

**INDIVIDUAL & JOINT ACCOUNT
APPLICATION FORM**

This is an application to open a trading account with OpenMarkets Australia Limited ABN 38 090 472 012 AFSL 246705 on behalf of Sapient Financial Solutions Pty Ltd ABN 76 165 960 645 AFSL 434776.

ACCOUNT DETAILS				ADVISER TO COMPLETE
Adviser Name		Adviser Code		
Contact Tel		Brokerage		
C/N copies email		Data feeds to		
Client WebTrader Login	Trading	View-only	None	

SECTION 1 - ACCOUNT TYPE **MANDATORY**

INDIVIDUAL (or Sole Trader)	JOINT applicants (2 persons)
MINOR (under 18 years of age) IN TRUST FOR	(Name of Minor)

SECTION 2 - APPLICANT DETAILS **MANDATORY**

APPLICANT 1 (Primary Contact) **MANDATORY**

Title	Existing OpenMarkets account no. (if applicable)		
Given Name(s) <small>Include middle name</small>			
Surname			
Date of Birth	Gender	Male	Female
Residential Address <small>Not a P.O. Box</small>			
Occupation	Industry		
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 (if applicable).

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

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 and attach to this application.

Country	Citizen	Resides in	Tax Resident	TFN OR Exemption Code/TIN
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SECTION 2 - APPLICANT DETAILS (continued)

MANDATORY

SOLE TRADER INFORMATION

IF APPLICABLE

Business Name (if any)

ABN (if any)

Principal Place of
Business
(not a P.O. Box)

APPLICANT 2

IF APPLICABLE

Title

Existing OpenMarkets
account no. (if applicable)

Given Name(s)
Include middle name

Surname

Date of Birth

Gender

Male

Female

Residential Address

Same as Applicant 1

Occupation

Industry

Mobile

Other Phone

Email

Optional. If provided, must be your own email address.

Are you a Politically Exposed Person (PEP) or an immediate family member or close associate of a PEP?

Yes

No

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 and attach to this application.

Country

Citizen

Resides in

Tax Resident

TFN OR Exemption Code/TIN

For APPLICANT 3 please photocopy this page and complete/attach to application. Must also sign in Section 8.

SECTION 3 - MAIN SOURCE(S) OF FUNDS FOR INVESTMENT

Employment

Superannuation Savings

Financial Investments

Inheritance/Gift

Other (please provide a brief description)

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SECTION 4 - CHESS SPONSORSHIP & SETTLEMENT

MANDATORY

All trading accounts with OpenMarkets will be CHESS sponsored by us (your broker) unless you are using a margin loan, wrap or custodian 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.

**Current Sponsoring
Broker**

Broker PID
(if known)

Account Name
(as at other broker)

Account Designation <
(if applicable)

A/C >

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*

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

OR SETTLE USING A MARGIN LOAN/WRAP/CUSTODIAN ACCOUNT

OPTIONAL

Complete only if you wish to settle transactions through an existing margin loan or wrap account, or via a custodian.

Please also complete the provider's corresponding [third party authority form](#).

Provider

e.g. Leveraged

Account Name

HIN (if applicable)

Facility Number

HIN (if applicable)

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SECTION 7 - LINKED CASH MANAGEMENT ACCOUNT (CMA)

NOT APPLICABLE FOR DVP ACCOUNTS

To settle transactions through OpenMarkets, you will need one of the following cash accounts:

1. **ANZ Cashactive Account** - a closed trust account that Openmarkets can open on your behalf. For information on how this account operates visit openmarkets.com.au/anz-cashactive-account
2. **Bankwest Cash Management Account**
3. **CBA Accelerator Cash Account**
4. **DDH Graham Money Market Deposit Account**
5. **Macquarie Cash Management Account**

Your adviser will assist you in establishing a new cash account or how to link an existing one (where third party authority is granted to OpenMarkets).

Please provide your cash account details:

Provider	Bankwest	DDH Graham	Macquarie
Account Name			
BSB		Account Number	

OR

Establish a new ANZ Cashactive Account (a closed trust account) on my/our behalf.

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)

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 of shares?

No

Yes Ticker Symbol(s) Applicant Name(s)

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

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SECTION 8 - CLIENT DECLARATION & SIGNATURE

MANDATORY

ALL clients MUST sign this declaration.

By signing below I/We (the applicant(s)/Client(s)):

- a) declare that the information provided in this Application Form is current and correct, and acknowledge that it forms part of the contract;
- b) acknowledge that I/We are entering into an agreement with OpenMarkets Australia Limited ABN 38 090 472 012 AFSL 246705 and that I/We have received, read, understood and agreed to the terms and conditions outlined in the following OpenMarkets documents:
 - i) Adviser Services Client Agreement including Part 2 CHESS Sponsorship Agreement;
 - ii) Financial Services Guide (FSG); and
 - iii) Best Execution Policy.
- c) acknowledge and agree that all confirmations are to be sent to me electronically to my/our email address(es).

Advisory Authority to Operate. I/We:

- a) authorise the Adviser nominated in this Application Form to open a Trading Account with OpenMarkets and to give instruction to OpenMarkets on my/our behalf;
- b) authorise OpenMarkets to accept instructions on my/our behalf from my/our Adviser and confirm that my/our Adviser has the power to do the following:
 - i) to have access to, receive and enquire information pertaining to my/our account;
 - ii) to acquire, buy, deal with and dispose of, or sell any financial products;
 - iii) to execute all contracts and other documents necessary or proper for the dealing and transfer of financial products and related matters;
 - iv) to receive, hold or arrange custody of evidence or title to financial products; and
 - v) to execute all rights, obligations, duties and privileges now and in the future with regard to transacting in financial products that pertain to me/us as the holder of financial products.
- c) acknowledge that my/our Adviser may delegate the authorisation in the above clause (clause b) to persons nominated by the Adviser from time to time;
- d) accept that my/our Adviser has access to all information relating to transactions undertaken in relation to dealing with OpenMarkets; and
- e) declare that I have the legal capacity to make these declarations, accept the conditions and enter into the agreements referred to in the points above.

Signing Authority (for joint applications)

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.

Applicant 1 Name
(PLEASE PRINT)

Signature x

Applicant 2 Name
(PLEASE PRINT)

Signature x

Applicant 3 Name
(PLEASE PRINT)

Signature x

Date

INDIVIDUAL & JOINT ACCOUNT APPLICATION FORM

SECTION 8 - CLIENT DECLARATION & SIGNATURE

MANDATORY

Adviser Declaration

1. As the Adviser, I agree that the above client has been issued with all parts of the OpenMarkets Adviser Services Client Agreement and Financial Services Guide prior to receiving any financial service from OpenMarkets.
2. As the Adviser, I agree that I have performed the necessary identification check required by law and that I have sufficient evidence that this check will be kept for seven years.
3. As the Adviser, I acknowledge that OpenMarkets relies upon us to perform the necessary identification checks and that OpenMarkets can request copies of identification at any time.

Adviser Name
(PLEASE PRINT)

Date

Signature x

Complete this form if you wish to apply to transact in Options on your OpenMarkets trading account. New clients simply attach this form to your new account application. **Important: You must subscribe to the Pulse platform to trade Options.**
Options Transaction Types

The following Options transaction types may be accessed through OpenMarkets:

1. Bought/Long Puts or Calls - where cash must be available upfront in your linked CMA
2. Covered Calls - where specific stock must lodged as collateral with the Australian Clearing House (ACH)

Covered Calls only

You must also complete the Registered Holder Collateral Cover Authorisation (RHCCA) Form on page 2.

Applications can be emailed to service@openmarkets.com.au or mailed to:

OpenMarkets Australia Limited
Suite 300, 189 Queen Street
Melbourne VIC 3000

Important reading

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

1. OpenMarkets Options Product Disclosure Statement (PDS)
2. ASX booklet 'Understanding Options Trading

Both of which can be downloaded from our [website](#)

Additional reading

There are also a number of other free ASX educational [booklets](#) and [online courses](#) on Options trading.

Client Account Details	
Account Number	<input type="text"/> OR <input type="checkbox"/> New Account (account application attached)
Account Name	<input type="text"/>
Account Designation (if applicable)	<input type="text"/>
Email	<input type="text"/>

Client Declaration & Signatures		
<p>ALL account holders MUST sign this declaration.</p> <p>By signing below you confirm that the details on your OpenMarkets trading account is accurate and remains current, and that you have read, understood and agreed to the terms and conditions outlined in:</p> <p><input type="checkbox"/> OpenMarkets Options Product Disclosure Statement (PDS) (accessed via the OpenMarkets website).</p> <p><input type="checkbox"/> ASX booklet 'Understanding Options Trading (accessed via the OpenMarkets website).</p>		
Account Holder 1	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>
Account Holder 2	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>
Account Holder 3	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>

*For company accounts, sign in accordance with the company's constitution. Or if signed under a Power of Attorney, please attach a certified copy of the POA to this authority.

**FOR COVERED CALLS - please complete **Registered Holder Collateral Cover Authorisation Form on page 2 **

Client Account Number this Authorisation covers:

1. I/We: (the **Registered Holder/s**)

With Holder Identification Number:

authorise my Controlling Participant to reserve (or withdraw) Financial Products (**Collateral**) registered in the name of the Registered Holder in the ASX Clear Pty Limited (ABN 48 001 314 503) (**ASX Clear**) Subposition as Collateral Cover for obligations in respect of Option Market Contracts registered in the Client Accounts nominated above with OpenMarkets Australia Limited (ABN 38 090 472 012).

2. The Registered Holder acknowledges that ASX Clear may, in its absolute discretion, decline to accept in relation to all or any particular Client Accounts nominated above for the purposes of accepting paperless lodgements.
3. The Registered Holder acknowledges that on behalf of the Registered Holder, the Controlling Participant will reserve (or withdraw) Collateral in the ASX Clear Subposition by sending the appropriate Collateral lodgement message so that the Collateral lodged comes under the control of ASX Clear, or Collateral withdrawn leaves the control of ASX Clear, in accordance with the ASX Clear Operating Rules and Procedures (as amended from time to time).
4. In registering Collateral in the ASX Clear Subposition, the Registered Holder acknowledges that the Collateral will be subject to a fixed charge (the **Charge**) in favour of ASX Clear from the time they are reserved to the ASX Clear Subposition in the manner referred to above, and will remain subject to the Charge until ASX Clear permits it to be withdrawn from the ASX Clear Subposition.
5. The Registered Holder acknowledges that the Charge secures all amounts and obligations owing by the ASX Clear Participant to ASX Clear in connection with the Client Accounts nominated above opened by the ASX Clear Participant in accordance with the ASX Clear Operating Rules and Procedures (as amended from time to time).
6. The Registered Holder acknowledges that the Registered Holder has read and understood the ASX Clear Operating Rules and the ASX Settlement Operating Rules, in so far as those rules relate to the Collateral and the Charge, including:
 - a. ASX Clear's power to deal with the Collateral on default by the ASX Clear Controlling Participant in respect of the Client Accounts nominated above; and
 - b. in particular, ASX Clear's power of sale in relation to the Collateral without any notice to the Registered Holder.
7. The Registered Holder warrants that unless ASX Clear otherwise agrees in writing, the Collateral is not and may not be subject to any other security interest, other than a security interest provided to a margin lender under a deed of priority, entered into between ASX Clear and the margin lender, which provides that ASX Clear's Charge has priority over the margin lender's security interest (the Deed of Priority) or a security interest as permitted under the ASX Clear Operating Rules or the ASX Settlement Operating Rules.
8. If the Registered Holder's Controlling Participant named in this Authorisation is a margin lender, the Registered Holder warrants that they have signed an acknowledgment regarding the Deed of Priority as set out in Schedule 2 or Schedule 3, as applicable, to the Deed of Priority.
9. If the ASX Clear Participant is unable to insert the Account Numbers and/or HIN at the time the Registered Holder signs this form, the Registered Holder irrevocably authorises the ASX Clear Participant to insert the Account Numbers and/or HIN on this agreement and agrees the ASX Clear Participant will insert the Account Numbers and/or HIN on the Registered Holder's behalf, prior to lodging this Authorisation with ASX Clear. The ASX Clear Participant agrees that it will notify the Registered Holder of the Account Numbers and/or HIN in writing as soon as reasonably possible.
10. Defined terms have the same meaning as defined in the ASX Clear Operating Rules or the ASX Settlement Operating Rules and Procedures (as amended from time to time).

Registered Holder 1 (PRINT NAME)

Signature

x

Registered Holder 2 (PRINT NAME)

Signature

x

Registered Holder 3 (PRINT NAME)

Signature

x

Witnessed by (PRINT NAME)

Witness Signature

x

Date

 / /

*For company accounts, sign in accordance with the company's constitution. Or if signed under a Power of Attorney, please attach a certified copy of the POA to this authority.

**Client Directed – General Advice Declaration
Share Trading Account**

This Declaration of “General Advice” is based on the;

- OpenMarkets Australia Ltd Client Agreement dated 1st November 2014 (Client Agreement)
- OpenMarkets Australia Ltd Financial Services Guide dated 1st January 2016 (FSG)
- OpenMarkets Australia Ltd Best Execution Policy dated 12th October 2016 (Best Execution Policy)
- OpenMarkets Australia Ltd Options Product Disclosure Statement PDS dated June 2016 (PDS)

I/we.....

(insert name(s) include entity name if investing as a company, SMSF, company or trust)

of.....

(insert full address / State / Postcode)

I/We Acknowledge that I/we request that Sapient Financial Solutions Pty Ltd, ABN 76 165 960 645 place/arrange on my/our behalf the below which is of my/our own choosing:

- Share Trading Account - Open Markets Australia Ltd

Define as the **Financial Product**

I/We understand and accept full responsibility for my/our decision to open the listed trading/investment Account(s) as selected above.

I/we confirm we were provided the “General Advice Warning” (below) and understood this before any general advice was provided to me/us.

General Advice Warning

“This General Advice Warning is issued by Sapient Financial Solutions Pty Ltd, Corporate Authorised Representative of Australian Financial Services Licence (AFSL) No 434 776. This information might contain general advice, which is provided without regard to any investor’s individual objectives, financial situation or needs. It is not specific advice for any particular investor and is not intended to be passed on or relied upon by any person. Before making any decision about the general advice provided, you should consider the appropriateness of the general advice presented, having regard to your objectives, financial situation and needs. Any indicative information and assumptions used may change without notice to you, particularly if based on past performance. Further, you should read the Client Agreement, FSG, Best Execution Policy & PDS relative to this advice before a decision is made”.

I/we wish to confirm that only “General Advice” was sought by me/us from Sapient Financial Solutions and its Representatives in relation to arranging the implementation of this financial product on my/our behalf and that this information was in no way interpreted as financial advice.

I/we have read and understand the Client Agreement, FSG, Best Execution Policy & PDS, including the investment structure/s, risk and the fee structures in place for the Financial Product as outlined in the relevant Client Agreement, FSG, Best Execution Policy & PDS.

I/we confirm the advice provided to me was “General Advice” only and I/we confirm no recommendation or personal advice was provided by Sapient Financial Solutions or its Representatives to me/us. At no time has the Sapient Financial Solutions’ Representative stated, recommended or inferred that the Financial Product may be appropriate for me/us, or that they have considered my personal objectives, financial situation and needs.

I/We understand that by not seeking personal financial planning advice regarding the appropriateness of the Financial Product that I/we risk making a decision which may not be suitable for my/our financial needs.

I/We understand that I/we should obtain independent financial planning advice and professional taxation advice as to the suitability of the Financial Product having regard to my/our individual objectives, financial situation and particular needs. I/we also understand by not doing so I/we risk making a decision which may not be suitable for my/our individual objectives, financial situation and particular needs.

I/We understand that (a) Sapient Financial Solutions Pty Ltd ABN 76 165 960 645 is a corporate authorised representative of AFSL 434776 and the advisor is an individual authorised representative under the same AFSL; and (b) AFSL 434776 is responsible for the financial services provided by each of you to us.

I/we confirm that all examples and illustrations used were for education purposes only and that these examples and illustrations were not used in any way to influence my/our decision.

After consideration of the appropriateness of this investment for my/our personal circumstances I/we chose to engage Sapient Financial Solutions for the opening of these accounts and Financial Products.

I/we understand and accept full responsibility for my/our decision to invest in the Financial Product.

I/we understand and accept that Sapient Financial Solutions and AFSL 434776 accepts no responsibility for the quality and/or likely future performance of this financial product.

I/we agree that Sapient Financial Solutions may collect, use and store my /our personal information for the purpose of processing my /our Application, managing the investments and complying with the relevant laws in accordance with Sapient Financial Solutions Privacy Policy, a copy of which can be provided on my / our request. Such information may include but is not limited to Tax File Numbers (“TFNs”), Bank Account details, Drivers’ Licence and Passport information. I /we also understand that I /we can access the personal information Sapient Financial Solutions holds about me / us.

I/we agree that I/we have received the following documents:

- Sapient Financial Solutions Financial Service Guide Version 1
- Advisor Profile Version 1
- OpenMarkets Australia Ltd Client Agreement dated 1st November 2014 (Client Agreement)
- OpenMarkets Australia Ltd Financial Services Guide dated 1st January 2016 (FSG)
- OpenMarkets Australia Ltd Best Execution Policy dated 12th October 2016 (Best Execution Policy)
- OpenMarkets Australia Ltd Options Product Disclosure Statement PDS dated June 2016 (PDS)

.....
Signature Applicant 1

.....
Print Name & Title (e.g. Director)

.....
Signature Applicant 2

.....
Print Name & Title (e.g. Director)

.....
Date

.....
Signature Advisor /Witness

.....
Print Name & Title (e.g. Director)

.....
Address

.....
Signature Advisor /Witness

.....
Print Name& Title (e.g. Director)

.....
Address