



Share trading through Westpac Securities is provided by Australian Investment Exchange Ltd (the Participant) ABN 71 076 515 930 AFSL 241400, a Participant of the ASX Group.

**Instructions:** Please complete this form if you wish to authorise a Director to become an applicant on the account and to operate the broking account on behalf of the Company.

### Account Details

Account Name

Account Number

ACN

### Director Details

Title (e.g. Mr, Ms etc)

Given Name(s)

Surname

Residential Address

Postcode

Postal Address

 Same as residential address

Postcode

Home Phone Number

 ( )

Work Phone Number

 ( )

Mobile Phone Number

Facsimile Number

 ( )

Date of Birth:

 DD / MM / YY

Email Address (must be completed for internet trading access)

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

Is the Director a Beneficial Owner of the company? (Own 25% or more of the shares in the Company, either directly or indirectly)

 Yes  No (if no, please answer next question)

If not, is responsible for the strategic or financial decisions of the Company (that is, the individual who exercises primary control over the company because of the position they hold, e.g. the CEO, Managing Director, or equivalent.)

 Yes  No

### Proof of Identification

Is the Director an existing Westpac Customer?

 Yes  No

If Yes: Please select and complete **ONE** of the following forms of identification.

**Note:** 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

 Westpac Securities Account Number

If **No:** To meet our obligations with the Anti Money Laundering/ Counter-Terrorism Financing Act 2006, we must identify customers before we provide a service. If the Director does not have an account with Westpac, they need to send us original certified copies of their identification documents.

**Note:** Please find a list of acceptable identification documents and a list of eligible persons who can certify your documents in Explanatory note 4 of this form.

### For New Company Director/Secretary

I consent to the collection, use, disclosure and storage of my personal information as set out in the Westpac Online Investing “House Rules” document, as amended from time to time.

#### Signature(s)

Signature of New Director

	Date: DD / MM / YY
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Signature of Account holder (1) / Director

	Date: DD / MM / YY
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Signature of Account holder (2) / Director / Secretary

	Date: DD / MM / YY
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Please mail the **original** completed form to:

#### Westpac Securities

Reply Paid 85157  
Australia Square  
NSW 1214

#### Privacy Statement:

Your personal information is collected to process your application, provide you with your product or service, and manage your product or service. The Westpac privacy policy (available at [westpac.com.au](http://westpac.com.au) or by calling 132 032) and the Participant’s privacy policy (available at [westpac.com.au/onlineinvesting](http://westpac.com.au/onlineinvesting)) contain information about how your personal information is handled, including how to access your information, seek corrections and make complaints.

## Explanatory Note

### 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)

- Salary/Wages
- Commission
- Bonus
- Business income/earnings
- Business profits
- Rental income
- Superannuation/pension
- Loan
- Insurance payment
- Compensation payment
- Government benefits
- Sale of assets
- Liquidation of assets
- Redundancy
- Inheritance
- Gift/Donation
- Windfall
- Tax refund
- Additional Sources (Provide Sources)

### 2. Source of Wealth

The origin of your financial standing or total net worth (i.e. how you have generated your wealth).

Please select one of these options:

- Business income/earnings
- Business profits
- Investment income/earnings
- Corporate investments earnings
- Rental income
- Insurance payment
- Compensation payment
- Owns real estate/property
- Sale of assets
- Liquidation of assets
- Mergers & Acquisitions
- Controlled money account
- Gift/Donation
- Choose not to disclose
- Additional Sources (Provide a value)

### 3. EMPLOYMENT STATUS

- Retired
- Casual
- Full Time
- Independent Contractor
- Other (Home Duties/Work Compensation)
- Part Time
- Dependent Contractor
- Self Employed
- Social Security Recipient
- Student
- Temporary
- Unemployed

### 4. 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.

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)
- Medicare card
- Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages

**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

**List of eligible persons who can certify identification documents**

Each original certified photo copy(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.