

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.
- 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.
- You must nominate a Westpac bank account or Westpac Margin Loan for settlement.
- Applicants 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
Individual (Includes Sole Trader) Account Name (example): Peter John Brown	1, 2 & 5	3
Joint 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 Westpac Margin Loan.

Which account type would you like to apply for?

☐ Individual
 ☐ Joint

1. Personal Details

i 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

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 number
 Home number – *Optional*
 Work number – *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		
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:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	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 Applicant 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 Yes, 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>	
Username	
<input type="text"/>	
<input type="radio"/>	No
<p>If No, 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>	
Temporary Login Password	
<input type="password"/>	
<p>Your nominated temporary password:</p> <ul style="list-style-type: none"> - Must be between 6 and 16 characters long - Is not case sensitive - Must not contain spaces - Can contain most characters except '<=>^{}' - Must not contain the word 'password' 	

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.

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

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

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.

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 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 Yes, 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 No, 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"> - Must not contain spaces - Must be between 6 and 16 characters long - Is not case sensitive - Can contain most characters except <=>^{}' - Must not contain the word 'password' 	

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

Applicant 3 – if applicable

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

First name	Middle name/s	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Contact Details

Email address

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

Mobile

Home number

Work number

Tax File Number or Exemption Code – *Optional*

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. 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.

Identification

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Please provide Westpac bank account **or** Customer ID for Applicant 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 Yes, 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"/>	<p>No</p> <p>If No, 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"> - Must be between 6 and 16 characters long - Is not case sensitive - Must not contain spaces - Can contain most characters except '<=>^{}' - Must not contain the word 'password'

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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.

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.

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.

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.

The bank account must be in the same name/s provided in this application.

Bank account name

BSB

Bank account number

3. 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 2 of this application form.

i The name and registration details 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

☐ Broker to Broker transfer

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*

Existing broker name

Broker code/Participant ID (PID)

Holder Identification Number (HIN)

Account number

PID and HIN can be found on your CHESS holding statements. Alternatively, contact your existing broker.

Account name

New broker name

Broker code/Participant ID (PID)

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

a. Transfer ALL broker sponsored holdings to the Participant - *we will transfer your Holder Identification Number (HIN)*

☐ Yes

☐ No

OR

b. Transfer only the following broker sponsored holdings to the Participant

☐ Yes

☐ No

Please list the security/ies that you would like to transfer from your existing broker. Attach a separate sheet if more space is required.

Note: It may be necessary to re-odge your standing instructions with the share registries after some transfers. These include tax file numbers, banking details and Dividend Reinvestment Plan and/or other dividend instructions.

☐ I/We authorise the Participant to transfer the above listed holdings into my/our share trading account.

4. 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 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. 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.

5. 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/;
4. 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/;
5. 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;
6. 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;
7. I/We agree for the Participant to remit funds to my/our nominated Westpac bank account upon my/our request;
8. I/We agree that my/our nominated representative/s is/are bound by these Terms and Conditions;
9. I/We agree for the Participant to send my/our Confirmations, trading account information and Statements to me/us electronically.

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

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

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

📞 13 13 31
🌐 sharetrading.westpac.com.au