

Please use this form if you wish to open an OpenMarkets trading account:

- Regulated Trust or Super Fund
- Unregulated Trust

### Client Services

P: 1300 769 433

E: [service@openmarkets.com.au](mailto:service@openmarkets.com.au)

Applications can be returned to us by:

Email: [service@openmarkets.com.au](mailto:service@openmarkets.com.au)

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

### Along with:

- Certified copies of your identification documents as outlined in the Appendix
- A certified copy of the Trust Deed (unregulated trusts)
- Schedule page from the Trust Deed (regulated trusts)
- Company extract (only if Trustee is a company)

## Choice of Platform

Choose to trade using one or more of following trading platforms:

Platform	Cost per month	Suited to
WebTrader	FREE	Long term / semi-active investors
IRESS Trader	\$185*	Active investors / traders
IRESS ViewPoint	\$185*	Active & professional traders
IRESS Professional	\$985*	Active & professional traders

\*Base fee. For additional add-on features please see [openmarkets.com.au/brokerage/](http://openmarkets.com.au/brokerage/)

## Linked Cash Account - for trade settlement

To settle transactions on your OpenMarkets account you will need a Cash Account with one of our approved providers, unless you wish to settle your account using a margin loan.

Providers	Cash product	New cash account	Existing cash account
Macquarie	Cash Management Account	Indicate in this application	<a href="#">Macquarie Third Party Authority Form</a>
Bankwest	Cash Management Account	<a href="#">Download application</a>	<a href="#">Bankwest Third Party Authority Form</a>
ANZ	Cashactive Account*	Indicate in this application	N/A

\*For overseas residents we are only able to open an [OpenMarkets ANZ Cashactive account](#).

### New Cash Account required

If you do not have an existing Cash Account, we can either:

1. Pass on the information in this application to initiate a new online Macquarie Cash Management Account (CMA) application on your behalf (an activation link will then be emailed to all applicants)
2. Establish an OpenMarkets ANZ Cashactive Account (a closed trust account) on your behalf. For information on how this account operates visit [openmarkets.com.au/anz-cashactive-account](http://openmarkets.com.au/anz-cashactive-account)
3. You may mail us a completed Bankwest CMA application and attach to this form along with original certified copies of your ID as outlined in the Appendix.

### Existing Cash Account

If you have an existing Cash Account in the same name, simply provide your BSB/Account details in Section 5 of this application and download/complete the corresponding third party authority form above and attach to this form.

**Linked Cash Account - for trade settlement**
**Communication from the Banks \*\*New Cash Accounts only\*\***

After OpenMarkets has submitted your application on your behalf to your provider of choice, you will receive a Welcome Letter directly from the bank along with your internet banking details. See below for bank's communications process.

Providers	Welcome letter with internet banking details	Internet banking PIN / password
Macquarie	Mailed to your residential address	Mailed to your residential address
ANZ	Emailed to you by OpenMarkets	N/A
Bankwest	Mailed to your residential address	Mailed to your residential address

**Using your margin loan - for trade settlement**

To use your existing margin loan to settle transactions on your account, please provide the details in Section 4 and complete the corresponding third party authority form below and attach to this form. This authority allows OpenMarkets to check your stock and cash positions to minimise settlement failure.

A linked cash account is not required for margin loan trading applications.

Providers	Third party authority form
Leveraged margin lending	<a href="#">Leveraged third party authority form</a>
NAB margin lending	<a href="#">NAB third party authority form</a>
All other margin lenders	<a href="#">Margin third party authority form</a>

**Use of Email - for logins and contract notes**

At least one email address is required to receive contract notes and to establish at least one trading platform login. Additional emails can be provided for other applicants but it must be the person's own unique email address.

**What happens next?**

- Once all documents are received and you have satisfied our identification requirements, your application will be processed within 2-4 business days. Please note HIN transfers may take an additional 3 days to process.
- For applications requiring a new Macquarie CMA only:  
An activation email will be sent to each applicant with a link to review your application online and consent to Macquarie's terms and conditions. To avoid delays, please action this ASAP. For all other new CMA applications, the above does not apply.
- An OpenMarkets Welcome Email will be sent to all applicants who have provided an email address with the details of your OpenMarkets trading account, cash account details and platform login.
- Transfer funds into your new or existing cash account at least 24 hours prior to trading.
- Log in to your chosen platform and start trading!

Thank you for choosing OpenMarkets  
 For assistance please call 1300 769 433 or email [service@openmarkets.com.au](mailto:service@openmarkets.com.au)

## Section 1 - Trustee Type

Mandatory

Individual trustees (min. two persons)  Company trustee

## Section 2 - Trust Details

Mandatory

Select ONE of the following Trust types (unregulated or regulated)

**UNREGULATED TRUST** (an original certified copy of the Trust Deed must accompany this form)

Family  Charitable\*  Testamentary  Discretionary

Trust ABN \_\_\_\_\_ \*If a Charity, provide its purpose \_\_\_\_\_

**REGULATED TRUST**

Self-Managed Super Fund SMSF ABN: \_\_\_\_\_

Registered Managed Investment Scheme Australian Registered Scheme Number: \_\_\_\_\_

Government Superannuation Fund Legislation establishing the fund: \_\_\_\_\_

Other Regulated Trust  
Regulator name: \_\_\_\_\_

Trust ABN or licensing details: \_\_\_\_\_

Full name of Trust \_\_\_\_\_

Country in which the Trust was established \_\_\_\_\_

^Tax File Number \_\_\_\_\_ OR Exemption code \_\_\_\_\_

**ACCOUNT DESIGNATION (for CHESS purposes)**

Please provide an abbreviation of the name of the trust for CHESS registration purposes (in 25 characters including spaces). Do not enter the words "Trust" "Fund" or "ATF" in this designation as it will not be accepted by CHESS.

< \_\_\_\_\_ A/C>

E.g. < Petersen Family A/C > or < Smith Super A/C >

^Quotation of your Australian tax file number(s) (TFN) is optional. OpenMarkets is an Australian financial service licensee that is authorised by law to request your TFN. You are not required to provide your TFN. If OpenMarkets is unable to quote your tax file number or exemption to registries, they may be obliged to take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled and you may wish to seek independent advice in this regard. By providing a TFN and signing the Application Form you:  
(a) appoint OpenMarkets as your agent and request and authorise OpenMarkets to:  
(i) provide your Tax File Number to all investment bodies with whom OpenMarkets acts on your behalf;  
(ii) apply your TFN to any investment or account which you may in future make or open with or through OpenMarkets (and its related bodies corporate) to which your TFN may lawfully be applied; and  
(b) acknowledge that this authority will apply until such time as it is revoked in writing to OpenMarkets.

## Section 2 - Trust Details (cont.)

**Mandatory**

Is the trust organised or incorporated in the U.S.?  Yes  No

Are any of the Trust beneficiaries, trustees or settlors U.S. citizens or residents of the U.S. for tax purposes?  Yes  No

If you have answered Yes to any of the above, you must also complete the [FATCA Supplementary Declaration Form](#) available at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library) and attach to this application.

### Main Source(s) of Funds for Investment

Employment  Superannuation savings  Financial investments  Inheritance/gift

Other (please provide a brief description)

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### Settlor of the Trust (unregulated trusts only)

Please provide full name of the Settlor if the trust was established with a sum of \$10,000 or more.

Name of Settlor

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## Section 3 - Company Details

**If a Company Trustee**

Company type  Proprietary /Private  Public

Company name (include any business name if applicable)

---

Industry type

---

Country of incorporation

---

ACN / ARBN / Foreign Registration Number

---

Company registered address

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Physical place of business (if any)  Same as above  
(If a registered foreign company may provide full name and address of local agent)

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Is the company organised or incorporated in the U.S.?  Yes  No

Is the company a financial institution?  Yes  No

If you have answered **Yes** to any of the above, you must also complete the **FATCA Supplementary Declaration Form** available at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library) and attach to this application.

**Foreign companies** please also provide a certified certificate of registration or incorporation issued by the relevant foreign registration body, as well as certified copies of your identity documents (as outlines in the Appendix).

## Section 4 - Applicant Details

**Mandatory**

### Trustee 1 / Director 1 (primary contact)

Sole Director?  Yes  No

Title

Existing OpenMarkets account no. (if applicable)

Given name(s)  
Include middle name

Gender  Male  Female

Surname

Date of birth

Residential address  
(Not a P.O. Box)

Occupation

Industry

Email\*

Mobile

\*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade Confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade Confirmations to be sent to this address.

### Citizenship, Residency & Tax Information

Please provide tax details of all countries in which you are a citizen, resident and tax resident. If you are a U.S. citizen or resident for tax purposes please also complete the **FATCA Supplementary Declaration Form** available at [openmarkets.com.au/support/form-library](http://openmarkets.com.au/support/form-library) and attach to this application.

Country	Citizen	Resides	Tax resident
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Trustee 2 / Director 2 or Company Secretary (if applicable)

Title

Existing OpenMarkets account no. (if applicable)

Given name(s)  
Include middle name

Gender  Male  Female

Surname

Date of birth

Residential address  
(Not a P.O. Box)

Occupation

Industry

Email\*

Mobile

\*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade Confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade Confirmations to be sent to this address.

### Citizenship, Residency & Tax Information

Please provide tax details of all countries in which you are a citizen, resident and tax resident. If you are a U.S. citizen or resident for tax purposes please also complete the **FATCA Supplementary Declaration Form** available at [openmarkets.com.au/support/form-library](http://openmarkets.com.au/support/form-library) and attach to this application.

Country	Citizen	Resides	Tax resident
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**For Trustee / Director 3 please photocopy this page and complete / attach to application. Please also sign in Section 9.**

## Section 4 - Applicant Details (cont.)

**Mandatory**

### Status of Applicant

Are any of the Applicants, Directors, Responsible Officials, Partners, Authorised Representatives, Trustees, Beneficial Owners or any other Beneficiaries of this Account: an entity licensed by any government body, affiliated with any other Participant of ASX Group; ASX Listed Company, a government official; government entity, or having dealings with a government official or any government related entity of any country?

No  Yes  If Yes, please provide details

Are there additional directors who are not applicants on this account? If yes, please provide names below:

1. Full name

2. Full name

If there are more Directors, please provide full name(s) on a separate sheet and attach to this form.

## Section 5 - Beneficial Ownership

**Proprietary Companies Only**

Please provide details of the individual(s) who **directly or indirectly**:

- (a) own 25% or more of the company; or
- (b) controls the company (i.e. has ability to exercise control over the decisions or policies of the company)

If there are no such individuals, please provide the details of those who hold the position of senior managing officials (or equivalent), for example Managing Director or Directors.

If any of the beneficial owners are U.S. citizens or residents for tax purposes, you must also complete the **FATCA Supplementary Declaration Form** available at [openmarkets.com.au/form-library](http://openmarkets.com.au/form-library)

**Beneficial Owner 1**  Same as Applicant 1 OR otherwise complete below:

Given name(s)  
Include middle name

Residential address

Surname

Date of birth

**Beneficial Owner 2**  Same as Applicant 2 OR otherwise complete below:

Given name(s)  
Include middle name

Residential address

Surname

Date of birth

**Beneficial Owner 3**  Same as Applicant 3 OR otherwise complete below:

Given name(s)  
Include middle name

Residential address

Surname

Date of birth

If there are any additional Beneficial Owners, please supply details on a separate sheet.

## Section 6 - CHESS Sponsorship & Settlement

**Mandatory**

All trading accounts with OpenMarkets will be CHESS sponsored by us (your broker) unless you wish to settle via a Margin Loan/Wrap/Custodian.

This means a single Holder Identification Number (HIN) will be used to identify all your holdings under this account at the share registries. You can choose to **transfer an existing HIN** from another broker or otherwise we will **establish a new HIN**.

### CHESS Registration Address

same as Applicant 1

This address will be registered at CHESS and the relevant share registries, and will be used as the mailing address for any correspondence unless you opt to provide your email address below.

Would you like OpenMarkets to provide an email address to CHESS and the relevant share registries for the purpose of receiving any correspondence via email? (Note not all share registries may accept this instruction).

None     Yes, same as Applicant 1     Yes, other

### Transfer Existing HIN

**Optional**

If you have an existing HIN at another broker that you wish to transfer to OpenMarkets along with all of its holdings, or you would like to transfer some of the holdings, please complete the below details.

Current sponsoring broker \_\_\_\_\_ Broker PID (if known) \_\_\_\_\_

Account name (as at other broker) \_\_\_\_\_

Account designation \_\_\_\_\_

Registration address (as at other broker) \_\_\_\_\_

Holder Identification Number (HIN) (Max 11 digits) \_\_\_\_\_

### What would you like to transfer?

- Transfer my/our HIN and all its holdings (please attach portfolio summary to this application)
- Transfer only some of holdings from my/our HIN - please attach details of holdings to this application

Trustee/Director 1 (Print name) \_\_\_\_\_ Signature X \_\_\_\_\_ Date \_\_\_\_\_

Trustee/Director 2 (Print name) \_\_\_\_\_ Signature X \_\_\_\_\_ Date \_\_\_\_\_

Trustee/Director 3 (Print name) \_\_\_\_\_ Signature X \_\_\_\_\_ Date \_\_\_\_\_

### OR Settle using a Margin Loan

Complete only if you wish to settle transactions through an existing margin loan, Please also complete the provider's corresponding **third party authority form** available at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library)

Account name \_\_\_\_\_ Provider (e.g. Leveraged) \_\_\_\_\_

Facility number \_\_\_\_\_ HIN (if applicable) \_\_\_\_\_

## Section 7 - Linked Cash Account

Not applicable for Margin Loan Accounts

To settle transactions on your OpenMarkets account you will need to have either a Macquarie Cash Management Account, Bankwest Cash Management Account or an OpenMarkets ANZ Cashactive Account (a closed trust account).

If you do not have an existing account with either of these providers we can help establish one for you.

### New Cash Account required

Please select your preferred provider:

- Macquarie - We will pass on the information in this application to [initiate a new online Macquarie CMA application](#) where you will then receive an activation email to finalise the application online.
- Bankwest - Please complete a [Bankwest CMA Application](#) and mail to OpenMarkets along with this form and certified ID (refer to appendix)

- OpenMarkets ANZ Cashactive Trust Account (a closed trust account)

For more information about how this account operates visit [openmarkets.com.au/ANZ Cashactive](https://openmarkets.com.au/ANZ-Cashactive)

### Nominated Bank Account (for funds transfer)

Please provide the details of a designated bank account (in the same name) for OpenMarkets to transfer funds to, should you wish to withdraw funds from your OpenMarkets ANZ Cashactive account.

Account name

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BSB

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Account number

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*Please ensure to provide us with a copy of a most recent statement (within three months) for us to verify this account.*

### Existing Cash Account

Please provide the details of the cash account that will be used to settle transactions on this account.\*

Provider  Macquarie Cash Management Account  Bankwest Cash Management Account

Account name

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BSB

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Account number

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### \*Third party authority access required

Please ensure to grant OpenMarkets with third party authority access by completing the provider's corresponding authority form located at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library)

### Income Direction (for dividends)

Would you like OpenMarkets to provide your linked cash management account details to all issuers/share registries (or its nominee) for the purposes of paying dividends, distributions, interest or income payable referable to your sponsored holdings via direct credit?

- Yes, please advise each issuer of my linked cash management account details
- No, I will notify each issuer separately including participation in Dividend Reinvestment Plans (DRPs)

This instruction only applies to holdings sponsored by OpenMarkets in CHESS. Note that by providing this instruction, it may override your participation in any existing Dividend Reinvestment Plans or Bonus Share Plans. There are also no guarantees that all share registries will accept these instructions from OpenMarkets.



## Section 8 - Trading platform

Please choose your trading platform by indicating below

Applicant 1	Applicant 2	Platform	Cost per month	Suited to
<input type="checkbox"/>	<input type="checkbox"/>	WEBTRADER	FREE	Long term / semi-active investors
<input type="checkbox"/>	<input type="checkbox"/>	IRESS TRADER	\$185*	Active investors / traders
<input type="checkbox"/>	<input type="checkbox"/>	IRESS VIEWPOINT	\$185*	Active investors / traders
<input type="checkbox"/>	<input type="checkbox"/>	IRESS PROFESSIONAL	\$985*	Active & professional traders

\*Fee charged monthly in arrears via direct debit/credit card. [Please complete the direct debit form.](#)

## Section 9 - Client Declaration & Signature

**Mandatory**

By signing below I acknowledge that I have received (in hard copy or where I have received this form electronically I have accessed by hyperlink) read and understood and the Applicant agrees to be bound by (and further disclosures or agreements referred to therein).

- [OpenMarkets Client Agreement](#) (comprising Part 1 - Equities Terms and Conditions and Part 2 - CHESS Sponsorship Agreement)
- [OpenMarkets Financial Services Guide](#)
- [OpenMarkets Privacy Policy](#)
- the authorisations and agreements made in this account application form relating to electronic trade confirmations, your Tax File Number and electronic verification of identity

I also acknowledge and declare that all the information provided in this Application Form is true and correct and that I am over 18 years of age and without legal disability. If this application is signed under Power of Attorney, the attorney declares they have not received notice of any revocation or limitation of that power.

By making this application you consent to OpenMarkets conducting an electronic verification of your identity on the terms detailed in our Client Agreement. If you do not consent to electronic verification of your identity, you will not be able to proceed with this application.

Trustee/Director 1 <small>(Print name)</small>	<b>Signature X</b>	Date
Trustee/Director 2 <small>(Print name)</small>	<b>Signature X</b>	Date
Trustee/Director 3 <small>(Print name)</small>	<b>Signature X</b>	Date

OpenMarkets Use Only

*Upon the acceptance of this application, the opening of an account for the Applicant(s) by OpenMarkets (and if the applicant(s) has agreed to be CHESS sponsored, upon the issue of a HIN), OpenMarkets will be taken to have agreed to be bound by and to have signed the OpenMarkets Client Agreement (including CHESS Sponsorship Agreement).*

Appendix: identity documentation & certification

Applicants who do not consent to electronic verification OR who fail the electronic verification check, will need to provide CERTIFIED COPIES of identification to OpenMarkets, as outlined below. Non-English documents must be accompanied by an English translation prepared by an accredited translator.

Please mail your identification documents along with this application (and any other additional documentation) to:  
OpenMarkets  
Suite 300, 189 Queen Street  
Melbourne VIC 3000

## ACCEPTABLE FORMS OF IDENTIFICATION

Acceptable document combinations are:

### Domestic

- One category A (where the ID provided is a DL)
- Two category A
- One category A and one category B
- One category A and one category C

### International

- Two category A and one category B

### 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 and date of birth (must not be expired). The front and back of the driver's licence must be provided.
- a passport issued by the government containing a photograph of the person in whose name the document is issued and date of birth (Australian passports may have expired within the last two years but not have been cancelled. All other passports must be current)
- 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; 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
- 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.

**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 EVIDENCE OF ADDRESS ONLY

- a tax assessment notice issued by the ATO 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 certified copy of the Hukou household registration book (Chinese clients only).

### CATEGORY C - AN ORIGINAL OR CERTIFIED COPY OF A GOVERNMENT ISSUED NON-PHOTOGRAPHIC IDENTIFICATION DOCUMENT (MUST NOT BE EXPIRED)

- 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 and date of birth.
- a Medicare card;

## Appendix: identity documentation &amp; certification (cont.)

## 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

- Legal professions: Legal practitioner, Patent attorney, Trademarks attorney
- Court positions: Justice of the Peace, Judge, Magistrate, Registrar, or Deputy Registrar, Clerk, Master of a court
- Accountant (member of ICA, ASA, NIA or CPA, ATMA, NTAA)
- Commissioner for Affidavits, or Commissioner for Declarations (dependent on jurisdictions)
- Notary public
- 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)
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two 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 two or more years of continuous service with one or more licensees.

*\*\*Only original certified copies of ID will be accepted\*\**