

## 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:

Via Mail to: OpenMarkets Australia Ltd  
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 and passport, or driver's licence and Medicare card (see Appendix)
- a copy of a bill no more than 3 months' old
- a copy of a bank statement

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

*Australian applicants only*

along with:

- a copy of your holding statement or latest dividend statement
- a copy of each shareholder's driver's licence and passport, or licence and medicare card (see Appendix)
- a copy of a bank statement

**ONLINE ID CHECK:** all shareholders identification and ID documents will be verified electronically. If you are submitting your application via email and do not pass this check you will need to mail to us a certified copy of your ID documents as outlined above. 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 Guide](#)

[3. Privacy 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 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.

### Need help?

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

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.

#### 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			

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

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

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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	
ABN/ACN	
Industry	
Registered Address	
Not a PO Box	
Principal Place of Business (If any)	
same as above	
<p>Are there additional directors who are not shareholders on this account? If <u>Yes</u>, please provide names below:</p>	
1. Full Name	
2. Full Name	
<p>If there are more directors, please provide on a separate sheet.</p>	

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		
Trust ABN		^Trust TFN
<p>Was the trust established with a 'settled sum' of \$10,000 or more?</p>		UNREGULATED TRUSTS ONLY
<p>If Yes, provide full name of settlor:</p>		

BENEFICIAL OWNERSHIP	COMPANY & TRUST SHAREHOLDERS ONLY
<p>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.</p>	
Beneficiary 1	Full Name: <input style="width: 90%;" type="text"/>
same as Trustee 1	Residential address: <input style="width: 90%;" type="text"/>
	DOB: <input style="width: 30%;" type="text"/>
Beneficiary 2	Full Name: <input style="width: 90%;" type="text"/>
same as Trustee 2	Residential address: <input style="width: 90%;" type="text"/>
	DOB: <input style="width: 30%;" type="text"/>
Beneficiary 3	Full Name: <input style="width: 90%;" type="text"/>
same as Trustee 3	Residential address: <input style="width: 90%;" type="text"/>
	DOB: <input style="width: 30%;" type="text"/>
<p>OR Class of Beneficiaries: (Group of beneficiaries rather than individual names)</p>	
<p>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.</p>	

**DIRECT CREDIT AUTHORITY**

MANDATORY

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	<input style="width: 100%;" type="text"/>
BSB/Sort Code/Branch Identifier	<input style="width: 100%;" type="text"/>
Account No/IBAN	<input style="width: 100%;" type="text"/>
SWIFT Code <small>(International Payments only)</small>	<input style="width: 100%;" type="text"/>
Name of Financial Institution or Bank	<input style="width: 100%;" type="text"/>
Address of Financial Institution or Bank <small>(International Payments only)</small>	<input style="width: 100%;" type="text"/> <input style="width: 100%;" type="text"/> <input style="width: 100%;" type="text"/>

**CLIENT AGREEMENT & 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](#)
- [Privacy 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 <small>(PLEASE PRINT)</small>	<input style="width: 100%;" type="text"/>	Signature	<input checked="" type="checkbox"/>
Shareholder Name 2 <small>(PLEASE PRINT)</small>	<input style="width: 100%;" type="text"/>	Signature	<input checked="" type="checkbox"/>
Shareholder Name 3 <small>(PLEASE PRINT)</small>	<input style="width: 100%;" type="text"/>	Signature	<input checked="" type="checkbox"/>
Date	<input style="width: 100%;" type="text"/>		

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

All applicants/shareholders must provide copies of their identification documents as outlined below.

### At least TWO forms of the below documents:

- 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 medicare card
- 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

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

All mailed identification documents (domestic or international) must be certified by an authorised person as outlined below.

**Domestic applicants** may choose to email or mail their application and ID documents to OpenMarkets. In the case of email, OpenMarkets will verify your identify and identification documents electronically. A 'safe harbour' result is considered a pass. If you do not pass safe harbour, you will be required to mail to us certified copies of your ID documents.

**International applicants** must always mail their application and identification documents to OpenMarkets. These documents will then be verified electronically with a credit reporting agency.

### CERTIFYING YOUR DOCUMENTS (if mailing your documents to OpenMarkets)

All mailed/posted 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

- 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
- 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
- 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 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