

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

<input type="radio"/> Yes	<p>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></p> <p>Username</p>
<input type="radio"/> No	<p>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></p> <p>Temporary Login Password</p>
	<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Must not contain spaces</li> <li>- Can contain most characters except &lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul>

## Marketing Communications

We will use your personal information to send you offers for products and services we believe may be of interest and value to you (including by email, SMS or other means). The products and services offered may be provided by us or one of our third-party partners. If you are an existing Westpac Share Trading customer, any previous marketing preferences you may have provided with respect to Westpac Share Trading may be superseded by this application. If you do not wish to receive marketing 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 no longer wish to receive marketing information from Westpac Banking Corporation, please login to Westpac Online Banking and update your preferences.

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

## Director/Company Secretary/Trustee 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

Country

## Postal Address

☐ Same as residential address

Street address

Suburb

State

Postcode

Country

## Contact Details

Email address

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

Mobile

Home number

Work number

## 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 the new Director/Trustee 2.

### Westpac BSB and account number

BSB

Account number

### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	Yes
	<p>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></p>
	<p>Username</p>
<input type="radio"/>	No
	<p>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></p>
	<p>Temporary Login Password</p>
	<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Must not contain spaces</li> <li>- Can contain most characters except '&lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul>

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

## Director/Trustee 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 
 Postcode

Country

### Contact Details

Email address

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

Mobile 
 Home number 
 Work number

### 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 the new Director/Trustee 3.

#### Westpac BSB and account number

BSB 
 Account number

#### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	Yes
<p>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></p>	
<p>Username</p> <input type="text"/>	
<input type="radio"/>	No
<p>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></p>	
<p>Temporary Login Password</p> <input type="password"/>	
<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> <li>- Must not contain spaces</li> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Can contain most characters except '&lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul>	

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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.

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

## 2. Company Details

Full company name as registered with Australian Securities and Investments Commission (ASIC)

Company Type

☐ Public ☐ Proprietary/Private

Registered Business Name

Australian Company Number (ACN)

Australian Business Number (ABN) – *Optional*

Company Tax File Number or Exemption Code – *Optional*

## Tax Residency Information

You are not obliged to provide us with your Tax File Number (TFN). However, if you do not provide us with your TFN, tax may be deducted from your dividends and distributions at the highest marginal rate to meet Australian Taxation Office (ATO) requirements, unless you claim an exemption or provide your ABN. 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. Please contact the ATO for more information about your TFN and its use.

1. Are you a tax resident of Australia? – <i>Mandatory</i>	<input type="radio"/> Yes	<input type="radio"/> No
2. Tax File Number or Exemption Code	<input type="text"/>	
3. Are you a tax resident of another country outside of Australia? – <i>Mandatory</i> If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

### Instructions for completion:

- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- If you are a US citizen or resident, you must include USA as a country of tax residency.
- For further instructions on how to complete this section see [explanatory note](#) 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	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
2	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
3	<input type="text"/>	TIN:	<input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C



## Registered Business Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

## Principal Place of Business Address

☐ Same as Registered Business Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

Is the company operating as a charity?

☐

Yes

☐

No

If **yes**, what is the purpose of the charity?

## Postal Address

☐ Same as Registered Business Address

*This postal address will be used as the CHESS registration address.*

Street address

Suburb

State

Postcode

Country

## Company Contact Details

Email address

Mobile number

## Additional Director Details

Please list the full names of all Additional Directors that are not listed as Director 1, 2 or 3. If there are more than 3 Additional Directors, please photocopy this page and attach the completed page to the end of your Application.

### Additional Director 1

☐

Mr

☐

Ms

☐

Mrs

☐

Miss

☐

Dr

☐

Other

First name

Middle name/s

Surname

### Additional Director 2

☐

Mr

☐

Ms

☐

Mrs

☐

Miss

☐

Dr

☐

Other

First name

Middle name/s

Surname

### Additional Director 3

☐

Mr

☐

Ms

☐

Mrs

☐

Miss

☐

Dr

☐

Other

First name

Middle name/s

Surname

## Beneficial Owners of the Company (mandatory for proprietary/private companies)

A. **Are there any individuals who own 25% or more of the shares either directly or indirectly in the company?**

<input type="radio"/>	Yes – Go to D and provide details
<input type="radio"/>	No – Go to B

B. **Are there any individuals who control 25% or more of the shares either directly or indirectly in the company? For example through voting rights?**

<input type="radio"/>	Yes – Go to D and provide details
<input type="radio"/>	No – Go to C

C. **If there are no beneficial owners or controllers who control 25% or more of the shares either directly or indirectly, please provide details in D for any individual/s who are responsible for the strategic or financial decisions of the company. That is, the individual/s who exercises primary control over the company because of the position held. e.g. CEO, Managing Director, or equivalent.**

D. **Please provide personal details of individuals – at least one individual must be listed.**

<input type="radio"/>	Beneficial Owner/Controller 1 same as Director/Trustee 1
<input type="radio"/>	Beneficial Owner/Controller 2 same as Director/Trustee 2
<input type="radio"/>	Beneficial Owner/Controller 2 same as Director/Trustee 3

Please provide details of all individuals who are beneficial owners, who have not applied as an account operator.

## Additional Beneficial Owner of Company 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*
 /  /

## Residential Address

Street address – *Cannot be a PO Box*

Suburb 
 State 
 Postcode 
 Country

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

## Additional Beneficial Owner of Company 2

☐ 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  /  /

## Residential Address

Street address – *Cannot be a PO Box*

Suburb 
 State 
 Postcode 
 Country

## 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 the new Owner of Beneficial Owner of Company 2.

### Westpac BSB and account number

BSB 
 Account number

### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	<p>Yes</p> <p>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></p> <p>Username <input type="text"/></p>
<input type="radio"/>	<p>No</p> <p>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></p> <p>Temporary Login Password <input type="text"/></p> <p> <i>Your nominated temporary password:</i> <ul style="list-style-type: none"> <li>- Must not contain spaces</li> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Can contain most characters except &lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul> </p>

## Additional Beneficial Owner of Company 3

☐ 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  /  /

## Residential Address

Street address – *Cannot be a PO Box*

Suburb 
 State 
 Postcode 
 Country

## 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 the new Owner of Beneficial Owner of Company 3.

### Westpac BSB and account number

BSB 
 Account number

### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	<p>Yes</p> <p>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></p> <p>Username <input type="text"/></p>
<input type="radio"/>	<p>No</p> <p>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></p> <p>Temporary Login Password <input type="text"/></p> <p> <i>Your nominated temporary password:</i> <ul style="list-style-type: none"> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Must not contain spaces</li> <li>- Can contain most characters except &lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul> </p>

## 3. Trust Details

☐ Charity
 ☐ Settlement
 ☐ Family
 ☐ Superannuation
 ☐ Minor
 ☐ Other

For formal trusts, please provide an original certified photocopy of an up-to-date extract of the Trust Deed.

Account Designation is used when you wish to trade under the name of a Superannuation Fund, Family Trust, Minor, or Deceased Estate.

Examples include: Brown S/F A/C, Brown Family A/C, Louise Brown A/C (minor)

Extract should include the cover page which shows the settlor's name, trustee's name/s and the trustee's signature/s with witness signatures and a deed of amendment, if there is any.

### Account Designation

A/C

Please provide an abbreviated version of the full name of the trust – *maximum 23 characters, including spaces*

The words or reference to "trust", "as trustee for", "trustee", "ATF", "TF" should not be used in Account Designation as it will not be accepted by CHESS.

**The following details are not applicable for Minor trust type – please go to Trustee Details**

Full Trust name

Full name of Settlor of the Trust

Australian Business number (ABN)

Trust Tax File Number (TFN) or Exemption Code

You are not obliged to provide us with your Tax File Number (TFN). However, if you do not provide us with your TFN tax may be deducted from your dividends and distributions at the highest marginal rate to meet Australian Taxation Office (ATO) requirements, unless you claim an exemption or provide your ABN. 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. Please contact the ATO for more information about your TFN and its use.

Is the trust operating as a charity? ☐ Yes ☐ No  
 If **yes**, what is the purpose of the charity?

## Additional Trustees

If there are more than 3 trustees, please provide names and addresses for those additional trustees.

### Additional Trustee 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

## Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

## 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 the new Additional Trustee 1.

### Westpac BSB and account number

BSB

Account number

### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	Yes
<p>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></p>	
<p>Username</p>	
<input type="text"/>	
<input type="radio"/>	No
<p>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></p>	
<p>Temporary Login Password</p>	
<input type="text"/>	
<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> <li>- Must not contain spaces</li> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Can contain most characters except '&lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul>	

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## Additional Trustee 2

☐ 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*
 /  /

## Residential Address

Street address – *Cannot be a PO Box*

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## Identification

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Please provide a Westpac bank account **or** Customer ID for the new Additional Trustee 2.

### Westpac BSB and account number

BSB 
 Account number

### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	<p>Yes</p> <p>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></p> <p>Username <input type="text"/></p>
<input type="radio"/>	<p>No</p> <p>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></p> <p>Temporary Login Password <input type="text"/></p> <p>                     Your nominated temporary password:                     <ul style="list-style-type: none"> <li>- Must not contain spaces</li> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> </ul> </p> <p>                     - Can contain most characters except &lt;=&gt;^{}'                      - Must not contain your Username or the word 'password'                 </p>



## Marketing Communications

We will use your personal information to send you offers for products and services we believe may be of interest and value to you (including by email, SMS or other means). The products and services offered may be provided by us or one of our third-party partners. If you are an existing Westpac Share Trading customer, any previous marketing preferences you may have provided with respect to Westpac Share Trading may be superseded by this application. If you do not wish to receive marketing 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 no longer wish to receive marketing information from Westpac Banking Corporation, please login to Westpac Online Banking and update your preferences.

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

## Additional Trustee 3

☐ 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

## Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

## 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 the new Additional Trustee 3.

### Westpac BSB and account number

BSB

Account number

### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	Yes
	<p>If <b>Yes</b>, please provide your Westpac Share Trading Username.</p> <p><i>Providing your Username allows us to link the new trading account to your current Username.</i></p>
	<p>Username</p> <div></div>
<input type="radio"/>	No
	<p>If <b>No</b>, please provide us with a temporary login password.</p> <p><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></p>
	<p>Temporary Login Password</p> <div></div>
	<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Must not contain spaces</li> <li>- Can contain most characters except '&lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul>

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

## Beneficiary Details

Please provide the full name of each beneficiary OR type of membership class (e.g. unit holder, family member). If there are more than 3 beneficiaries/membership classes as part of this application, please photocopy this page, complete and attach to your application.

<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> Mrs	<input type="radio"/> Miss	<input type="radio"/> Dr	<input type="radio"/> Other	<input type="text"/>
First name		Middle name/s		Surname		
<input type="text"/>		<input type="text"/>		<input type="text"/>		
Other name/s commonly known by – <i>If applicable</i>					Date of birth – DD/MM/YYYY	
<input type="text"/>					<input type="text"/> / <input type="text"/> / <input type="text"/>	

<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> Mrs	<input type="radio"/> Miss	<input type="radio"/> Dr	<input type="radio"/> Other	<input type="text"/>
First name		Middle name/s		Surname		
<input type="text"/>		<input type="text"/>		<input type="text"/>		
Other name/s commonly known by – <i>If applicable</i>					Date of birth – DD/MM/YYYY	
<input type="text"/>					<input type="text"/> / <input type="text"/> / <input type="text"/>	

<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> Mrs	<input type="radio"/> Miss	<input type="radio"/> Dr	<input type="radio"/> Other	<input type="text"/>
First name		Middle name/s		Surname		
<input type="text"/>		<input type="text"/>		<input type="text"/>		
Other name/s commonly known by – <i>If applicable</i>					Date of birth – DD/MM/YYYY	
<input type="text"/>					<input type="text"/> / <input type="text"/> / <input type="text"/>	

**OR**

Membership classes - e.g. Grandchildren, family members, etc.

<input type="text"/>
<input type="text"/>

## Beneficial Owners of the Trust

Provide details of all individuals who are substantial trust beneficiaries (i.e. those specified in the trust deed as having an entitlement to 25% or more of trust income and/or assets or those individuals that exercise control over the Trust)

This includes but not limited to: Appointer of Trust (if any); Beneficiaries; Trustees; and any other individual who is deemed to have control. Where control includes the capacity to appoint or remove the trustees of the trust. Note: We may get in touch if, at a later date, additional information is required.

### Beneficial Owner 1

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

☐ 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

### Residential Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

### 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 the new Beneficial Owner of Trust 1.

#### Westpac BSB and account number

BSB

Account number

#### Westpac Customer ID

## Do you have a Westpac Share Trading account?

<input type="radio"/>	Yes
<p>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></p>	
<p>Username</p> <input type="text"/>	
<input type="radio"/>	No
<p>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></p>	
<p>Temporary Login Password</p> <input type="text"/>	
<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> <li>- Must not contain spaces</li> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> <li>- Can contain most characters except &lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul>	

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

## Beneficial Owner 2

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

<input type="radio"/> Mr	<input type="radio"/> Ms	<input type="radio"/> Mrs	<input type="radio"/> Miss	<input type="radio"/> Dr	<input type="radio"/> Other	<input type="text"/>
First name		Middle name/s		Surname		
<input type="text"/>		<input type="text"/>		<input type="text"/>		
Other name/s commonly known by – <i>If applicable</i>					Date of birth – DD/MM/YYYY	
<input type="text"/>					<input type="text"/> / <input type="text"/> / <input type="text"/>	

## Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<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 the new Beneficial Owner of Trust 2.

### Westpac BSB and account number

BSB

Account number

--	--

### Westpac Customer ID

--

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

<input type="radio"/>	<p>Yes</p> <p>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></p> <p>Username</p> <div style="border: 1px solid #ccc; height: 20px; width: 100%;"></div>
<input type="radio"/>	<p>No</p> <p>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></p> <p>Temporary Login Password</p> <div style="border: 1px solid #ccc; height: 20px; width: 100%;"></div> <div style="display: flex; justify-content: space-between; font-size: 0.8em;"> <div> <p><i>Your nominated temporary password:</i></p> <ul style="list-style-type: none"> <li>- Must be between 6 and 16 characters long</li> <li>- Is not case sensitive</li> </ul> </div> <div> <ul style="list-style-type: none"> <li>- Must not contain spaces</li> <li>- Can contain most characters except '&lt;=&gt;^{}'</li> <li>- Must not contain the word 'password'</li> </ul> </div> </div>

## Marketing Communications

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

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

## 4. Settlement Options

☐ **Settle to a Westpac bank account**

### Nominated bank account

To settle your share trading transactions and/or any fees associated with subscriptions on your trading account, please 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 the linked bank account has one or more parties which are not the share trading account holders, you must ensure they sign the Declaration & Signature/s section of this form if the method of operation requires all account holders to sign.

Account name

Westpac BSB

Westpac account number

☐ **Settle to a Westpac Margin Loan**

Westpac Margin Loan Name

Westpac Margin Loan Number

You must also nominate a bank account for the debiting of any fees and charges associated with your Westpac Share Trading account. This nomination is specific to your Westpac Share Trading account and is separate to the bank account linked to your Westpac Margin Loan. To update the bank account linked to your Westpac Margin Loan please visit [westpac.com.au/marginloan](https://westpac.com.au/marginloan). The bank account must be in the same name/s provided in this application.

Bank account name

BSB

Bank account number

If this bank account is a joint account where one or more parties will **not** be account holders of the share trading account, you must provide a copy of their identification with a signature and have them sign this form.

## 5. CHESS Sponsorship Transfer Request – *Optional*

Your trading account will be CHESS sponsored by the Participant unless you have provided the details of a margin lending account in Section 4.

**i** The name and registration detail that appears on your current registered holdings must be the same name that appears on your trading account. If this requirement is not met any request to transfer holdings may be delayed or rejected.

☐ **Issuer to CHESS Transfer**

Transfer my/our issuer sponsored holdings to the Participant. – *Please attach copies of all relevant holding statement/s*

Shareholder Reference Number (SRN)


ASX code or security name


Quantity


You may select to either transfer all or part of your existing broker holdings to the Participant – *Please attach copies of your latest CHESS holding statement*

Australian Investment Exchange Limited	06382
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**a. Transfer ALL broker sponsored holdings to the Participant –** *We will transfer your Holder Identification Number (HIN)* ☐ Yes ☐ No

**b. Transfer the following existing broker sponsored holdings to the Participant** ☐ Yes ☐ No

☐ I/We authorise the Participant to transfer the above listed holdings into my/our Share Trading Account.



## 6. Privacy

### Westpac Privacy Statement

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at [westpac.com.au/privacy/privacy-statement](https://westpac.com.au/privacy/privacy-statement) or by calling us on 132 032. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your application or request.

### Australian Investment Exchange Limited Privacy Policy

All personal information Australian Investment Exchange Limited (AUSIEX) collects about you is collected, used and disclosed in accordance with the AUSIEX Privacy Policy which is available at [westpac.com.au/personal-banking/share-trading/support](https://westpac.com.au/personal-banking/share-trading/support). The AUSIEX Privacy Policy also provides information about how you can access, update and correct your personal information, make a complaint and update your marketing communications. You do not have to provide AUSIEX with any personal information but, if you don't, we may not be able to process your application or request.

## 7. Declaration and Signature/s

### All Applicants must sign this declaration.

1. I/We declare that the information I/we provided to you in this application is complete and correct and acknowledge that it will form part of the contract for each product I am/we are applying for;
2. I/We acknowledge that the name/s 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. I/We have read and understood the Westpac Share Trading and Australian Investment Exchange Limited (AUSIEX, the Participant) Financial Services Guides available at [westpac.com.au/personal-banking/share-trading/support/forms/](https://westpac.com.au/personal-banking/share-trading/support/forms/);
4. I/We have obtained the consent of any individual/s whose personal information is provided in this application. They acknowledge and consent to the collection, use or exchange of their information in accordance with the AUSIEX Privacy Policy available at [westpac.com.au/personal-banking/share-trading/support/privacy/](https://westpac.com.au/personal-banking/share-trading/support/privacy/);
5. I/We have read and agree to be bound by the Westpac Share Trading Terms and Conditions available at [westpac.com.au/personal-banking/share-trading/support/forms/](https://westpac.com.au/personal-banking/share-trading/support/forms/);
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 Terms and Conditions of Participant Sponsorship Agreement found in the Westpac Share Trading Terms and Conditions;
7. I/We authorise and request Australian Investment Exchange Limited (APCA User ID no. 665294 – Debit and 093992 – 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 section of the Terms and Conditions governing each product I am/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 me/us electronically.

## For Trusts:

11. I/We warrant that the trust deed/instrument authorises the opening and operation of the account/s as contemplated by this Application; and
12. I/We warrant that authority has been given by signature of the trustee/s, or where the trustee is a company, by resolution passed at a legally constituted meeting of director/s of the company for the opening and operation of the account/s in the name of and on the Terms and Conditions and in the manner set out in this application.

### Director/Trustee 1

Full name

Date signed – DD/MM/YYYY

 /  / 

Signature – Must be signed pen to paper

### Director or Company Secretary/ Trustee 2 – If applicable

Full name

Date signed – DD/MM/YYYY

 /  / 

Signature – Must be signed pen to paper

### Director or Company Secretary/ Trustee 3 – If applicable

Full name

Date signed – DD/MM/YYYY

 /  / 

Signature – Must be signed pen to paper

## Explanatory Notes

### 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: <http://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, IRD Number in New Zealand and Tax Reference Number (TRN) in Malaysia.

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. Accordingly, the information contained in this website 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)