



Please start here

- Please note that you cannot use this application form to open a Westpac Cash Investment Account. If you wish to open a Westpac Cash Investment Account, please go to www.westpac.com.au/onlineinvesting.
- You will receive an email notification from us once your Account has been established.
- Please read the Participant's Share Trading Terms and Conditions before completing this form.
- **Identification:**
To meet our obligations with the *Anti Money Laundering/Counter-Terrorism Financing Act 2006*, we must identify customers before we provide a service. Applicants and Additional Authorities to Trade who are not existing Westpac customers will need to provide original certified copies of identification documents.
- Please refer to the Explanatory Note 1 at the end of this application form for a list of Acceptable Identification Documentation and a list of eligible persons who can certify identification documents.

Application instructions

Applicant Type	Mandatory Sections to complete	Optional Sections
Individual (Includes Sole Trader) Account Name (example): Peter John Brown	1, 2 & 4	3, 5 & 6 as applicable
Joint Account Name (example): Peter John Brown & Susan Alice Brown	1, 2 & 4	3, 5 & 6 as applicable

Documentation Required

All Applicants

- Original certified photocopy of identity documents for new clients – see Explanatory note 1
- Copy(s) of your Issuer Sponsored Holding Statements (if applicable)
- Copy(s) of your CHESS Sponsored Holding Statements (if applicable)

Which account type would you like to apply for?

Individual Joint



1. Personal Details

i For joint accounts, statements and notices will only be posted to the first applicant's Postal Address.

Applicant 1

Mr Ms Mrs Miss Dr Other

First name Middle name/s Surname

Other name/s commonly known by – *If applicable* Date of birth – *DD / MM / YYYY* / / Male Female

Level of trading experience

New to share trading Some experience Frequent trader – *>3 trades per month*

Are you a sole trader? Yes No – *If yes, complete the next 2 questions*

Sole Trader Business Name Sole Trader ABN – *Optional – refer to Explanatory note 1*

Residential Address

Street address – *Cannot be a PO Box*
Suburb State Postcode
Country

Postal Address

Same as residential address

Street address
Suburb State Postcode
Country

The postal address will be used as the CHESS registration address.

Contact Details

Email address

Mobile Home number Work number

Source of Funds – *Refer to Explanatory note 5* Source of Wealth – *Refer to Explanatory note 6* Employment Status – *Refer to Explanatory note 7*

Job Category Job Type

i See the Jobs and Industry Classification List available from our website westpac.com.au/onlineinvesting for more information

Tax File Number or Exemption Code – *Refer to Explanatory note 2*



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.

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.

Identification – Choose one of the three identification options below.

<input type="radio"/>	Option 1. Do you have an existing trading account? – <i>If yes provide your Username</i>
	Username <input type="text"/>
<input type="radio"/>	Option 2. Do you have an existing Westpac bank account? – <i>If yes, select and complete one of the following forms of identification</i>
<input type="radio"/>	Westpac BSB and Account Number
	BSB Number <input type="text"/> Account Number <input type="text"/>
<input type="radio"/>	Westpac Customer number
	<input type="text"/>
<input type="radio"/>	Option 3. To meet our obligations with <i>Anti Money Laundering/Counter-Terrorism Financing Act 2006</i> , we must identify customers before we provide a service. Provide original certified copies of identification documents. See Explanatory note 1 for more information on identification requirements.

Online Access – you will need this password the first time you log in

You will receive confirmation of your Username with your Welcome Letter or Welcome Email – *refer to Explanatory note 3*

Temporary Login Password – 6 to 16 alphanumeric characters

Applicant 2 – if applicable

Mr Ms Mrs Miss Dr Other

First name Middle name/s Surname

Other name/s commonly known by – *If applicable* Date of birth – DD / MM / YYYY / / Male Female

Level of trading experience

New to share trading Some experience Frequent trader – >3 trades per month



Residential Address

Street address – *Cannot be a PO Box*

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country

Postal Address

Same as residential address

Street address

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country

Contact Details

Email address

Mobile	Home number	Work number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Source of Funds – <i>Refer to Explanatory note 5</i>	Source of Wealth – <i>Refer to Explanatory note 6</i>	Employment Status – <i>Refer to Explanatory note 7</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Job Category	Job Type
<input type="text"/>	<input type="text"/>

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<input type="radio"/>	Westpac Customer number
	<input type="text"/>
<input type="radio"/>	Option 3. To meet our obligations with <i>Anti Money Laundering/Counter-Terrorism Financing Act 2006</i> , we must identify customers before we provide a service. Provide original certified copies of identification documents. See Explanatory note 1 for more information on identification requirements.



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You will receive confirmation of your Username with your Welcome Letter or Welcome Email – refer to Explanatory note 3

Temporary Login Password – 6 to 16 alphanumeric characters

Applicant 3 – if applicable

Mr Ms Mrs Miss Dr Other

First name Middle name/s Surname

Other name/s commonly known by – If applicable Date of birth – DD / MM / YYYY

 / / Male Female

Level of trading experience

New to share trading Some experience Frequent trader – >3 trades per month

Residential Address

Street address – *Cannot be a PO Box*

Suburb State Postcode

Country

Postal Address

Same as residential address

Street address

Suburb State Postcode

Country

Contact Details

Email address

Mobile Home number Work number

Source of Funds – Refer to Explanatory note 5 Source of Wealth – Refer to Explanatory note 6 Employment Status – Refer to Explanatory note 7

Job Category Job Type

[See the Jobs and Industry Classification List available from our website westpac.com.au/onlineinvesting for more information](#)

Tax File Number or Exemption Code – Refer to Explanatory note 2



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	BSB Number <input type="text"/>	Account Number <input type="text"/>
<input type="radio"/>	Westpac Customer number <input type="text"/>	
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Temporary Login Password – 6 to 16 alphanumeric characters

2. Settlement Options

Nominated bank account

To settle your share trading transactions and/or any fees associated with subscriptions on your trading account, complete the Direct Debit Request details below. The bank account must be in the same name/s provided in this application.

i If the linked bank account has one or more parties which are not the share trading account holders, you **MUST** provide identification with a signature and ensure they sign the Declaration & Signature/s section of this form.

Account Name <input type="text"/>	BSB <input type="text"/>	Account Number <input type="text"/>
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Nominated bank account – Margin Lending

BT Margin Lending

BT Margin Lending Account Name <input type="text"/>	BT Margin Lending Account Number <input type="text"/>
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Other Margin Lending

Margin Lender – M/L

M/L PID* – if known

M/L Account Number

M/L Account Name

M/L Contact Person – if known

M/L Contact Number – if known

3. CHESSE Sponsorship Transfer Request

Your trading account will be CHESSE sponsored by the Participant unless you have provided the details of a Margin Lending account in Section 2 of this application form.

i The Name and registration detail that appears on your current registered holdings **MUST** be the same name that appears on your Trading Account. If this requirement is not met any request to transfer holdings may be delayed or rejected.

ISSUER to BROKER SPONSORSHIP

Transfer my/our Issuer Sponsored Holdings to the Participant. – Please attach copies of all relevant holding statement/s

Shareholder Reference Number – SRN

ASX Code or Security Name

Qty

BROKER to BROKER TRANSFER

You may select to either transfer all or part of your existing broker holdings to the Participant – Please attach copies of your latest CHESSE holding statement

Existing broker name

PID – #####

HIN – #####

A/C – #####

Account Name

New broker name

PID

In the event of any mismatch of registration details, I authorise the Participant to make changes to my Holder Identification Number (HIN) registration details in accordance with the information I have provided in my application form.

a. Transfer ALL Broker Sponsored Holdings to the Participant

Yes

No

OR

b. Transfer the following existing Broker Sponsored Holdings to the Participant

Yes

No



Please list stock that you would like to transfer from your Existing Broker. Attach a separate sheet if more space is required.

ASX Code or Security Name	Qty

NB: It may be necessary to re-lodge your standing instructions with the share registries after some transfers. These include tax file numbers, banking details and Dividend Reinvestment Plan or other dividend instructions.

I/We authorise the Participant to transfer the above listed holdings into my/our Share Trading Account.

4. Declaration and Signature/s

All Account Holders MUST sign this declaration.

I/We the undersigned (being the applicant/s):

1. Declare that the information I/we provided to you in my/our application is complete and correct and acknowledge that it will form part of the contract for each product I/we are applying for;
2. Acknowledge that the name of individual persons given in this application are true and correct and that the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure;
3. 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 or by calling 132 032), each as amended from time to time.
4. Declare that I/we have read and understood Westpac's data protection policy at <https://www.westpac.com.au/privacy/eu-data-protection-policy/>
5. I/We have read and agree to be bound by the Participant's Terms and Conditions of Online Access.
6. I/We agree to be sponsored by the Participant under the terms of the Participant Sponsorship Agreement. I/we have read and agree to be bound by the Participant's Terms and Conditions of Participant Sponsorship Agreement.
7. I/We authorise and request Australian Investment Exchange Ltd (APCA User ID no. 123840 – Debit and 123840 - Credit) to arrange for funds to be debited from/credited to my/our accounts as specified in this Application through the Bulk Electronic Clearing System (BECS). I/We acknowledge that this authority is governed by and will remain in force in accordance with the Direct Debit/Credit Request Service Agreement sections of the Terms and Conditions governing each product I/we are applying for.
8. I/We agree for the Participant to remit funds to my/our choice of Nominated Bank Account upon my/our request.
9. I/We agree that my/our nominated representative(s) is/are bound by these Terms and Conditions.
8. I/We agree for the Participant to send my/our Confirmations, Trading Account information and Statements to we/us electronically.
9. I/We declare that I have the legal capacity to make these declarations and accept the conditions. I agree and enter into the agreements referred to in points 1, 2, 3, 4, 5, 6, 7 and 8 above.

Declaration to Terms and Conditions

1. I/We hereby acknowledge that I/we have read and understood the Financial Services Guides provided to me/us by Westpac Securities Limited and the Participant.
2. I/We have read and agree to be bound by the Participant's Terms and Conditions of Share Trading Account.

Applicant 1

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Applicant 2 – If applicable

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Applicant 3 – If applicable

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper



5. Authority to Trade

Complete this section where you wish to authorise someone else to trade and/or conduct transactions on your behalf. The Additional Authority to Trade must complete this section. If you wish to add a Power of Attorney please complete this section and provide an original certified copy of the document.

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name
 Middle name/s
 Surname

Other name/s commonly known by – *If applicable*
 Date of birth – *DD / MM / YYYY* / /
 Male Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode

Country

Postal Address

Same as residential address

Street address

Suburb
 State
 Postcode

Country

Contact Details

Email address

Mobile
 Home number
 Work number

Identification – *Choose one of the three identification options below.*

<input type="radio"/>	Option 1. Do you have an existing trading account? – <i>If yes provide your Username</i>
	Username <input type="text"/>
<input type="radio"/>	Option 2. Do you have an existing Westpac bank account? – <i>If yes, select and complete one of the following forms of identification</i>
<input type="radio"/>	Westpac BSB and Account Number
	BSB Number <input type="text"/> Account Number <input type="text"/>
<input type="radio"/>	Westpac Customer number <input type="text"/>
<input type="radio"/>	Option 3. To meet our obligations with <i>Anti Money Laundering/Counter-Terrorism Financing Act 2006</i> , we must identify customers before we provide a service. Provide original certified copies of identification documents.

Online Access – *you will need this password the first time you log in*

You will receive confirmation of your Username with your Welcome Letter or Welcome Email – *refer to Explanatory note 3*

Temporary Login Password – *6 to 16 alphanumeric characters*



6. Authority to Trade Declaration and Signatures

Applicant(s) declaration and signature(s)

All Applicants MUST sign this declaration.

I/We authorise the Additional Authority to Trade set out below to act on my/our behalf in connection with the account including the following:

- To have access to, receive, and enquire about information pertaining to an account;
- To acquire, buy, deal with, dispose of, or sell any financial products;
- 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;
- To execute all contracts and other documents necessary or proper for the custody, dealing, and transfer of financial products and related matters;
- To receive, hold, arrange custody of and evidence of title to financial products;

- To exercise all rights, privileges, duties and obligations now or in the future with regard to transacting in financial products that pertain to me as the holder of financial products.

All Applicants please sign below

I/We:

- 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;
- Acknowledge that it is my/our obligation to be aware of any activity undertaken on my/our behalf by the Authority to Trade;
- 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;
- 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;
- Understand the appointment of an Authority to Trade remains effective until I/we revoke it by providing a notice in writing to the Participant.

Applicant 1

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Applicant 2 – If applicable

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Applicant 3 – If applicable

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper

Additional Authority to Trade declaration and signature I/we understand and acknowledge that:

- 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;
- Declare that my particulars (including identification details) as shown on this form are complete and correct;

- Acknowledge that the Participant collects my particulars in order to allow me to exercise this authority; and
- Acknowledge that I have received and agree to be bound by the Terms and Conditions 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 or by calling 132 032), each as amended from time to time.

Authority to Trade

Full name

Date – DD / MM / YYYY

 / /

Signature – Must be signed pen to paper



7. Explanatory Notes

1. IDENTIFICATION REQUIREMENTS

To meet our obligations with the *Anti Money Laundering/Counter-Terrorism Financing Act 2006*, we must identify customers before we provide a service.

Applicants (including individuals/sole traders), and Authorities to Trade who are not existing Westpac customers, will need to provide original certified copies of identification documents which must be certified by an eligible person.

Acceptable identification documentation

ONE Primary Photographic Identification Document (Table A), or if unable to, ONE Primary Non-Photographic Identification Document (Table B) and ONE Secondary Identification Document (Table C)

Please note the following:

All documents must be current unless specified otherwise. If any document is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.

2. AUSTRALIAN BUSINESS NUMBER (ABN), TAX FILE NUMBER (TFN) OR EXEMPTION CODE

You are not required by law to provide your TFN or ABN, however if you do not provide one, tax may be deducted from your dividends and distributions at the highest marginal tax rate (plus Medicare Levy). If you quote your TFN or ABN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Pty Limited, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.

 Please attach the original certified copy/ies of the document/s to your application. DO NOT send original documents, or copies of certified copies.

Table A – Primary Photographic Identification Documents

- Australian passport (can either be current or expired within the last 2 years but must not be cancelled, defaced or mutilated)
- Foreign passport issued by a foreign government, the United Nations or an agency of the United Nations (must not be cancelled, defaced or mutilated)
- Foreign travel document issued by a foreign government, the United Nations or an agency of the United Nations
- Australian licence/permit (can either be a driver's licence, learner's permit)
- Foreign driver's licence which contains a photograph
- Proof of age card issued by a State or Territory (or equivalent)
- National identity card issued by a foreign government, the United Nations or an agency of the United Nations

Table B – Primary Non-Photographic Identification Documents

- Full Australian birth certificate (or extract) issued by State/Territory Registry of Births, Deaths and Marriages
- Full Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations
- Australian citizenship certificate
- Citizenship certificate issued by a foreign government
- Centrelink pension card (Australian)

Table C – Secondary Identification Documents

- A financial benefits notice issued by the Commonwealth or a State/Territory within the last 12 months and includes the customer's name and residential address (e.g. a notice from Centrelink)
- Australian Taxation Office (ATO) notice issued within the last 12 months and includes the customer's name and residential address
- Utilities notice issued by a local government or utilities provider within the last 3 months and includes the customer's name and residential address
- Foreign driver's licence which does not contain a photograph
- Department of Veterans' Affairs pension concession card (Australian)
- A current tenancy/lease agreement (must not be cancelled or expired)
- Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages

List of eligible persons who can certify identification documents:

Each original certified photocopy(ies) must include the statement (or similar wording):

"I certify that this is a true copy of the original document."

The certifier must include their full name, original signature (photocopied signatures are not accepted), date of certification and qualification or occupation (outlined below) which makes them eligible.

List of eligible persons who are allowed to certify identification documents:

- A person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)

- A judge of a court
- A magistrate
- A chief executive officer of a Commonwealth court
- A Justice of the Peace
- A police officer
- A public notary (for the purposes of the Statutory Declaration Regulations 1993)
- An agent of Australia Post who is in charge of an office supplying postal services to the public



- A permanent employee of Australia Post with 2 or more years of continuous service who is employed in an office supplying postal services to the public
- An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- An officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
- A finance company officer with 2 or more continuous years of service with one or more finance companies (for the purpose of the Statutory Declaration Regulations 1993)
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees.
- A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership
- A registrar or deputy registrar of a court
- An international bank employee authorised by their institution to open accounts, where the international bank is acceptable to the Bank

3. USERNAME AND PASSWORD

You will receive confirmation of your Username with your Welcome Letter or Email.

Your nominated temporary password:

- Must be between 6 and 16 characters long
- Is not case sensitive
- Must not contain spaces
- Can contain most characters except < = > ^ { } `
- Must not contain your Username or word "password"

4. HIN and PID

HIN (Holder Identification Number) and PID (Participant Identification) can be found on your CHESS statements. Alternatively, contact your existing Broker.

5. 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)

6. 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

7. 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

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 market participant of the Australian Securities Exchange Limited (ASX) and Chi-X Australia, a clearing participant of ASX Clear Pty Limited and a settlement participant of ASX Settlement Pty Limited.

How to submit your documents

Once completed and signed, please scan and email the form to

✉ applications@onlineinvesting.westpac.com.au

📍 **Westpac Securities**
Reply Paid 85157
Australia Square NSW 1214

☎ 13 13 31
🌐 onlineinvesting.westpac.com.au