

# Share Trading Account Application Form (Advised Clients)

Share Trading is a service provided by Australian Investment Exchange Ltd (the Participant, we, us, our)  
ABN 71 076 515 930 AFSL 241400, a participant of the ASX Group and Chi-X Australia.



Please refer to the 'Application Guide' at the end of this form for guidance on completing this application form.

### Where to send the completed application form?

Once completed and signed, please return the application form by email or fax to the details listed at the top of this page.

### Which account type would you like to complete this application for?

Individual    Joint    Company    SMSF/Trust – Individual/Joint as trustee    SMSF/Trust – Company as trustee



### Where to from here?

**All applicants** – Please start by providing adviser details in Section 1.

### Section 1 – Primary Adviser Details

Adviser Code or Current Username

MANDATORY

Adviser Name

Company Name

Contact Number

( )

Contact Email

Brokerage Code



### Where to from here?

**All applicants** – Please provide your personal details in Section 2.

### Section 2 – Personal Details

#### Applicant 1/Director 1/Trustee 1

In what capacity are you completing this section?

Individual    Director/Secretary    Trustee

Mr    Ms    Mrs    Miss    Dr   Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

DD / MM / YYYY

Gender

Male    Female

### Address Details

Residential Address (cannot be a PO Box)

State

Postcode

Country (if not Australia)

Postal Address  Same as Residential Address

State

Postcode

Country (if not Australia)

### CHES Registration Address

Please select one of the following for use as the CHES registration address on this account:

Postal Address

Other (please complete below)

Other CHES Registration Address

State

Postcode

Country (if not Australia)

### Contact Details

Email Address (must be applicant's email address)

Tick your preferred contact number

Mobile

Home ( )

Work ( )

Fax ( )

I do not wish to receive marketing and promotional material from the Participant

**Tax File Number or Exemption Code** – optional  
(refer Explanatory Note 1)

-  -

**Section 2 – Personal Details (continued)**

Are you a sole trader?

Yes  No

If yes, complete the next 2 questions:

Sole Trader Business Name

Sole Trader ABN – optional (refer Explanatory Note 1)

-    -    -

**Online access** (refer Explanatory Note 2)

Do you require online access?

Yes  No

If yes, nominate a Username and Temporary Password below (if you have an existing Username this will be used)

Username (6 to 16 alphanumeric characters)

  


Temporary Login Password (6 to 16 alphanumeric characters, and must not contain the word “password”)

  


You **must** provide a Temporary Login Password for online access. Please make a note of the Temporary Login Password you have nominated as you will be asked to change your Password upon your first login.

**Identification**

Select one of the options below:

If you are an existing Commonwealth Bank customer, please supply the following (**preferred**):

Existing Product Name

BSB (if applicable)

Account Number

- My adviser will complete the Identification for Individuals and Trust section of this application (**preferred**)
- My adviser will provide an FSC/FPA ID Form (**preferred**)
- I will attach certified copies of ID (Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

**Overseas Applicants Only**

Occupation

Reason for seeking account in Australia



**Where to from here?**

**Joint Applicants** – Please complete this section to add additional applicants. (Photocopy and complete this section to add additional applicants if required).

**Company/Company Trust/SMSF Applicants** – Please provide your Company/Company Trustee details in Section 3.

**Individual Trust/Joint Trust/SMSF Applicants** – Please provide your trust details in Section 4.

**Otherwise** – Please complete your Settlement details in Section 5.

**Applicant 2/Director 2/Trustee 2**

In what capacity are you completing this section:

Individual  Director/Secretary  Trustee



For joint accounts, statements and notices will only be posted to the first applicant's Postal Address.

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

Gender

Male  Female

**Address Details**

Same as Applicant 1

**Or, complete the following**

Residential Address (cannot be a PO Box)

  
  

State	Postcode
-------	----------

Postal Address  Same as Residential Address

  
  

State	Postcode
-------	----------

**Contact Details**

Email Address (must be applicant's email address)

Tick your preferred contact number

Mobile

Home ( )

Work ( )

Fax ( )

I do not wish to receive marketing and promotional material from the Participant

## Section 2 – Personal Details (continued)

**Tax File Number or Exemption Code** – optional  
(refer Explanatory Note 1)

-    -

Are you a sole trader?

Yes  No

If yes, complete the next 2 questions:

Sole Trader Business Name

Sole Trader ABN – optional (refer Explanatory Note 1)

-    -    -

**Online access** (refer Explanatory Note 2)

Do you require online access?

Yes  No

If yes, nominate a Username and Temporary Password below (if you have an existing Username this will be used)

Username (6 to 16 alphanumeric characters)

Temporary Login Password (6 to 16 alphanumeric characters, and must not contain the word “password”)

You **must** provide a Temporary Login Password for online access. Please make a note of the Temporary Login Password you have nominated. You will be asked to change your Password upon your first login.

### Identification

Select one of the options below:

If you are an existing Commonwealth Bank customer, please supply the following (**preferred**):

Existing Product Name

BSB (if applicable)

Account Number

My adviser will complete the Identification for Individuals and Trust section of this application (**preferred**)

My adviser will provide an FSC/FPA ID Form (**preferred**)

I will attach certified copies of ID (Your ID documents must be in the exact same details as those provided in this application. See to the *Identification Documentation Requirements* available from the website for more information.)

### Overseas Applicants Only

Occupation

Reason for seeking account in Australia



### Where to from here?

**Company/Company Trust/SMSF Applicants** – Please provide your Company/Company Trust details in Section 3.

**Individual Trust/Joint Trust/SMSF Applicants** – Please provide your trust details in Section 4.

**Otherwise** – Please complete your Settlement details in Section 5.

## Section 3 – Company Details

Company Name

Australian Company Number (ACN)

Registered Business Name

### ABN and TFN Details

Australian Business Number (ABN) – optional  
(refer Explanatory Note 1)

-    - -    -

Company Tax File Number (TFN) or Exemption Code – optional  
(refer Explanatory Note 1)

-    -

Industry Type (refer Explanatory Note 3)

### Address Details

Registered Business Address (cannot be a PO Box)

State Postcode

Country (if not Australia)

Postal Address  Same as Registered Business Address

State Postcode

Country (if not Australia)

Principal Place of Business (cannot be a PO Box)

Same as Registered Business Address

State Postcode

Country (if not Australia)

### CHES Registration Address

Please select one of the following for use as the CHES registration address on this account:

Company Postal Address

**Or**

Other (please complete below)

Other CHES Registration Address

State Postcode

Country (if not Australia)

**Section 3 – Company Details (continued)**

**Contact Details**

Email Address

Phone

Is the company operating as a charity?

Yes  No

If yes, what is the purpose of the charity?

Was the company established in Australia?

Yes  No

If no, please complete the next four questions

Country of formation/incorporation/registration

What is the company's business activity?

What is the purpose of seeking a share trading account in Australia?

Is this foreign company registered with ASIC?

Yes Please provide Australian Registered Body Number (ARBN)

No Please provide the unique identification number issued to the company on its registration/incorporation with the foreign registration body and attach a copy of original certificate of registration issued by the foreign registration body

Company Type  Public  Proprietary/Private

**Additional Director Details**

Please list the full name/s of all Additional Directors of the foreign company or domestic proprietary that are not listed as an Applicant in Section 2. If there are more than 2 Additional Directors, please photocopy this section, complete and attach to your Application.

**Additional Director 1**

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

**Additional Director 2**

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

**Shareholder Details**

If Proprietary/Private, please provide details of all individuals who are beneficial owners through one or more (direct/indirect) shareholdings of more than 25% of the company's issued capital.

**Shareholder 1**

Same as Applicant 1

Or, complete the following

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State Postcode

Country (if not Australia)

**Shareholder 2**

Same as Applicant 2

Or, complete the following

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State Postcode

Country (if not Australia)

**Shareholder 3**

Same as Applicant 3 (if applicable)

Or, complete the following

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State Postcode

Country (if not Australia)



**Where to from here?**

**Company Trust/SMSF Applicants** – Please provide your trust details in Section 4.

**Otherwise** – Please complete your Settlement details in Section 5.

**Section 4 – Trust Details**

**Trust Type**

- SMSF  
  Charity  
  Informal  
  Family  
  Minor  
 Other, please specify below

Full Trust Name (as per Trust Deed)

  


**Account Designation** (e.g. Brown Family Account)  
 (refer Explanatory Note 4)

Please provide an abbreviated version of the full name of the trust (up to 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 CHES.

A/C

**ABN and TFN Details**

Australian Business Number (ABN) – optional  
 (refer Explanatory Note 1)

-    -    -

Trust Tax File Number (TFN) or Exemption Code – optional  
 (refer Explanatory Note 1)

-    -

**Address Details**

- Same as Applicant 1                       Same as Company

Or, complete the following

Registered Address of the Trust (cannot be a PO Box)

State                       Postcode  
 Country (if not Australia)

Postal Address  Same as Registered Address of the Trust

State                       Postcode  
 Country (if not Australia)

**Contact Details**

Email Address

Phone

**The following two questions are not applicable for Minor trust types**

Is the trust operating as a charity?

- Yes     No

If yes, what is the purpose of the charity?

Was the trust established in Australia?

- Yes     No

If no, please complete the following 3 questions

What country was the trust established in?

What is the objective of the trust?

What is the purpose of seeking an account in Australia?

**Identification**

- My adviser will complete the Identification for Individuals and Trust section of this application (**preferred**)  
 My adviser will provide a Trust FSC/FPA ID Form (**preferred**)  
 I will attach a certified copy of the front page of the Trust deed containing the trust name (and a deed of amendment if applicable) and showing the trustee's signature/s with witness signatures (if formal trust).

**Additional Trustee Details**

If there are more than 2 trustees not already listed as applicants, please provide names and addresses for those additional trustees.

For any additional trustees please photocopy this section, complete and attach to your application.

**Additional Trustee 1**

- Mr    Ms    Mrs    Miss    Dr   Other

Given Name/s

Surname

Residential Address (cannot be a PO Box)

State                       Postcode  
 Country (if not Australia)

**Additional Trustee 2**

- Mr    Ms    Mrs    Miss    Dr   Other

Given Names/s

Surname

Residential Address (cannot be a PO Box)

State                       Postcode  
 Country (if not Australia)

**Beneficiary Details**

Please provide the type of membership class (e.g. unit holder, family member) or the full name of each beneficiary. If there are more than 2 membership classes/beneficiaries please photocopy this section, complete and attach to your application.

Membership classes

  


Or

**Beneficiary 1**

- Mr    Ms    Mrs    Miss    Dr   Other

Given Name/s

Surname

#### Section 4 – Trust Details (continued)

##### Beneficiary 2

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname



##### Where to from here?

**All Applicants** – Please complete your Settlement details in Section 5.

#### Section 5 – Settlement Options

Please complete either the nominated bank account details or Third Party Settlement details if you wish to settle from an existing third party settlement provider.

##### Nominated bank account

You must provide a nominated bank account to settle your share trades and/or other subscriptions on your account. The nominated bank account must be in the same name/s provided in this application.

**New CBA Accelerator Cash Account**  
(please complete Section 6)

Or

**Bank Account**

Account Name

BSB

Account Number

Or

**Third Party Settlement**

(e.g. Margin Loan or WRAP Account)

Complete only if you intend to settle your share trading transactions through a Third Party Settlement provider.

Third Party Settlement Provider (e.g. Margin Lender)

Third Party Settlement PID

Third Party Account Number

Third Party Settlement Account Name

Third Party Contact Person (if known)

Third Party Contact Number (if known)



##### Where to from here?

**If you selected 'New CBA Accelerator Cash Account'** – Please complete Section 6.

**For CHES Sponsorship Requests** – Please complete Section 7.

**Otherwise** – Please complete Section 8 to complete the Identification for Individuals and Trust.

#### Section 6 – CBA Accelerator Cash Account

##### ADVISER USE ONLY

Account Number (if generated over the phone)

BSB: 067167 A/C:

**This account number is not active until you receive confirmation that the account has been opened.**



The Accelerator Cash Account is a product of the Commonwealth Bank of Australia ABN 48 123 123 123 124 AFSL 234945 (the Bank) and administered by the Participant. The Participant is a wholly owned but non-guaranteed subsidiary of the Bank.

##### Initial deposit to be made by:

Please transfer funds from my existing Commonwealth Bank Account:

Account Name (**must be in the same name as the application**)

BSB

Account Number

Amount

Amount in words

I have attached a cheque to the completed application

I will transfer funds once I receive the BSB and account number

##### Is a deposit book required?

No  Yes

##### Is a cheque book required?

No  Yes

##### Account Access

If there are more than 2 applicants, please photocopy this section, complete and attach to your application.

##### Applicant 1

###### Is ATM/EFTPOS access required?

- No  
 Yes, issue a new Keycard  
 Yes, link to an existing Commonwealth Bank card

Existing Card Number

 –  – – 

###### Is NetBank Access required?

No  Yes \*^

##### Applicant 2

###### Is ATM/EFTPOS access required?

- No  
 Yes, issue a new Keycard

Yes, link to an existing Commonwealth Bank card

Existing Card Number

-     -

-

**Is NetBank Access required?**

No  Yes \*^

\* If you are an existing NetBank customer, your new account will be added to your NetBank login. If you do not currently have access to NetBank, we will automatically create login details for you.

^ In order for a NetBank login to be created, you must provide both an email address **and** a mobile number in the contact details of this form.

**Statements and Notices:**

You can elect to receive your statements and notices online.

Things you need to know if you elect online statements and notices:

- You will not receive paper statements or notices but will instead receive them online via NetBank (we may however choose to send you a particular notice by paper). You can print a copy if you wish.
- We'll send you an email when statements/notices are available in NetBank.
- You need to advise us if you change your email address.
- You can choose to start receiving paper statements via NetBank or by calling us on 132 221.

Online

Paper (additional fees may be incurred).

**Statement Delivery Address** (for paper statements)

Same as Applicant 1

**Or**, complete the following

Name

Address Details

State Postcode

Country (if not Australia)

**For Trusts Only**

Are the funds in this account held in trust?

No  Yes

Where the funds in this account are held in trust, the trust deed/instrument authorises the opening and operation of the account in the manner set out in this authority.

**Account Use**

Are you opening this account wholly or predominantly for personal or domestic use?

No  Yes

**Signature requirements for operation of joint/company (including trusts) accounts only:**

**Any** to sign

**More than one** to sign

**More than two** to sign



No card/s will be issued where 'More than one to sign' option is ticked). If no selection is made the account will be established as more than one to sign).



**Where to from here?**

**For CHES Sponsorship Requests** – Please complete Section 7.

**Otherwise** – Please complete Section 8 to complete the Identification for Individuals and Trust.

**Section 7 – CHESS Sponsorship Request**

It may be necessary to re-lodge your standing instructions with the share registries after some transfers. These include tax file numbers, banking details or dividend instructions.

Your trading account will be CHESS sponsored by the Participant unless you have provided Third Party Settlement details.



The Name and registration detail that appears on your current registered holdings **must** be the same as that which appears on your Share Trading Account. If this requirement is not met any request to transfer holdings may be delayed or rejected.

Please tick the option/s you are requesting:

**ISSUER to BROKER SPONSORSHIP**

Transfer my/our Issuer Participant Sponsored Holdings to the Participant. (Please attach copies of all relevant holdings Statements)

Securityholder Reference Number (SRN)

ASX Code or Security Name	Qty
<input type="text"/>	<input type="text"/>

Securityholder Reference Number (SRN)

ASX Code or Security Name	Qty
<input type="text"/>	<input type="text"/>

Securityholder Reference Number (SRN)

ASX Code or Security Name	Qty
<input type="text"/>	<input type="text"/>

Securityholder Reference Number (SRN)

ASX Code or Security Name	Qty
<input type="text"/>	<input type="text"/>

I/We authorise the Participant to convert the above listed Holding/s into my/our Share Trading Account.

**BROKER to BROKER TRANSFER**

You may select to either transfer all or part of your existing broker holdings.

**Existing Broker Name:**

PID:

HIN:

A/C:

**New Broker Name:**

PID:

In the event of any mismatch of registration details, I authorise the Participant to make changes to my Holder Identification Number (HIN) registration details in accordance with the information I have provided in my application form.

**Broker to Broker Transfer Instructions:**

a)  Transfer **all** Broker Sponsored Holdings to the Participant (we will transfer your HIN).

or

b)  Transfer only the following existing Broker Sponsored Holdings to the Participant.

ASX Code or Security Name	Qty



**Where to from here?**

**All applicants** – Please complete Section 8 to complete the Identification for Individuals and Trust.



**Section 8 – Identification for Individuals and Trust**



This section will be completed based on the identification and verification conducted by the adviser.

Your adviser will complete this section if you chose this identification option in Section 2. If there are more than 2 applicants, please photocopy this section, complete and attach to your application.

**ID Document Details Applicant 1/Director 1/Trustee 1**

**Document 1**

Verified From  Original  Certified Copy

Document Type (e.g. Passport)

Issue Date

Expiry Date

Document Number

Accredited English Translation  N/A  Sighted

**Document 2**

Verified From  Original  Certified Copy

Document Type (e.g. Passport)

Issue Date

Expiry Date

Document Number

Accredited English Translation  N/A  Sighted

**ID Document Details Applicant 2/Director 2/Trustee 2**

**Document 1**

Verified From  Original  Certified Copy

Document Type (e.g. Passport)

Issue Date

Expiry Date

Document Number

Accredited English Translation  N/A  Sighted

**Document 2**

Verified From  Original  Certified Copy

Document Type (e.g. Passport)

Issue Date

Expiry Date

Document Number

Accredited English Translation  N/A  Sighted

**Trust Deed Documentation Details**

Verified From  Original  Certified Copy

Trust Name as it appears on Document

  

Issue Date

**Adviser Declaration & Signature**

Identification and verification has been conducted and declare the following:

- I have been appointed by the client/s as their client adviser;
- I have identified the client/s and completed the ID Document Details in this application; and
- I have identified the trust and completed the Trust Deed Documentation Details (if applicable)

Date signed and verified

Date

Authorised Representative of (Australian Financial Services Licensee)

AFSL Number

## Section 9 – Declaration & Signature/s

### All applicants 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.
2. Acknowledge that:
  - (a) 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;
  - (b) I/we have been given the opportunity during the application process to indicate whether I/we do not wish to receive promotional material from the Participant.
3. Consent to the uses and disclosures of my/our personal information set out in the Privacy Policy available from the website.

### Declaration to the Share Trading Terms and Conditions

1. I/We, the Applicant/s acknowledge that we have been supplied with, and read, the Participant's Financial Services Guide and Share Trading Terms and Conditions prior to receiving any financial service from the Participant.
2. I/We, the Applicant/s, agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement. I/We have read and agree to accept and abide by the terms of the Agreement, and have been supplied with, read and understood the written explanation of the implications of those terms.
3. I/We, the Applicant/s, authorise the adviser to open a Share Trading Account with the Participant and to give instruction to the Participant on the Account on my/our behalf.
4. I/We, the Applicant/s, acknowledge that as a result of my/our Share Trading Account managed by my adviser with the Participant having Straight Through Processing (an automated processing of a securities trade through the Market Operator's trading system) it is possible that any orders on my/our Account may be matched with another order also placed by the Participant. This "crossing" may be with an order by another client of the Participant or by the Participant itself.
5. I/We authorise and request Australian Investment Exchange Ltd (APCA User ID no. 093993 – Debit and 093 992 - 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 Share Trading Terms and Conditions governing each product I/we are applying for.
6. I/We, the Applicant/s, acknowledge and agree that all confirmations are to be sent electronically to my/our email and where the confirmation is posted, that a charge will apply.
7. I/We authorise the Participant to accept instructions on my/our behalf from my/our adviser and confirm that my/our adviser has the power to do the following in my/our name and on my/our behalf from time to time:
  - (a) To have access to, receive, and enquire about information pertaining to an account;
  - (b) to acquire, buy, deal with and dispose of, or sell any financial products;
  - (c) to provide authorisation to make and receive payment for any financial products transactions and attendant expenses by any means whatsoever and to give a goods receipts and discharges for the proceeds and sales on financial products and other monies;

- (d) to execute all contracts and other documents necessary or proper for the custody, dealing and transfer of financial products and related matters.
  - (e) To receive, hold, or arrange custody of evidence or title to financial products;
  - (f) to exercise all rights, obligations, duties, and privileges now and in the future with regard to transacting in financial products that pertain to me as the holder of financial products;
8. I/We accept that my/our adviser has access to all information relating to transactions undertaken in relation to dealings with the Participant.
  9. I/We acknowledge that my/our adviser may delegate the authorisation in clause 7 above to persons nominated by the Licence Holder from time to time.
  10. I/We, the Applicant/s, declare that I/we have the legal capacity to make these declarations, accept the conditions and enter into the agreements referred to in the points above.

### For Trusts only:

I/We:

- (a) Warrant that the trust deed/instrument authorises the opening and operation of the account as contemplated by this Application, and
- (b) 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.

### For CBA ACA and TD Applicants only:

1. I/We have been given a copy of the Accelerator Cash Account and Term Deposit General Information, Terms and Conditions and Standard Fees and Charges documents and accept the terms and conditions (including the section on 'Customer Information and Privacy') for this account.
2. I/We also acknowledge and consent to the use and disclosures of my/our personal information as detailed in the section on 'Customer Information and Privacy' and to the payment of the fees referred to below.
3. I/We declare that my/our information (including identification details) as shown on this form are true and correct, and that I/we understand that it is an offence to provide false or misleading information.
4. I/We have received and reviewed a copy of the Electronic Banking Terms and Conditions (available at [www.commbank.com.au](http://www.commbank.com.au)) and accept those terms and conditions.
5. I/We acknowledge that my/our first use of NetBank will signify my/our acceptance of, and agreement to be bound by, the Bank's Electronic Banking Terms and Conditions.
6. Trail Commission Disclosure:
  - i) We may pay a commission (by lump sum or ongoing) to your agent (adviser) who referred you to us, or to a third party associated to that agent.
  - ii) By signing this Application Form, you consent to the payment of the commissions referred to below.
  - iii) You can cancel the payment of any ongoing commissions by instructing us in writing.
  - iv) You can elect to pay any ongoing commissions to another agent you appoint in the future by instructing us in writing.
  - v) The interest rate on your account(s) will be reduced by the commission amount, and the amount of interest payable on the account balance will be reduced by the amount of the trail commission.

## Section 9 – Declaration & Signature/s (continued)

**Client Commission Option** (select one of the two options below):

- With trail (standard)       Rebate (without) trail

Signature of Applicant 1  
/Director 1/Trustee 1

Date

DD / MM / YYYY

Signature of Applicant 2  
/Director 2/Trustee 2

Date

DD / MM / YYYY

If there are more than 2 applicants, please photocopy this section, complete and attach to your Application.

### Adviser Declaration

1. As the adviser, I agree that the above client has been provided with and read, the Participant's Financial Services Guide prior to receiving any financial service from the Participant.
2. I have been appointed by the applicant/s as their client adviser and I have identified the applicant/s and where applicable the Trust. I have performed the necessary identification checks required by law and any other relevant authority and I have sufficient evidence of this check that will be kept for seven years. Commonwealth Bank of Australia is authorised to take instruction/s from this client's adviser on behalf of the applicant/s.
3. As the adviser, I acknowledge that the Participant relies upon us to perform the necessary ID check in order to satisfy their requirements and that the Participant can request copies of identification at any time. I acknowledge that the process for providing assurance of client identification to the Participant may change, at the Participant's discretion, at any time.
4. As the adviser, I acknowledge that I will send a copy of all documents used to verify my client's details to the Participant together with the application form. I acknowledge that the copy must be made from an original document and include a statement "This is a true copy of the original document" (or similar wording) and my signature.

Adviser Name

Signature of adviser

Date

DD / MM / YYYY



### Where to from here?

**If you completed Section 6 and wish to provide your adviser Authority to Operate your Cash Account – please complete Section 10.**

#### **If not, you are now complete:**

- Please email or fax your completed Application Form to us to the details on the front of this application.
- Where your forms are completed correctly and all required documentation is received, we will activate your new trading account within 2 business days.
- You will receive an email notification from us once your account has been established
- Please ensure that you have made a note of your Username and Temporary Login Password so that you can access your share trading account as soon as it has been activated. You must make a reasonable attempt to disguise your Username and Temporary Login Password if you write it down – that is scramble details in such a way that others will not be able to decode it.

## Section 10 – Adviser Authority to Operate on your Cash Account



Only complete the below information if you completed Section 6 and would like to provide your adviser with authority to conduct transactions on your Accelerator Cash Account.

I/We authorise my/our adviser (Authorised Adviser) as set out below to act on my/our behalf on the Accelerator Cash Account requested in this application form, and any subsequent Term Deposit Accounts opened in the future, to the extent of their authority set out below, to send instructions to the Commonwealth Bank of Australia (the Bank) to:

### Acknowledgement and Request

- (a) I/We authorise the Bank to act on instructions received from my/our Authorised Adviser/s (including their employees, agents and contractors) to:
  - Request general account (including balance and individual transactions) and personal information related to the account/s nominated on this form, order cheque books, deposit books and/or Keycards which will be sent to the address I/we nominate.
- (b) I/We authorise the Bank to act on instructions received from my/our Authorised Adviser/s to:
  - Transfer funds from my/our account/s and set up periodical payments to accounts in exactly the same name of my/our account which the funds are being transferred from within the Bank;
- (c) I/We also authorise the Bank to act on signed instructions received from my/our Authorised Adviser/s to:
  - Transfer funds and set up periodical payments from my/our account/s nominated on this form to any other account specified on the written request provided.
  - Place money on term deposit with the Bank in my/our name/s for any term and to withdraw on maturity, or by arrangement with the Bank prior to maturity, any such moneys held on term deposit, give valid discharges for interest paid and principle repaid and to otherwise exercise all the rights as permitted in this authority.
- (d) I/We authorise the Bank to act on instructions from my/our Authorised Adviser/s to withdraw their fees from my/our account using online or electronic services.

### All Applicants please sign below

I/We:

- authorise and request the Bank to accept and act upon any instructions issued by my/our Authorised Adviser (including their representative under clause (a) above) pursuant to this authority and undertake and ratify whatever my/our Authorised Adviser lawfully does or causes to be done pursuant to this authority;
- understand that the appointment of my/our Authorised Adviser remains effective until I/we revoke it by providing a notice in writing to the Bank;
- acknowledge and consent for the Bank to accept an instruction sent by me by fax or scanned documents sent by email (see the Accelerator Cash Account and Term Deposit Terms and Conditions for further detail); and
- acknowledge that any instructions given by me/us in accordance with this authority will be relied on by the Bank and that the Bank will not be liable for any loss or damage I/we, or anyone else, suffers where the Bank acts on those instructions in good faith, unless it is proved that the Bank was negligent. Where the Bank agrees to supply services to me/us as a consumer, as defined in the Australian Securities and Investments Commission Act 2001 (the Act), then the Bank's liability will be determined in accordance with the Act. The Act permits the Bank in some circumstances to limit its liability to resupplying services to me/us.

**Section 10 – Adviser Authority to Operate on your Cash Account (continued)**

**Applicant/s Signature/s**

**Applicant 1/Director 1/Trustee 1**

Signature

Date

**Applicant 2/Director 2/Trustee 2**

Signature

Date

If there are more than 2 applicants, please photocopy this section, complete and attach to your Application.

**Authorised Adviser/s to Complete**

I/We:

- acknowledge that I/we have received and agree to be bound by the Terms and Conditions governing the account/s and consent to the uses and disclosures of my/our personal information set out in the Privacy Policy available from the website.

**Adviser 1**

Signature

Date

**Adviser 2**

Signature

Date



**Where to from here?**

**You are now complete:**

- Please email or fax your completed Application Form to us to the details on the front of this application.
- Where your forms are completed correctly and all required documentation is received, we will activate your new trading account within 2 business days.
- You will receive an email notification from us once your account has been established.
- Please ensure that you have made a note of your Username and Temporary Login Password so that you can access your share trading account as soon as it has been activated. You must make a reasonable attempt to disguise your Username and Temporary Login Password if you write it down – that is scramble details in such a way that others will not be able to decode it.

**INTERNAL USE ONLY**

Trading A/C Number

HIN

Date

Initials

# Share Trading Application Guide

This application guide provides additional information that may assist you in filling out the application form. The application comprises multiple sections. Please refer to the matrix below to determine which sections are applicable to your application. Once completed and signed, please return the application form by email or fax.



## Identification and Documents Required

- Please note all fields are **mandatory** to complete within each required section unless otherwise specified
- We are required by law to identify applicants. All applicants who **are not** existing clients need to provide evidence of identification as per the options provided in the relevant sections of the application form. **See the *Identification Documentation Requirements* available from the website for more information.**
- If you elect an identification method which requires you to provide supporting documents, then,
  - Proof of identification documents must be in the exact same details provided in this application;
  - If identification is conducted by an adviser, a photocopy must be made from the original document and include a statement "This is a true copy of the original document" (or similar wording) and the agent's signature.

## APPLICATION INSTRUCTIONS

Account Type	Mandatory Sections	May be Applicable	Instructions
<b>Individual</b> e.g. Peter John Brown	<b>1, 2, 5 &amp; 9</b>	<b>6 &amp; 10</b> – CBA Accelerator Cash Account clients <b>7</b> – Clients transferring stock from another broker <b>8</b> – Non-CBA Customers	No Account Designation or Trust Use full given and last names of individual. <b>Individual to sign</b>
<b>Joint</b> e.g. Peter John Brown & Susan Alice Brown	<b>1, 2, 5 &amp; 9</b>	<b>6 &amp; 10</b> – CBA Accelerator Cash Account clients <b>7</b> – Clients transferring stock from another broker <b>8</b> – Non-CBA Customers	No Account Designation or Trust Use full given and last names of individuals <b>All individuals to sign</b>
<b>Company</b> Bokum Pty Ltd	<b>1, 2, 3, 5 &amp; 9</b>	<b>6 &amp; 10</b> – CBA Accelerator Cash Account clients <b>7</b> – Clients transferring stock from another broker <b>8</b> – Non-CBA Customers	No Account Designation Use full company name <b>At least 2 company officers (2 Directors, or 1 Director and 1 Secretary) or Sole Director/Secretary to sign</b>
<b>Trust (Individual as Trustee)</b> e.g. Peter John Brown & Susan Alice Brown	<b>1, 2, 4, 5 &amp; 9</b>	<b>6 &amp; 10</b> – CBA Accelerator Cash Account clients <b>7</b> – Clients transferring stock from another broker <b>8</b> – Non-CBA Customers	Account Designation e.g. Brown Family A/C 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. For Superannuation Fund, "S/F" should be used in place of "Super Fund". <b>All trustees to sign</b>
<b>Trust (Company as Trustee)</b> e.g. Bokum Pty Ltd	<b>1, 2, 3, 4, 5 &amp; 9</b>	<b>6 &amp; 10</b> – CBA Accelerator Cash Account clients <b>7</b> – Clients transferring stock from another broker <b>8</b> – Non-CBA Customers	Account Designation e.g. Bokum Family A/C 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. For Superannuation Fund, "S/F" should be used in place of "Super Fund". <b>All trustees to sign</b>

## Explanatory Notes

### 1. AUSTRALIAN BUSINESS NUMBER (ABN), TAX FILE NUMBER (TFN) OR EXEMPTION CODE

Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy.

#### TFN and Trusts

Formal trust - established as a legal entity under a formal trust deed and has a TFN. Please quote the TFN of the formal trust.

Informal trust - no formal arrangements in place e.g. minor, and there is no requirement for you to furnish a Trust income tax return to the Australian Taxation Office.

Please provide the Tax File Number/s of the Trustee/s.

### 2. USERNAME

If your nominated Username is already in use, we will nominate a similar alternative on your behalf. You will receive confirmation of your Username with your Welcome Letter or Email.

### 3. INDUSTRY TYPE

Please select one of these options:

- Accommodation, Cafes and Restaurants
- Agriculture, Forestry and Fishing
- Communications
- Construction
- Cultural and Recreational Services
- Education
- Electricity, Gas and Water Supply
- Finance and Insurance
- Government Administration and Defence
- Health and Community Services
- Manufacturing
- Mining
- Personal and Other Services
- Property and Business Services
- Retail Trade
- Transport and Storage
- Wholesale Trade
- Other

### 4. ACCOUNT DESIGNATION

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 (minor).