

Please use this form if you wish to open an **OpenMarkets trading account** in the name of a:

- COMPANY or BUSINESS  
ASSOCIATION or PARTNERSHIP

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

**Applications can be returned to us:**

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

along with:

- certified identification documents as outlined in the Appendix.

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

*\*\*Australian residents only\*\**

ONLINE ID CHECK – If you are submitting via email, please consent to the electronic verification check in this application. **Important note:** if you do not pass this check you will need to mail to us a certified copies of your identification documents as outlined in the Appendix. We will notify you if this happens.

**Existing OpenMarkets clients – ID check not required**

If you're an existing client of OpenMarkets, just provide your account number(s) in this application and we'll link your new account to your existing login. No ID check will be required again.

## 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	\$125*	Active investors / traders
Pulse	\$160*	Active and professional traders
IRESS Professional	\$1,200^	Active and professional traders

\*FREE if you generate \$600 in brokerage per quarter.

^Fee varies depending on features required.



## 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 required	Existing Cash Account
Macquarie	Cash Management Account	Indicate in this application	<a href="#">Macquarie Third Party Authority Form</a>
ANZ	Cashactive Account*	Indicate in this application	N/A
Bank West	Cash Management Account	<a href="#">Download application</a>	<a href="#">Bank West Third Party Authority Form</a>

\*International applicants please note: the ANZ Cashactive Account is the only option available for overseas investors.

**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 **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. OR you may **mail to us a completed Bank West 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 below** and attach to this form.

## 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
Bank West	Mailed to your residential address	Mailed to your residential address

## Using your margin loan – for trade settlement

To use an [existing margin loan](#) to settle transactions on your account, please provide the details in Section 6 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.

Note: 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 Lending Authority Letter</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.

*Please refer to Clause 18 in the [Client Agreement](#) on sharing email addresses.*

## Important reading

Before you submit this application it is important that you have read and understood the following OpenMarkets documents:

1. [Client Agreement](#) – outlines the terms and conditions of trade, including CHES Sponsorship agreement
2. [Financial Services Guide](#) – summary of fees and transactional terms and conditions
3. [Best Execution Policy](#) – outlines our duty and policy to ensure the best execution for clients

All information provided is in accordance with the Privacy Act 1988 and its amendments. OpenMarkets Privacy Policy and the above disclosures and agreements are also located on the [OpenMarkets Forms](#) page.

## Anti-Money Laundering & Counter-Terrorism Financing Act (AML/CTF Act)

The AML/CTF Act requires us to collect identification document(s) and other supporting information from you to verify your identity, the identity of any underlying beneficial owner or the source or destination of any payment to or from your trading account, Cash Management Account or any other purpose pursuant to the AML/CTF Act.

Identification documents provided by you or your agent must be certified (see the Appendix in this application for requirements). Non-English documents must be accompanied by an English translation prepared by an accredited translator.

### Politically Exposed Person (PEP)

We also require you to disclose whether you or any beneficial owners are, or have an association with, a PEP. A PEP is an individual who holds a prominent public position or function in a government body or an international organisation in Australia or overseas, such as a Head of State, or Head of a Country or Government, or a Government Minister, or equivalent senior politician.

A PEP can also be an immediate family member of a person referred to above, including spouse, de facto partner, child, and a child's spouse or defacto partner and a parent. Finally, a PEP can also be a close associate of a person referred above, including where an individual and a person listed above are in a joint beneficial ownership of a legal entity.

Where you identify yourself as, or have an association with, a PEP, we may request additional information from you.

## Consent to Electronic Verification (online identity check)

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You may choose to consent to an electronic verification of your identity in this application instead of mailing to us your identification documents (as outlined in the above section). Conducting an electronic verification of your identity involves us disclosing your personal information to a credit reporting agency, as detailed in our Client Agreement.

If do not consent to electronic verification check in this application OR you do not successfully pass the check, you will need to mail to us certified copies of your identification documents (as outlined in the Appendix) so that we can verify your identity manually.

**Please note, electronic verification is not available to:**

- Applicants that have opted for a **new Bank West CMA** in this application
- **Foreign applicants** residing overseas.

For further information on electronic verification and credit reporting agency's use of your personal information, please refer to our Client Agreement.

## Foreign Account Tax Compliance Act (FATCA)

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This application form contains specific questions about your status for FATCA purposes.

FATCA is a US law that aims to improve tax information reporting on US persons to the United States Internal Revenue Service (IRS). FATCA requires us to undertake certain identification and due diligence procedures with respect to traders and to report annually to the IRS, via the Australian Tax Office (ATO) in Australia, on US persons who directly or indirectly own financial accounts. In certain cases, we are also required to withhold and pay to the IRS a percentage of certain categories of US source payments.

OpenMarkets is not able to provide advice to individuals and cannot determine the impact or compliance obligations of FATCA for an individual's business activities. If you are unsure of your or your company's FATCA status, we strongly encourage you to seek advice from an accountant or tax specialist.

If you identify yourself as a US citizen or resident for tax purposes, we are required to report your information to the ATO, which may in turn report you to the IRS.

Further information is available on the ATO website ([ato.gov.au](http://ato.gov.au)) or the Internal Revenue Service (US) website ([irs.gov](http://irs.gov)).

## What happens next?

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1. 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.
2. **For applications requiring a new Macquarie CMA only:** **IMPORTANT STEP!**  
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.*
3. A **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.
4. Transfer funds into your new or existing cash account at least 24 hours prior to trading.
5. Log in to your chosen platform and start trading!

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

This is an application form to open an **OpenMarkets Trading Account** in the name of a COMPANY.

Foreign companies please 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 outlined in the Appendix).

SECTION 1 – COMPANY DETAILS		MANDATORY
Company Type	<input type="checkbox"/> Proprietary <input type="checkbox"/> Public	
Company Name (as registered with ASIC)	<input style="width: 100%;" type="text"/>	
Industry Type	<input style="width: 100%;" type="text"/>	
Country in which the company was created	<input style="width: 100%;" type="text"/>	
ACN/ARBN	<input style="width: 50%;" type="text"/>	OR foreign registration number (if not registered in Australia): <input style="width: 50%;" type="text"/>
Company Tax File Number <sup>^</sup>	<input style="width: 50%;" type="text"/>	OR Exemption Code: <input style="width: 50%;" type="text"/>
*Company Registered Address Not a PO Box	<input style="width: 100%;" type="text"/>	
*Physical Place of Business (if any)	<input style="width: 100%;" type="text"/>	
Same as above	<input style="width: 100%;" type="text"/>	
Is the company a financial institution?      Yes      No		
If you have answered <b>Yes</b> you must also complete the <a href="http://openmarkets.com.au/form-library">FATCA Supplementary Declaration Form</a> available at <a href="http://openmarkets.com.au/form-library">openmarkets.com.au/form-library</a> and attach to this application.		
<b>MAIN SOURCE(S) OF FUNDS FOR INVESTMENT</b>		
Employment	Superannuation Savings	Financial investments
Inheritance/Gift		
Other (please provide a brief description): _____		
<b>REGULATORY/LISTING DETAILS</b>		IF APPLICABLE
<small>Regulated company (a company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body. E.g. Australian Financial Services Licensees (AFSL).</small>		
Regulator name:	<input style="width: 60%;" type="text"/>	License number: <input style="width: 40%;" type="text"/>
Australian listed company		
Market/exchange:	<input style="width: 100%;" type="text"/>	
Majority-owned subsidiary of an Australian listed company		
Company name:	<input style="width: 60%;" type="text"/>	Market/exchange: <input style="width: 40%;" type="text"/>
Foreign Company		
Foreign registration authority:	<input style="width: 100%;" type="text"/>	

<sup>^</sup> OpenMarkets is authorised by the Australian taxation law to ask for your TFN. You're not required to provide your TFN and it's not an offence if you decide not to. However if you don't provide it, any withholding tax required by law to be deducted will be deducted at the highest marginal rate. If you provide your TFN, you authorise OpenMarkets to disclose it to all investment providers' parties where doing so is in accordance with taxation law, and that this authority will apply until it is revoked or amended in writing to OpenMarkets.

## APPLICANT 1 / DIRECTOR 1 (Primary Contact)

MANDATORY

Sole Director? Yes

Title

Existing OpenMarkets  
account no. (if applicable):Given Name(s)  
Include middle name

Surname

Date Of Birth

/ /

Gender:

Male

Female

Residential Address  
Not a PO Box

Occupation

Mobile

Other Phone:

Email

*Must be your own email address. This email will be the primary recipient of contract notes and will be used as your platform login username.*

Are you a Politically Exposed Person (PEP) or an immediate family member or close associate of a PEP? Yes No

## CITIZENSHIP, RESIDENCY &amp; TAX INFORMATION

Please provide details of all countries in which you are 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/form-library](http://openmarkets.com.au/form-library) and attach to this application.

Country

Citizen

Resides in

Tax Resident

Australia

## CONSENT TO ELECTRONIC VERIFICATION

AUSTRALIAN RESIDENTS ONLY

**Important:** if you do not pass this check you will need to mail to us a certified copies of your ID (see Appendix).

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.*

## APPLICANT 2 / DIRECTOR 2 or COMPANY SECRETARY

IF APPLICABLE

Title

Existing OpenMarkets  
account no. (if applicable):Given Name(s)  
Include middle name

Surname

Date Of Birth

/ /

Gender:

Male

Female

Residential Address  
Not a PO Box

Occupation

Mobile

Other Phone:

Email

*Optional but if provided, must be your own email address. If you wish to have your own trading login, please also provide your mobile number above.*

## SECTION 2 – APPLICANT DETAILS (continued)

## APPLICANT 2 (continued)

IF APPLICABLE

Are you a Politically Exposed Person (PEP) or an immediate family member or close associate of a PEP? Yes No

## CITIZENSHIP, RESIDENCY &amp; TAX INFORMATION

Please provide details of all countries in which you are 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](https://openmarkets.com.au/form-library) available at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library) and attach to this application.

Country	Citizen	Resides in	Tax Resident
Australia			

## CONSENT TO ELECTRONIC VERIFICATION

OPTIONAL

**Important:** if you do not pass this check you will need to mail to us a certified copies of your ID (see Appendix).

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 APPLICANT 3 please photocopy page 5 and complete/attach to application. Must also sign in Section 10. Please note a maximum of 3 applicants/individuals can apply to any one account as restricted by ASX CHESS.

## SECTION 3 – ADDITIONAL DIRECTORS

PROPRIETARY COMPANIES ONLY

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

1. Full Name _____	2. Full Name _____
3. Full Name _____	4. Full Name _____

*If there are more directors, please provide on a separate sheet.*

## SECTION 4 – BENEFICIAL OWNERSHIP

PROPRIETARY COMPANIES ONLY

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

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

A beneficial owner is also someone who indirectly through other trusts or companies own 25% or more of the company or controls 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](https://openmarkets.com.au/form-library) available at [openmarkets.com.au/form-library](https://openmarkets.com.au/form-library)

## Beneficial Owner 1

same as Applicant 1 OR otherwise complete below:

Full Name \_\_\_\_\_

Residential address \_\_\_\_\_

DOB \_\_\_\_\_

Is the Beneficial Owner a Politically Exposed Person (PEP)? Yes No

Has the Beneficial Owner consented to electronic verification of his/her identity in accordance with the terms on page 3 of this form? Yes No, ID has been attached to this application (as per Appendix)

**Beneficial Owner 2**

same as Applicant 2 OR otherwise complete below:

Full Name \_\_\_\_\_

Residential address \_\_\_\_\_

DOB \_\_\_\_\_

Is the Beneficial Owner a Politically Exposed Person (PEP)?      Yes      No

Has the Beneficial Owner consented to electronic verification of his/her identity in accordance with the terms on page 3 of this form?      Yes      No, ID has been attached to this application (as per Appendix)

*Please provide any additional Beneficial Owners on a separate sheet of paper.*

## SECTION 5 – LINKED CASH ACCOUNT

NOT APPLICABLE FOR MARGIN LOAN ACCOUNTS

To settle transactions on your OpenMarkets account you will need to have one of the following:

- **Macquarie** Cash Management Account
- **ANZ** Cashactive Account \*\*the only option available for international applicants\*\*
- **Bank West** Cash Management Account'

If you do not have an existing account with any of the above providers, we can either:

1. pass on the information in this application to initiate a new online Macquarie CMA application on your behalf
2. establish a new ANZ Cashactive Account (a closed trust account) on your behalf. For more information about how this account operates visit [openmarkets.com.au/ANZ](http://openmarkets.com.au/ANZ) Cashactive.
3. OR you may complete a Bank West application and mail to OpenMarkets along with this form and certified copies of your ID (see Appendix)

**New Cash Account required**

Please select your preferred provider:

**Macquarie** – you will receive an activation email after OpenMarkets initiates a new online application

**ANZ** – OpenMarkets will open your behalf. No further action required

**Bank West** – complete a [Bank West CMA Application](#) and mail to OpenMarkets along with this form and certified ID

**Existing Cash Account**

OPTIONAL

If you have an existing CMA in the same name(s) that you would like to use to settle transactions, please provide the details below and **complete/attach the corresponding third party authority form** along with this form, which grants OpenMarkets with debit/credit authority and viewing access on your account.

**Provider name:**

**Macquarie**      complete/attach [Macquarie Third Party Authority Form](#)

**Bank West**      complete/attach [Bank West Third Party Authority Form](#)

Account Name \_\_\_\_\_

BSB \_\_\_\_\_

A/C No. \_\_\_\_\_

**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 (DRP's)



All trading accounts with OpenMarkets will be CHESS sponsored by us (your broker) unless you are using a margin loan to settle on this account. 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.

Please provide the address that you wish to register at CHESS and the relevant share registries:

**CHESS Registration Address**

Same as Applicant 1

### 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

Account Name  
(as at other broker)

Account Designation  
(if applicable)

<

A/C >

Registration Address  
(as at other broker)

Holder Identification  
Number (HIN)

X

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*

### AUTHORISATION TO TRANSFER HIN/HOLDINGS

**Account Holder 1**  
(PRINT NAME)

Signature X

**Account Holder 2**  
(PRINT NAME)

Signature X

**Account Holder 3**  
(PRINT NAME)

Signature X

Date

OR

### SETTLE USING YOUR MARGIN LOAN

OPTIONAL

Complete only if you wish to settle transactions through an existing margin loan. **Please also complete the provider's corresponding third party authority form.**

Name of Margin Lender (M/L)

e.g. Leveraged

M/L Account Name

M/L Facility No.

M/L HIN (if applicable)



## SECTION 7 – TRADING PLATFORM

MANDATORY

Please choose your trading platform by indicating below:

Applicant 1	Applicant 2	Platform	Cost per month	Suited to
		WEBTRADER	FREE	Long term / semi-active investors
		PULSE	\$125*	Active & professional traders
		IRESS TRADER	\$160*	Active investors / traders
		IRESS PROFESIONAL	\$1,200	Active & professional traders

\*FREE if you generate \$600 in brokerage per quarter. Otherwise fees are charged quarterly in arrears and debited from your linked cash account.

^Fee varies depending on features required.

## SECTION 8 – APPLICATION TO TRADE WARRANTS/ETPs

OPTIONAL

Would you like to apply to trade Warrants and/or Exchange Traded Products, such as ETFs?      Yes

If **Yes** is selected, you acknowledge that all information relating to Warrants in the Client Agreement applies, which states that before you instruct us to deal in warrants, you must have read a copy of the Explanatory Booklet issued by ASX in respect of Warrants, which can be obtained via our website or directly via the ASX website.

## SECTION 9 – INTEREST IN A PUBLIC COMPANY

MANDATORY

Are you or any of your family members associated with an ASX and/or NSX-listed company? For example, you are a director, executive officer or owner of more than 5% of shares?

No

Yes    Ticker Symbol(s): \_\_\_\_\_ Applicant Name(s): \_\_\_\_\_

If you have ticked yes, OpenMarkets will contact you for more information.

## SECTION 10 – CLIENT DECLARATION

MANDATORY

**ALL applicants MUST sign this declaration.**

By signing below I/we acknowledge that I/we have read, understood and agreed to the terms and conditions outlined in the [OpenMarkets Client Agreement](#) including Part 2 CHESS Sponsorship agreement; the [Financial Services Guide \(FSG\)](#) and [Best Execution Policy](#); and any other related third party agreements as available to me/us via the OpenMarkets website.

I/We acknowledge and declare that:

1. All the information provided in this Application Form is true and correct.
2. I am an/We are individual/s over 18 years of age, or, and have the legal power to invest in accordance with this application. If this application is signed under Power of Attorney, the attorney has not received notice of any revocation or limitation of that power. Sole signatories signing on behalf of a company are signing as a sole director and sole secretary of the company.
3. OpenMarkets can provide information on the status of trading/trading account/Cash Management Account to my/our nominated financial adviser/broker/intermediary.
4. OpenMarkets may store, disclose and use my personal information in accordance with its [Privacy Policy](#).
5. OpenMarkets may disclose to any service provider or any regulatory body any information concerning me/us as detailed in the Privacy Policy.
6. By providing personal information in this application form, I/we understand and consent to the possibility that OpenMarkets may transfer this personal information outside of Australia for processing or other purposes as detailed in the Privacy Policy.
7. Should I/we fail to provide, or delay in providing, OpenMarkets any information or documentation requested of me/us my/our application for a Trading Account may be delayed or refused and OpenMarkets will not be liable for any loss arising from the rejection of any application.
8. I/We understand the risks associated with share trading, as outlined in the risk statement contained in the OpenMarkets Client Agreement.

**AML/CTF Terms and Conditions**

9. OpenMarkets is required to comply with the AML/CTF Laws and I/we undertake to provide them with such additional information or documentation as may be requested of me/us, from time to time, to ensure its compliance with such requirements.
10. By making this application I/We will not knowingly do anything to put OpenMarkets in breach of AML/CTF Laws, and agree to promptly notify each of them if I/we am/are aware of anything that would put them in breach of AML/CTF Laws.
11. I/We acknowledge that I/we am/are not aware and have no reason to suspect that:
- the money used to fund my/our trading is derived from or related to money laundering, terrorism financing or similar activities (Illegal Activities); and
  - proceeds of my/our trading will fund Illegal Activities.
12. I/We consent to OpenMarkets disclosing, in connection with AML/CTF Laws, any of my/our Personal Information (as defined in the Privacy Act 1988 (Commonwealth) and its amendments) that they may have.
13. I/We acknowledge that in certain circumstances my/our Trading Account may be frozen or blocked where it is used in connection with Illegal Activities or suspected Illegal Activities. Freezing or blocking can arise as a result of the monitoring that is required by AML/CTF Laws. If this occurs, OpenMarkets is not liable to me/us for any consequences or losses whatsoever and I/we agree to indemnify them if they are found liable to a third party in connection with the freezing or blocking of my/our units.

**FATCA Information**

14. I/We will provide OpenMarkets or its nominee any information that OpenMarkets reasonably requires in order to enable OpenMarkets to meet all of its compliance, reporting and other obligations under the United States of America Foreign Account Tax Compliance Act (FATCA) and all associated rules and regulations from time to time (including, without limitation, the Inter-Governmental Agreement (IGA) entered into between the governments of the US and Australia).
15. I/We understand that where I/we have provided OpenMarkets or its nominee with information about my status or designation under or for the purposes of FATCA (including, but without limitation, US residency or citizenship status and FATCA status as a particular entity type) and all associated rules and regulations, OpenMarkets will treat that information as true and correct without any additional validation or confirmation being undertaken by OpenMarkets except where it is under a legal obligation to do so.

**Consent to electronic verification**

16. Where I/we have indicated in this application, I/we consent to OpenMarkets providing my personal information to a credit reporting agency for the purposes of conducting customer identification.

**Signing Authority (for joint applicants)**

Please tick to indicate signing requirements to change account details:      Either ONE to sign      BOTH account holders to sign

If no selection is made, 'both investors to sign' will be assumed.

Name of Applicant 1 (PRINT)	Name of Applicant 2 (PRINT)	Name of Applicant 3 (PRINT)
Signature	Signature	Signature
x	x	x
Date		

## 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 applicable CMA applications) to:**

OpenMarkets Australia  
Suite 300, 189 Queen Street  
Melbourne VIC 3000

### **ACCEPTABLE FORMS OF IDENTIFICATION**

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 and date of birth (must not be expired)
- 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, 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 and date of birth.
- 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 (must not be expired)**

- 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

## APPENDIX: IDENTITY DOCUMENTATION & CERTIFICATION (continued)

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

- 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;
- if you are under 18, a school attendance letter within the preceding three months;

### **CATEGORY D - AN ORIGINAL OR CERTIFIED COPY OF OTHER ID (must not be expired)**

- a medicare card.

### **VERIFICATION OF FOREIGN COMPANIES**

Companies registered outside of Australia will also need to provide us with a certified certificate of registration or incorporation issued by the relevant foreign registration body.

### **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
- A permanent employee of the Australian Postal Corporation with two or more years continuous service who is employed in an office supplying postal services to the public
- 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 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\*\***