



Share Trading with Westpac Online Investing is a service provided through Westpac Securities Limited ABN 39 087 924 221 AFSL 233723 (Westpac Securities) by Australian Investment Exchange Ltd (the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Participant of the ASX Group and Chi-X Australia.

**Please use this form where you wish to authorise someone else to trade and/or conduct transactions on your behalf.**

If you list a Trading Account that is linked to an Options Account (or an Options Account that is linked to a Trading Account) the additional authority will provide access to both the Options and Trading Accounts.

**Where to send the completed form?**

Once complete and signed, please return the original form and identification documentation by post to the address at the top of this page.

## Section 1 – Account Holder Authority & Signature/s

Westpac Securities Account Number

Trading Account Name

  

**I/We: Authorise the Authority to Trade set out in Section 2 to act on my/our behalf in connection with the following products and services, to the extent of their authority set out below:**

- (a) To have access to, receive, and enquire about information pertaining to an account;
- (b) To acquire, buy, deal with, dispose of, or sell any financial products;
- (c) To provide authorisation to make and receive payment for any financial product transactions and attendant expenses by any means whatsoever and to give goods receipts and discharges for the proceeds and sales on financial products and other monies;
- (d) To execute all contracts and other documents necessary or proper for the custody, dealing, and transfer of financial products and related matters;
- (e) To receive, hold, or arrange custody of evidence or title to financial products;
- (f) To exercise all rights, privileges, duties, and obligations now and in the future with regard to transacting in financial products that pertain to me as the holder of financial products.

**All authorised signatories must sign this authority for your instructions to be executed**

I/We:

- (a) Acknowledge that I/we are responsible for and bound by the instructions that the Authority to Trade gives the Participant, and I/we indemnify the Participant in relation to the actions of my/our authorised agent;
- (b) Acknowledge that it is my/our obligation to be aware of any activity undertaken on my/our behalf by the Authority to Trade;
- (c) Agree that I/we will not provide my/our personal login details to the Authority to Trade, instead relying on the Participant to issue relevant account access to the Authority to Trade;
- (d) Authorise and request the Participant to accept and act upon any instructions issued by the Authority to Trade pursuant to this authority and undertake to ratify whatever the signatory lawfully does or causes to be done pursuant to this authority;
- (e) Understand the appointment of an Authority to Trade remains effective until I/we revoke it by providing a notice in writing to the Participant.

Name of Account Holder 1/Director/Secretary 1/Trustee 1

DD / MM / YYYY

Name of Account Holder 2/Director/Secretary 2/Trustee 2

DD / MM / YYYY

If there are more than 2 authorised signatories, please photocopy this page, complete and attach to the form.

## Section 2 – Authority to Trade Details

Westpac Securities Account Number (for existing customers)

Trading Account Name

  


### Where to from here?

**If you have provided your existing Westpac Securities Account Number – you do not need to complete the following personal details unless they have changed. Please proceed to Section 3 acknowledgement & signature.**

**Otherwise – Please provide your personal details below.**

Authority to Trade Personal Details

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

Gender

Male  Female

Source of Funds

Please provide only values as outlined in Explanatory note 1

Source of Wealth

Please provide only values as outlined in Explanatory note 2

Employment Status

Please provide only values as outlined in Explanatory note 3

Occupation

Address Details

Residential Address / Principal Place of Business (Sole Traders only) (Cannot be a PO Box)

State	Postcode
Country (if not Australia)	

Postal Address  Same as Residential Address

State	Postcode
Country (if not Australia)	

Contact Details

Email Address

Tick your preferred contact number

Mobile	<input type="text"/>	<input type="checkbox"/>
Work	( )	<input type="checkbox"/>
Home	( )	<input type="checkbox"/>
Fax	( )	<input type="checkbox"/>

Information about products and services

Westpac Securities will use or disclose your personal information to contact you or send you information about other products and services offered by the Westpac Group or its preferred suppliers.

Please tick this box if you do not wish to receive marketing communications from us.

“Westpac Group” means Westpac Banking Corporation ABN 33 007 457 141 and its related bodies corporate.

Are you a sole trader?

Yes  No

If yes, complete the next 2 questions:

Sole Trader Business Name

Sole Trader ABN

Online Access (Optional)

Nominate a Username and Temporary Password below (if you have an existing Username this will be used)

Username (6 to 16 alphanumeric characters)

If your nominated Username is already in use, we will nominate a similar alternative on your behalf. You will receive a confirmation of your Username with your Welcome Letter or Email

Temporary Login Password (6 to 16 alphanumeric characters)

You **must** provide a Temporary Login Password for online access. Please make a note of the Temporary Login Password you have nominated as you will be asked to change your Password upon your first login.

Identification



The nominated Authority to Trade **must** complete the following Identification section, unless you have provided Westpac Securities Account Number above

Is the Authority to Trade an existing Westpac Customer?

Yes  No

If Yes – Please select and complete **one** of the following forms of identification.

If No – Please attach certified copies of ID (Your ID documents must be in the exact same details as those provided in this form. See the *Identification Documentation Requirements* available from our website [westpac.com.au/onlineinvesting](http://westpac.com.au/onlineinvesting) for more information.



The name you have provided above must match the name linked to the details you provide below.

Westpac BSB and Account Number

BSB Number

Account Number

Name of Account Holder

Westpac Customer number

Section 3 – Authority to Trade Acknowledgement & Signature

I/We understand, acknowledge and declare that:

- (a) The name of individual persons given to the Participant are true and correct and that the law prohibits the use of false names, as well as the giving or use of a false document in connection with an identification procedure;
- (b) My particulars (including identification details) as shown on this form are complete and correct;
- (c) The Participant collects my particulars in order to allow me to exercise this authority; and
- (d) I have received and agree to be bound by the Terms and Conditions, available at [westpac.com.au/onlineinvesting](http://westpac.com.au/onlineinvesting), governing each product nominated in this form and consent to the collection, use, disclosure and storage of my/our personal information in accordance with the Customer Information and Privacy section of the Westpac Online Investing “House Rules” document, and the Westpac privacy policy (available at [westpac.com.au](http://westpac.com.au) or by calling 132 032), each as amended from time to time.

Name of Authority to Trade

Signature of Authority to Trade

## Explanatory Notes

### 1. Source of Funds

The origin and the means of transfer of the funds to service this new product (e.g. salary/wages, business income)

- a. Salary/Wages
- b. Commission
- c. Bonus
- d. Business income/earnings
- e. Business profits
- f. Rental income
- g. Superannuation/pension
- h. Loan
- i. Insurance payment
- j. Compensation payment
- k. Government benefits
- l. Sale of assets
- m. Liquidation of assets
- n. Redundancy
- o. Inheritance
- p. Gift/Donation
- q. Windfall
- r. Tax refund
- s. Additional Sources (Provide Sources)

### 2. Source of Wealth

Source of Wealth refers to the origin of your financial standing or total net worth (i.e. how you have generated your wealth).

- a. Employment income/earnings
- b. Redundancy
- c. Business income/earnings
- d. Business profits
- e. Investment income/earnings
- f. Rental income
- g. Superannuation/pension
- h. Insurance payment
- i. Compensation payment
- j. Government benefits
- k. Owns real estate/property
- l. Sale of assets
- m. Liquidation of assets
- n. Inheritance
- o. Gift/Donation
- p. Windfall
- q. Choose not to disclose
- r. Additional Sources (Provide Sources)

### 3. Employment Status

- a. Retired
- b. Casual
- c. Full Time
- d. Independent Contractor
- e. Other (Home Duties/Work Compensation)
- f. Part Time
- g. Dependent Contractor
- h. Self Employed
- i. Social Security Recipient
- j. Student
- k. Temporary
- l. Unemployed