

### Issuer Sponsored Holding – USE THIS FORM

These are holdings that are:

- Sponsored by a share registry and not a broker
- Identified by an individual Securities Reference Number (SRN) which begins with an “I”

### Broker Sponsored Holding – DO NOT USE THIS FORM

These are holdings that are:

- CHESS sponsored by a broker
- Attached to a Holder Identification Number (HIN) that begins with an “X”

To sell this type of holding, contact us on 1300 769 433

## Selling an Issuer Sponsored Holding

Use this form if you wish to sell an Issuer Sponsored listed security. Complete, sign and return this form:

[Need help?](#)  
 Contact Client Services  
 1300 769 433  
[service@openmarkets.com.au](mailto:service@openmarkets.com.au)

Via Mail to: OpenMarkets Australia Ltd  
 Client Services  
 Suite 300, 189 Queen Street  
 Melbourne VIC 3000

along with:

- a copy of your holding statement or latest dividend statement
- an original certified copy of each shareholder’s driver’s licence or passport
- a copy of a bill no more than 3 months’ old (or see Appendix for more options)

Via email to: [service@openmarkets.com.au](mailto:service@openmarkets.com.au)

*\*\*with online ID check\*\**

along with:

- a copy of your holding statement or latest dividend statement

ONLINE ID CHECK – If you are submitting via email, you must consent to the electronic verification check in this application. Please note however, if you do not pass this check you will need to mail to us a certified copy of your ID (options provided in the Appendix). We will notify you if this happens.

## Our process

In order to sell your Issuer holdings we need to transfer it onto a new CHESS sponsored Holder Identification Number (HIN) in your name. By signing this form you acknowledge this process, and understand and agree to CHESS sponsorship.

### Multiple holdings

You can sell up to three holdings registered in the exact same name(s) using this form. For additional holdings please provide an instruction in a cover letter and attach copies of all holding statements.

## Our fees

Min. \$200 or 1.5% (above \$15,000) per holding. Deposits into an overseas bank account incur an additional AUD\$100.

## Important reading

Before you submit this form you must have read and understood the following OpenMarkets documents:

- [1. Client Agreement](#)    [2. Financial Services Guides](#)    [3. Best Execution Policy](#)

All of which can be found at our website [Forms](#) page.

## How long does it take?

- 1 Once received and if completed correctly, your application will be processed within **5 business days**
- 2 If you opted to be telephoned first, we’ll call the Primary Contact (Shareholder 1) to confirm the sell order/price
- 3 **Settlement takes place on 2 business days after the trade date** when funds are credited into the nominated bank account, typically clearing the following day.

Use this form if you wish to sell a listed security that is Issuer Sponsored in an individual or joint name. **Note: Brokerage charge is \$200 per trade/parcel of shares (up to \$15,000 trade value) or 1.5% (including GST).** Deposits into an overseas bank an additional AUD\$100.

## HOLDING & REGISTRATION DETAILS

### REGISTRATION DETAILS

Provide the name/entity and address that the holding(s) are registered in (as per holding or dividend statement):

Registered Name(s)		
Account Designation (if applicable)	<	A/C>
Registered Address		

### AUTHORISATION TO SELL

The below holding(s) will be sold the current market price at the time this application is processed. If you wish to be contacted by OpenMarkets to discuss the price of the shares first, please indicate below:

I/we wish to be contacted by OpenMarkets to discuss the sale price of my/our shares

#### I/we authorise OpenMarkets to sell:

Full name of Security/Stock		Stock Code e.g. BHP	
Quantity (in numbers)			
Quantity (in words)			
Security Reference Number e.g. I0009876555			

#### I/we authorise OpenMarkets to sell:

Full name of Security/Stock		Stock Code e.g. BHP	
Quantity (in numbers)			
Quantity (in words)			
Security Reference Number e.g. I0009876555			

#### I/we authorise OpenMarkets to sell:

Full name of Security/Stock		Stock Code e.g. BHP	
Quantity (in numbers)			
Quantity (in words)			
Security Reference Number e.g. I0009876555			

**SHAREHOLDER DETAILS** MANDATORY

**SHAREHOLDER 1 (Primary Contact)** MANDATORY

\*Full Name

\*Date Of Birth

\*Residential Address   
Not a PO Box

Mobile

\*Email  Must be your own email address

\*Occupation

Please provide details of countries in which you are citizen, resident and/or tax resident:

Country	Citizen	Resides in	Tax Resident	Tax File Number/Tax ID <sup>^</sup>
<input type="text"/>				<input type="text"/>
<input type="text"/>				<input type="text"/>

*For additional countries, please provide details on a separate sheet of paper.*

**CONSENT TO ELECTRONIC VERIFICATION** EMAILED APPLICATIONS ONLY

If you are emailing in this application, please consent to an electronic identification check.

Yes, I consent to an electronic verification check with a credit reporting agency.

Previous residential address   
If less than 3 years at your current address, providing this can assist in passing the check.

**SHAREHOLDER 2** IF APPLICABLE

\*Full Name

\*Date Of Birth

\*Residential Address   
Not a PO Box

Email  *optional*

\*Occupation

Please provide details of countries in which you are citizen, resident and/or tax resident:

Country	Citizen	Resides in	Tax Resident	Tax File Number/Tax ID
<input type="text"/>				<input type="text"/>
<input type="text"/>				<input type="text"/>

*For additional countries, please provide details on a separate sheet of paper.*

**CONSENT TO ELECTRONIC VERIFICATION** EMAILED APPLICATIONS ONLY

If you are emailing in this application, please consent to an electronic identification check.

Yes, I consent to an electronic verification check with a credit reporting agency.

Previous residential address   
If less than 3 years at your current address, providing this can assist in passing the check.

**FOR SHAREHOLDER 3 PLEASE PHOTOCOPY THIS PAGE, COMPLETE AND ATTACH TO THIS APPLICATION.**

COMPANY DETAILS (proprietary companies only)		IF REGISTERED AS A COMPANY
Company Name	<input style="width: 100%;" type="text"/>	
ABN/ACN	<input style="width: 40%;" type="text"/>	Industry <input style="width: 40%;" type="text"/>
Registered Address <small>Not a PO Box</small>	<input style="width: 100%;" type="text"/>	
Principal Place of Business (If any) <small>same as above</small>	<input style="width: 100%;" type="text"/>	
Are there additional directors who are not shareholders on this account? If <u>Yes</u> , please provide names below:		
1. Full Name	<input style="width: 40%;" type="text"/>	2. Full Name <input style="width: 40%;" type="text"/>
If there are more directors, please provide on a separate sheet.		

TRUST DETAILS (registered in Australia only)		IF REGISTERED IN THE NAME OF A TRUST
Type of Trust	Unregulated (e.g. Family Trust)	Regulated (e.g. SMSF)
Full name of Trust	<input style="width: 100%;" type="text"/>	
Trust ABN	<input style="width: 40%;" type="text"/>	^Trust TFN <input style="width: 40%;" type="text"/>
Was the trust established with a 'settled sum' of \$10,000 or more? <span style="float: right;">UNREGULATED TRUSTS ONLY</span>		
If Yes, provide full name of settlor: <input style="width: 80%;" type="text"/>		

BENEFICIAL OWNERSHIP		COMPANY & TRUST SHAREHOLDERS ONLY
List the individuals that own 25% or more of the total shareholding of the entity (either directly or indirectly), or who ultimately control the entity e.g. CEO or Managing Director.		
Beneficiary 1	Full Name:	<input style="width: 100%;" type="text"/>
<small>same as Trustee 1</small>	Residential address:	<input style="width: 100%;" type="text"/>
	DOB	<input style="width: 40%;" type="text"/>
Beneficiary 2	Full Name:	<input style="width: 100%;" type="text"/>
<small>same as Trustee 2</small>	Residential address:	<input style="width: 100%;" type="text"/>
	DOB	<input style="width: 40%;" type="text"/>
Beneficiary 3	Full Name:	<input style="width: 100%;" type="text"/>
<small>same as Trustee 3</small>	Residential address:	<input style="width: 100%;" type="text"/>
	DOB	<input style="width: 40%;" type="text"/>
OR Class of Beneficiaries: (Group of beneficiaries rather than individual names)		<input style="width: 100%;" type="text"/>
For additional beneficiaries or where a beneficiary is a group or entity, and the directors of that entity are different to the shareholders on this application, please provide the individuals' details on a separate sheet of paper and attach to this form.		

I/We authorise and request OpenMarkets to credit the sale proceeds into the bank account nominated below.

**\*\*Only a bank account held in the name(s) of the shareholder(s) can be accepted\*\***

Account Name

BSB No./Sort Code

Account No.

SWIFT/IBAN No.  
(if applicable)

Name of Financial  
Institution or Bank

## CLIENT AGREEMENT &amp; DECLARATION

MANDATORY

By signing this form I/We authorise OpenMarkets to sell the securities listed in this form and that I/we have read, understood and agree to the terms and conditions outlined in the:

- [OpenMarkets Client Agreement](#)
- [Financial Services Guide](#)
- [Best Execution Policy](#)

All of which can be found at our website [Forms](#) page.

## CHESS SPONSORSHIP AGREEMENT

I/We also acknowledge that in order to facilitate this sale request OpenMarkets will CHESS sponsor my/our one-off sale account. I/we thereby acknowledge that I/we have read and understood Part 2 of the Client Agreement that relates to CHESS Sponsorship. The Terms & Conditions – attached to this form

Shareholder Name 1  
(PLEASE PRINT)

Signature X

Shareholder Name 2  
(PLEASE PRINT)

Signature X

Shareholder Name 3  
(PLEASE PRINT)

Signature X

Date

FOR UNREGULATED TRUST APPLICATIONS E.G. Family Trusts, you will need to mail to OpenMarkets an original certified copy of the Trust Deed.

FOR MAILED APPLICATIONS - please see next page for acceptable forms of identification.

**APPENDIX: ACCEPTABLE FORMS OF IDENTIFICATION \*\*must be certified\*\***

Applicants who wish to mail in their application OR who fail the electronic verification check, you will need to provide CERTIFIED COPIES of identification to OpenMarkets, as outlined below.

Acceptable document combinations are:

- Two category A
- One category A and one Category B
- One category A and one Category C
- One category A and one Category D
- One category B and one Category C

**CATEGORY A - an original or certified copy of a government issued photographic identification document**

- A driver's licence or permit issued under a law of a State or Territory or equivalent authority of a foreign country that contains a photograph of the person in whose name the document is issued
- a passport issued by the Commonwealth
- a passport or a similar document issued for the purpose of international travel, that:
  - contains a photograph and the signature of the person in whose name the document is issued;
  - is issued by a foreign government, the United Nations or an agency of the United Nations; and
  - if it is written in a language that is not understood by the person carrying out the verification - is accompanied by an English translation prepared by an accredited translator

One of the following other photo ID may be provided:

- a card issued under a law of a State or Territory for the purpose of proving the person's age which contains a photograph of the person in whose name the document is issued.
- a national identity card issued for the purpose of identification, that:
  - contains a photograph and the signature of the person in whose name the document is issued;
  - is issued by a foreign government, the United Nations or an agency of the United Nations
  - if it is written in a language that is not understood by the person carrying out the verification – is accompanied by an English translation prepared by an accredited translator.

**It is not acceptable to produce two forms of the same ID type – such as both an Australian and a British passport.**

**CATEGORY B - an original or certified copy of a government issued non-photographic identification document**

- a birth certificate or birth extract issued by a State or Territory;
- a citizenship certificate issued by the Commonwealth;
- a citizenship certificate issued by a foreign government that, if it is written in a language that is not understood by the person carrying out the verification, is accompanied by an English translation prepared by an accredited translator;
- a birth certificate issued by a foreign government, the United Nations or an agency of the United Nations that, if it is written in a language that is not understood by the person carrying out the verification, is accompanied by an English translation prepared by an accredited translator;

One of the following Centrelink Pension cards may be provided:

- a health care card;
- a commonwealth seniors health care card;
- a pensioner concession card;
- an interim concession card.

**CATEGORY C - AN ORIGINAL OR CERTIFIED COPY OF EVIDENCE OF ADDRESS**

- a tax assessment notice within the preceding twelve months;
- a government benefits notice within the preceding twelve months;
- a utility bill within the preceding three months;
- a local government rates notice within the preceding three months;
- a school attendance letter within the preceding three months;

**CATEGORY D - AN ORIGINAL OR CERTIFIED COPY OF OTHER ID**

- a medicare card

**APPENDIX: ACCEPTABLE FORMS OF IDENTIFICATION (Continued) \*\*must be certified\*\***

**CERTIFYING YOUR DOCUMENTS**

All copies of ID submitted to us must be certified by an approved certifier. We cannot accept copies of certified copies (where the certifier's signature is not an original). You can have copies of your ID certified by any one of the following:

**In Australia**

- Health professions: Pharmacist, Chiropractor, Dentist, Medical practitioner, Nurse, Optometrist, Physiotherapist, Psychologist
- Legal professions: Legal practitioner, Patent attorney, Trademarks attorney
- Court positions: Bailiff, Justice of the Peace, Judge, Magistrate, Registrar, or Deputy Registrar, Clerk, Master of a court, CEO of a Commonwealth court
- Accountant (member of ICA, ASA, NIA or CPA, ATMA, NTAA)
- Member of Chartered Secretaries Australia or Engineers Australia
- Commissioner for Affidavits, or Commissioner for Declarations (dependent on jurisdictions)
- Government representatives (elected): Federal, State or Territory or Local
- Public servants: Federal, State or Territory or Local – employed for five years or more.
- Permanent employees of the Australian Health Practitioner Regulation Agency
- Bank officer, building society officer, credit union officer, finance company officer – employed for five years or more
- Veterinary surgeon
- Minister of religion, or marriage celebrant
- Australian Defence Force (an officer; or a non-commissioned officer with 5+ years of continuous service; a warrant officer)
- Australasian Institute of Mining and Metallurgy
- Notary public
- Police officer, Sheriff or Sheriff's officer
- Teacher (full-time) at a school or tertiary education institution
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees;
- An officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees.

**Outside Australia:**

- Justice of the Peace
- Notary public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
- Employee of the Commonwealth or the Australian Trade Commission who works outside Australia.
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees;
- An officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees.

**Please mail your identification documents along with your OpenMarkets application and accompanying bank application forms (if applicable) to:**

OpenMarkets Australia  
Suite 300  
189 Queen Street  
Melbourne VIC 3000

**\*\*Only original certified copies of ID will be accepted i.e. certifiers signature must be original\*\***