

Execution & Settlement through:  
**ETRADE AUSTRALIA SECURITIES LIMITED**  
 trading as E\*TRADE Australia ACN 078 174 973  
 AFSL No. 238277, Participant of the ASX Limited Group

Advisor:  ADVISER USE ONLY  
 Account No:  ADVISER USE ONLY  
 Brokerage scale:  ADVISER USE ONLY

**1. Type of Account (Please  one  only)**

Individual  Joint  Company (ACN required)  Registered Body (ARBN required)  Superannuation Fund  Trust  Minors

**2. ACN or ARBN: for Company or Registered Body Account only**

ACN:  ARBN:

**3. CHESS Registered Account Name**

The name you nominate here will be your CHESS Registered Name. If you are transferring securities the Registered Account Name must be **EXACTLY** the same as on your last holding statement. If you intend to operate the account on behalf of a super fund, trust or minors, you must provide the name of the entity or person in the Account Designation field.

Account Name:   
 Account Designation:  <  A/C>

**4. Account Holder 1 / Company Contact**

Please provide the personal and contact details for an individual, trustee, custodian or company director.

Mr  Mrs  Ms  Miss  Other  Gender: Male  Female  Date of Birth:   
 Family Name:  Position Held:   
 Given Name/s:  Occupation:

**5. Account Holder 2 / Company Contact**

Mr  Mrs  Ms  Miss  Other  Gender: Male  Female  Date of Birth:   
 Family Name:  Position Held:   
 Given Name/s:  Occupation:

**6. Residential Address or Registered Business Address: PO Boxes cannot be accepted (required)**

Please provide a residential address for individual or joint accounts. For company, super and trust accounts, please provide the registered address. Please note that if you are transferring securities, your registered address should be **EXACTLY** the same as your last holding statement.

Address:   
 Suburb/City:  State:  Postcode:  Country:

**7. Postal Address (if different from above)**

Address:   
 Suburb/City:  State:  Postcode:  Country:

**8. CHESS Registered / Adviser Address (if different from above)**

Address:   
 Suburb/City:  State:  Postcode:  Country:

**9. Contact details: please provide at least one contact point, and  your preferred means of contact**

Email:   Phone (w):    
 Phone (h):   Phone (m):   Fax:

**10. Contract Notes: please  your preference (if electronically, contract notes will be sent to the email address detailed in section 9)**

I/we would like to receive my/our contract notes by:  Electronically (by email) or  Printed and posted

**11. Nominated Financial Institution Account**

You must nominate a financial institution account into which we will credit any funds withdrawn from your ANZ Bank Account. This nominated financial institution account must be in the name of, or include the name of, the party shown in Q3. On request, cleared funds are remitted to this financial institution account as cheque withdrawals are not available.

Financial institution:  Address:   
 Account Holder Name:   
 BSB Number:  Account Number:

The BSB Number is a six-digit financial institution state branch number. If unsure of the BSB number please contact your financial institution. The financial institution account number has a maximum of nine digits. Credit card numbers cannot be accepted.

12. Tax File Number

You should include the Tax File Number (TFN) of each applicant signing. Or, in the case of a company, fund or trust account, that body's TFN. Collection of TFN's is authorised by the Australian Taxation Office. It is not compulsory to quote a TFN however if you choose not to, you will be charged withholding tax at the highest rate. Should you choose to provide a TFN, we will pass it on to the E\*TRADE Australia, ANZ Bank and share registries with whom you hold securities.

TFN: [ ] Or Exemption: [ ] TFN: [ ] Or Exemption: [ ]

13. Direct Debit

I/We authorise and request E\*TRADE Australia to arrange for funds to be debited from my/our account at the financial institution identified in Q11.

I/We understand and acknowledge that:

- 1) My financial institution has absolute discretion to decide the order in which it will pay money under this request, or any other request, authority or mandate;
2) My financial institution has absolute discretion to refuse to honour this request at any time;
3) You may vary the amount or frequency of future debits to meet amounts payable under the product;
4) This request operates on the terms of the attached Direct Debit Service Agreement.

[ ] Yes [ ] No

14. CHESS Sponsorship Transfer

I/We am/are currently sponsored on CHESS by another broker or have issuer sponsored securities but would prefer to hold some or all of my/our securities with ETRADE Australia Securities Limited (E\*TRADE Australia) sponsorship. (Please read the Sponsorship Agreement and if you agree with the terms contained therein, complete this section).

Broker Sponsored Holdings (please attach a copy of your CHESS holding statement)

Name of Existing Sponsoring Broker: [ ] HIN to be transferred: [ ]

CHESS Registered Account Name: [ ]

Holding to be transferred: If "All holdings" is selected, your HIN will be transferred from your existing broker. If you nominate to transfer "selected holdings" your selection will be transferred to your HIN with E\*TRADE Australia. Please note, this may require re-notification of DRP and Tax File Numbers.

Please transfer: [ ] All holdings [ ] Selected holdings If you wish to transfer selected holdings, please complete the details in the attached CHESS Sponsorship Transfer

15. Dividend Direction: Please [x] the [ ]

[ ] I/We hereby authorise and request E\*TRADE Australia to instruct the share registries of any companies in which I hold shares to pay any dividends and other distributions directly into my/our E\*TRADE Australia Settlement Account. These instructions apply for all existing holdings and future holdings. Please note:

- This dividend direction applies only to shares held in the account name below which are Broker Sponsored by E\*TRADE Australia.
• These instructions will override all previous instructions that you have provided to share registries regarding payment of dividends. Previous elections that you have made to participate in any dividend reinvestment plans will be maintained.
• If you wish to use an account other than your E\*TRADE Australia Settlement Account for the direct crediting of dividends, you will need to liaise directly with the relevant share Registries.
• This form operates as a standing authorisation and instruction by you to E\*TRADE Australia in relation to any shares that you purchase through E\*TRADE Australia at any time after the date of this form. E\*TRADE Australia will provide your E\*TRADE Australia Settlement Account details to the relevant registry at the time of purchasing the stock for you.
• You may cancel your Dividend Direction Request at any time by a written confirmation.

16. Acknowledgements/Declaration

- (1) I/We acknowledge having received, read and understood the CHESS Sponsorship Agreement, Financial Services Guide, Direct Debit Service Agreement (if applicable) and Privacy Statement
(2) I/We have received, read and understood the CHESS Sponsorship Agreement and agree to be bound by its terms and conditions.
(3) I/We enter into this agreement on the terms and conditions as updated from time to time or included within the account application package should it have been dispatched to me/us by mail. By signing this agreement I/we agree to be bound by these terms and conditions.
(4) I/We authorise the E\*TRADE Australia to open a Bank Account as account holder and trustee of which I/we are beneficiaries for the purpose of settling share transactions on the Account.
(5) I/We authorise Axis Investment Centre Pty Ltd to give effect to my instructions regarding execution and settlement of my/our securities transactions. I will be bound by all such instructions.

Anti-Money Laundering and Sanctions

The Client agrees that E\*TRADE Australia may delay, block or refuse to process any transaction without incurring any liability if E\*TRADE Australia suspects that:

- (a) the transaction may breach any laws or regulations in Australia or any other country;
(b) the transaction involves any person (natural, corporate or governmental) that is itself sanctioned or is connected, directly or indirectly, to any person that is sanctioned under economic and trade sanctions imposed by the United States, the European Union or any country; or
(c) the transaction may directly or indirectly involve the proceeds of, or be applied for the purposes of, unlawful conduct.

The Client must provide all information to E\*TRADE Australia which E\*TRADE Australia reasonably requires in order to manage money-laundering or terrorism-financing and economic and trade sanctions risk or to comply with any laws or regulations in Australia or any other country.

Unless the Client has disclosed that it is acting in a trustee capacity or on behalf of another party, the Client warrants that it is acting on its own behalf in signing this application form.

The Client declares and undertakes to E\*TRADE Australia that the processing of any transaction by E\*TRADE Australia in accordance with the Client's instructions will not breach any laws or regulations in Australia or any other country.

17. Signatory Requirements

Signature: [ ] Signature: [ ]

Name: [ ] Name: [ ]

Title (if company): [ ] Date: [ ] Title (if company): [ ] Date: [ ]

For joint applicants, please indicate signatory requirements for all written instructions (please tick one): [ ] Either applicant to sign [ ] All applicants to sign

18. Licensee Declaration

Execution of Sponsorship Agreement by ETRADE Australia Securities Ltd

We have complied with the terms of the Trading Services Agreement with ETRADE Australia Securities Ltd and all relevant legislation. I acknowledge that I am authorised to sign this form on behalf of the intermediary.

Signed for and on behalf of ETRADE Australia Securities Limited

I certify to E\*TRADE Australia that I have collected and verified the client information in accordance with the Intermediary Identifying Agreement

Signature: [ ] ADVISER USE ONLY Signature: [ ] OFFICE USE ONLY

Name: [ ] ADVISER USE ONLY Name: [ ] OFFICE USE ONLY

Date: [ ] ADVISER USE ONLY Date: [ ] OFFICE USE ONLY HIN: [ ] OFFICE USE ONLY

## E\*TRADE Australia Direct Debit Service Agreement

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This agreement sets out the terms on which you have authorised E\*TRADE Australia to arrange for amounts owing to E\*TRADE Australia, to be made by deduction from your account at the **approved financial institution**.

1. You will need to complete the Direct Debit Request (DDR-Form) set out in the Application Form to use the E\*TRADE Australia trading facility provided by us (the 'Service').
2. By the Direct Debit Request, you authorise us to arrange for amounts that become payable to E\*TRADE Australia under the Service, to be made by deduction from your account at the **approved financial institution's** written on your DDR-Form.
3. Your Direct Debit Request allows us to arrange for payment to us for the amounts on the trade day or other nominated times, as required by the E\*TRADE Australia terms and conditions ('Conditions') of the Service including all amounts in relation to your trading instructions or your advisors trading instructions to us.
4. You can cancel your Direct Debit Request by calling us on 1300 363 241 8am to 7pm EST weekdays, for the cost of a local call. We will require 6 working days to process your cancellation request (in some cases, we will also need your written confirmation). You or your advisor cannot, however, vary, defer or suspend it, or stop or suspend an individual debit from taking place under it.
5. Once you have asked us to cancel your Direct Debit Request:
  - We will cancel any outstanding buy orders that have been approved on the basis of accessing funds via direct debit;
  - We can still use the Direct Debit Request to process any filled, but unsettled, buy orders for another 6 working days; and
  - You will not be able to give further buy orders without cleared funds in your E\*TRADE Australia ANZ bank account or until we have received a replacement Direct Debit Request.
6. Debits will be processed in accordance with the Conditions of the Service. If a due date for a debit falls on a weekend or public holiday, the debit will be processed on the next settlement day. Please contact us if you are uncertain when a debit will be processed to your account.
7. You must ensure that you have sufficient **cleared funds** available in the nominated account by the due date to permit the payments under the Direct Debit Request as required by the Conditions of the Service.  
**IMPORTANT Information: The funds will be drawn on trade day. Please ensure that when placing an at limit order that cleared funds are maintained in the account at the approved financial institution, during the entire life of the order. Insufficient cleared funds in your nominated financial institution account e.g an uncleared cheque deposit will result in the drawing being unsuccessful.**
8. If a drawing is unsuccessful:
  - Either you or your advisor will need to transfer cleared funds to the E\*TRADE ANZ account by T+3; and
  - You will be charged the scheduled fail fee of \$25 of trade value for each day a contract remains unsettled.**IMPORTANT Information: If you deposit a cheque or some other uncleared funds into the ANZ CMT and it does not clear in time to meet settlement the scheduled failed fees will apply.**
9. Please contact E\*TRADE Australia on 1300 363 241 if you have any questions about your Direct Debit Request, such as concerns about a debit that we make under it. We will reply to you within seven (7) days.
10. We can vary this Service Agreement at any time after giving you 14 days notice of the changes.
11. We will keep information about your financial institutions account confidential, except to the extent necessary to resolve any claim you might make relating to a debit which you claim has been made incorrectly.
12. Please ensure that your **approved financial institution** allows direct debits on your nominated account.

## ADDITIONAL INFORMATION

Your adviser is required by law to make enquiries as to the level of service you are seeking, your investment objectives, financial situation and particular needs. This enables your adviser to give you appropriate financial advice, including financial products recommendations.

You may decline to provide the information but you should note that your adviser's recommendations and obligations will be limited accordingly.

You should be sure to keep your adviser informed of any material change to your situation. This will enable your adviser to give advice suitable to your changed circumstances.

## 18 WHAT LEVEL OF SERVICE ARE YOU SEEKING?

(Please ✓ one or more)

- |  |   |
|--|---|
| <input type="checkbox"/> Execution only/nil advice   | <input type="checkbox"/> Fixed interest/hybrid securities advice                      |
| <input type="checkbox"/> Life insurance advice       | <input type="checkbox"/> A comprehensive financial plan tailored to your requirements |
| <input type="checkbox"/> Establish a share portfolio | <input type="checkbox"/> General advice on trading securities                         |
| <input type="checkbox"/> Options/warrants advice     | <input type="checkbox"/> Short term trading advice - shares                           |
| <input type="checkbox"/> Managed investment advice   | <input type="checkbox"/> Asset Allocation   |

## INVESTMENT OBJECTIVES

19 Which of the following do you consider to be most relevant to your needs and objectives?  
(Number choices from 1 to 5 with "1" being the least relevant and "5" being the most relevant)

	Income investor - income is paramount, even if capital is eroded
	Capital preservation - the objective is to maintain capital over the long term
	Income and growth - balance between income and growth securities
	Long term growth - building wealth for the long term (5+ years)
	Speculative trading - aim to maximise growth over the next 12 months

- I choose not to provide details

## 20 INVESTMENT TIMEFRAME

	< 10%	10 - 20%	20 - 60%	60 - 80%	80 - 100%
Short term (< 1 year)					
Medium term (1-5 years)					
Long term (> 5 years)					

- I choose not to provide details

## 21 INVESTMENT RISK LEVEL

	Conservative	Moderately conservative	Balanced	Assertive	Aggressive

- I choose not to provide details

## 22 INVESTMENT EXPERIENCE

	Equities	Derivatives	Margin Lending	Managed Investments
Inexperienced				
Some experience				
Experienced				

- I choose not to provide details

## 23 RETIREMENT PLANS

	Already retired	< 5 years	5 - 10 years	10 - 20 years
Client				
Partner				

- I choose not to provide details

**FINANCIAL SITUATION**

**24 ASSETS AND LIABILITIES**

**Gross personal assets**

- Less than \$100,000
- \$100,000 - \$200,000
- \$200,000 - \$400,000
- \$400,000 - \$700,000
- \$700,000 - \$1,000,000
- \$1,000,000 - \$2,500,000
- More than \$2,500,000

**Superannuation**

- Less than \$100,000
- \$100,000 - \$200,000
- \$200,000 - \$400,000
- \$400,000 - \$700,000
- \$700,000 - \$1,000,000
- \$1,000,000 - \$2,500,000
- More than \$2,500,000

**Gross investment assets**

- Less than \$100,000
- \$100,000 - \$200,000
- \$200,000 - \$400,000
- \$400,000 - \$700,000
- \$700,000 - \$1,000,000
- \$1,000,000 - \$2,500,000
- More than \$2,500,000

**Liabilities**

- Less than \$100,000
- \$100,000 - \$200,000
- \$200,000 - \$400,000
- \$400,000 - \$700,000
- \$700,000 - \$1,000,000
- \$1,000,000 - \$2,500,000
- More than \$2,500,000

I choose not to provide details

**25 INCOME AND EXPENDITURE**

**Gross annual income before tax (family)**

- Less than \$50,000
- \$50,000 - \$100,000
- \$100,000 - \$200,000
- \$300,000 - \$400,000
- More than \$400,000

**Annual expenditure**

- Less than \$50,000
- \$50,000 - \$100,000
- \$100,000 - \$200,000
- \$300,000 - \$400,000
- More than \$400,000

I choose not to provide details

**26 ACKNOWLEDGEMENT**

All the facts and circumstances provided herein are an accurate representation of my/our financial position and requirements. I/we acknowledge that any investment recommendations will be based on the information contained herein.

**I/we, the client, acknowledge that:**

(please tick one box, sign and date)

<input type="checkbox"/>	I/we have provided sufficient details of my/our investment objectives and financial information to enable advice appropriate to my/our requirements to be provided; or
<input type="checkbox"/>	I/we have provided details of my/our investment objectives but not financial information and understand that the advice to be received will be limited accordingly; or
<input type="checkbox"/>	I/we have not provided details of my/our investment objectives or full financial information and understand that "general advice" only will be provided; or
<input type="checkbox"/>	I/we require an execution only level of service with no advice provided.

Client 1 signature: \_\_\_\_\_ Date: \_\_\_\_\_

Client 2 signature: \_\_\_\_\_ Date: \_\_\_\_\_