

Please use this form if you wish to open an **OpenMarkets trading account** in the name of a:

- COMPANY or BUSINESS
ASSOCIATION or PARTNERSHIP

[Need help?](#)
Contact Client Services
1300 769 433
service@openmarkets.com.au

Applications can be returned to us:

Via Email to: service@openmarkets.com.au

***Australian residents only**

Along with:

- A copy of your **driver's licence(s)** (or see other options outlined in the Appendix).
- A copy of your **Company Extract** that confirms director name(s)

Via Mail to: OpenMarkets Australia Ltd
Suite 3, 5/500 Collins Street
Melbourne VIC 3000

Along with:

- A **certified** copy of your **driver's licence(s)** (or see other options outlined in the Appendix).
- A copy of your **Company Extract** that confirms director name(s)
- ****International applicants**** please refer to the Appendix for acceptable forms of identification documents.

VERIFICATION OF YOUR IDENTITY

The details provided in this application will be used to conduct an electronic verification of your identity using a credit reporting agency. Your identification documentation e.g. driver's licence will also be verified to ensure its validity. A 100 point score is required. If you do not pass this check you will be contacted by Openmarkets with further requirements.

Choice of Platform

Choose to trade using one or more of following trading platforms:

Platform	Cost per month	Suited to
Equix	FREE	Casual to active investors
Equix Plus	\$99	Active investors / traders
IRESS Trader	\$190	Active investors / traders
IRESS ViewPoint	\$190	Active investors / traders
IRESS Professional	\$1020	Active & professional traders



Linked Cash Account– for trade settlement

To settle transactions on your OpenMarkets account you will need a Cash Account with one of our approved providers, unless you wish to settle your account using a margin loan.

Providers	Cash Product	New Cash Account	Existing Cash Account
Macquarie	Cash Management Account	Indicate in this application	Macquarie Third Party Authority Form
OpenMarkets-ANZ*	Cashactive (closed trust account)	Indicate in this application	N/A

*The Cashactive is closed trust account operated by OpenMarkets. It is not a retail ANZ bank product. International applicants please note: Cashactive is the only option available for overseas investors, unless you already have an established account with one of the above providers.

New Cash Account required

If you do not have an existing Cash Account, we can either:

1. Pass on the information in this application to initiate a new online **Macquarie Cash Management Account (CMA) application** on your behalf (an activation link will then be emailed to all applicants)
2. OR establish an **OpenMarkets-ANZ Cashactive Account (a closed trust account)** on your behalf. For information on how this account operates visit openmarkets.com.au/anz-cashactive-account

Existing Cash Account

If you have an existing Cash Account in the same name, simply provide your BSB/Account details in Section 5 of this application and **download/complete the corresponding third party authority form below** and attach to this form.

Communication from the Banks ****New Cash Accounts only****

After OpenMarkets has submitted your application on your behalf to your provider of choice, you will receive a Welcome Letter directly from the bank along with your internet banking details. See below for bank's communications process.

Providers	Welcome Letter with internet banking details	Internet banking PIN / Password
Macquarie	Mailed to your residential address	Mailed to your residential address
ANZ

Using your margin loan – for trade settlement

To use an existing margin loan to settle transactions on your account, please provide the details in Section 4 and **complete the corresponding third party authority form below** and attach to this form. This authority allows OpenMarkets to check your stock and cash positions to minimise settlement failure.

Note: a linked cash account is not required for margin loan trading applications.

Providers	Third Party Authority Form
Leveraged Margin Lending	Leveraged Third Party Authority Form
NAB Margin Lending	NAB Third Party Authority Form
All other margin lenders	Margin Lending Authority Letter

Use of Email – for logins and contract notes

At least one email address is required to receive contract notes and to establish at least one trading platform login. Additional emails can be provided for other applicants but it must be the person's own unique email address.

What happens next?

1. Once all documents are received and you have satisfied our identification requirements, your application will be processed within 2-4 business days. Please note HIN transfers may take an additional 3 days to process.
2. **For applications requiring a new Macquarie CMA only:** **IMPORTANT STEP!**
An activation email will be sent to each applicant with a link to review your application online and consent to Macquarie's terms and conditions. To avoid delays, please action this ASAP.
For all other new CMA applications, the above does not apply.
3. A **Welcome Email** will be sent to all applicants who have provided an email address with the details of your OpenMarkets trading account, cash account details and platform login.
4. Transfer funds into your new or existing cash account at least 24 hours prior to trading.
5. Log in to your chosen platform and start trading!

Thank you for choosing OpenMarkets!
For assistance call 1300 769 433 or email service@openmarkets.com.au

Please note: All fields in each applicable section are mandatory. To avoid delays processing your application please ensure all required fields are completed. V302092019

Section 1 - Company Details

Mandatory

Company type Proprietary / Private Public Other

Company name

Industry type

Country of incorporation

ACN / ARBN / Foreign Registration Number

Company Tax File Number^

OR Exemption Code

Company registered address

Physical place of business (Not a P.O Box)

If a registered foreign company may provide full name and address of local agent

Same as above

Is the company organised or incorporated in the U.S.? Yes No

Is the company a financial institution? Yes No

If you have answered **Yes** to any of the above, you must also complete the **FATCA Supplementary Declaration Form** available at openmarkets.com.au/form-library and attach to this application.

Main Source(s) of Funds for Investment

Employment Superannuation savings Financial investments Inheritance/gift

Other (please provide a brief description)

*Quotation of your Australian tax file number(s) (TFN) is optional. OpenMarkets is an Australian financial service licensee that is authorised by law to request your TFN. You are not required to provide your TFN. If OpenMarkets is unable to quote your tax file number or exemption to registries, they may be obliged to take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled and you may wish to seek independent advice in this regard. By providing a TFN and signing the Application Form you:
(a) appoint OpenMarkets as your agent and request and authorise OpenMarkets to:
(i) provide your Tax File Number to all investment bodies with whom OpenMarkets acts on your behalf;
(ii) apply your TFN to any investment or account which you may in future make or open with or through OpenMarkets (and its related bodies corporate) to which your TFN may lawfully be applied; and
(b) acknowledge that this authority will apply until such time as it is revoked in writing to OpenMarkets.

Section 2 - Applicant Details

Director 1 (primary contact)

Title Existing OpenMarkets account no. (if applicable)

Given name(s) Gender Male Female
Include middle name

Surname Date of birth

Residential address
(Not a P.O. Box)

Occupation Industry

Email* Mobile

*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade Confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade Confirmations to be sent to this address.

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	Tax resident
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Director 2 or Company Secretary (if applicable)

Title Existing OpenMarkets account no. (if applicable)

Given name(s) Gender Male Female
Include middle name

Surname Date of birth

Residential address
(Not a P.O. Box)

Occupation Industry

Email* Mobile

*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade Confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade Confirmations to be sent to this address.

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	Tax resident
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For Director 3 please photocopy this page and complete/attach to application. Please also sign in Section 7.

Section 4 - CHESS Sponsorship & Settlement

Mandatory

All trading accounts with OpenMarkets will be CHESS sponsored by us (your broker) unless you wish to settle via a Margin Loan/Wrap/Custodian.

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**.

CHESS Registration Address

same as Applicant 1

This address will be registered at CHESS and the relevant share registries, and will be used as the mailing address for any correspondence unless you opt to provide your email address below.

Would you like OpenMarkets to provide an email address to CHESS and the relevant share registries for the purpose of receiving any correspondence via email? (Note not all share registries may accept this instruction).

None Yes, same as Applicant 1 Yes, other

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 details.

Current sponsoring broker	Broker PID <small>(if known)</small>
Account name <small>(as at other broker)</small>	
Account designation	
Registration address <small>(as at other broker)</small>	
Holder Identification Number (HIN) <small>(Max 11 digits)</small>	

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

Director 1 <small>(Print name)</small>	Signature X	Date
Director 2 <small>(Print name)</small>	Signature X	Date
Director 3/ Company Secretary <small>(Print name)</small>	Signature X	Date

OR Settle using a Margin Loan

Complete only if you wish to settle transactions through an existing margin loan. Please also complete the provider's corresponding **third party authority form** available at openmarkets.com.au/form-library

Account name	Provider <small>e.g. Leveraged</small>
Facility number	HIN <small>(if applicable)</small>

Section 5 - Linked Cash Account

Not applicable for Margin Loan Accounts

To settle transactions on your OpenMarkets account you will need to have either a Macquarie Cash Management Account or an OpenMarkets ANZ Cashactive Account (a closed trust account).

If you do not have an existing account with either of these providers we can help establish one for you.

New Cash Account required

Please select your preferred provider:

Macquarie - We will pass on the information in this application to initiate a new online Macquarie CMA application where you will then receive an activation email to finalise the application online.

OpenMarkets ANZ Cashactive Trust Account (a closed trust account)

For more information about how this account operates visit [openmarkets.com.au/ANZ Cashactive](https://openmarkets.com.au/ANZ_Cashactive)

Nominated Bank Account (for funds transfer)

Please provide the details of a designated bank account (in the same name) for OpenMarkets to transfer funds to, should you wish to withdraw funds from your OpenMarkets ANZ Cashactive account.

Account name _____

BSB _____

Account number _____

Please ensure to provide us with a copy of a most recent statement (within three months) for us to verify this account.

Existing Cash Account

Please provide the details of the cash account that will be used to settle transactions on this account.*

Provider Macquarie
Cash Management Account

Account name _____

BSB _____

Account number _____

***Third party authority access required**

Please ensure to grant OpenMarkets with third party authority access by completing the provider's corresponding authority form located at openmarkets.com.au/form-library

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 (DRPs)

This instruction only applies to holdings sponsored by OpenMarkets in CHESS. Note that by providing this instruction, it may override your participation in any existing Dividend Reinvestment Plans or Bonus Share Plans. There are also no guarantees that all share registries will accept these instructions from OpenMarkets.

Section 6 - Trading platform

Please choose your trading platform by indicating below

Applicant 1	Applicant 2	Platform	Cost per month	Suited to
<input type="checkbox"/>	<input type="checkbox"/>	Equix	FREE	Long term / semi-active investors
		Equix Plus	\$99	Active investors / traders
		IRESS TRADER	\$190*	Active investors / traders
<input type="checkbox"/>	<input type="checkbox"/>	IRESS VIEWPOINT	\$190*	Active & professional traders
<input type="checkbox"/>	<input type="checkbox"/>	IRESS PROFESSIONAL	\$1020*	Active & professional traders

*Fee charged monthly in arrears via direct debit/credit card. [Please complete the direct debit form.](#)

Section 7 - Client Declaration & Signature

By signing below I acknowledge that I have received (in hard copy or where I have received this form electronically I have accessed by hyperlink) read and understood and the Applicant agrees to be bound by (and further disclosures or agreements referred to therein).

- [OpenMarkets Client Agreement](#) (comprising Part 1 - Equities Terms and Conditions and Part 2 - CHESS Sponsorship Agreement)
- [OpenMarkets Financial Services Guide](#)
- [OpenMarkets Privacy Policy](#)
- the authorisations and agreements made in this account application form relating to electronic trade confirmations, your Tax File Number and electronic verification of identity

I also acknowledge and declare that all the information provided in this Application Form is true and correct and that I am over 18 years of age and without legal disability. If this application is signed under Power of Attorney, the attorney declares they have not received notice of any revocation or limitation of that power.

By making this application you consent to OpenMarkets conducting an electronic verification of your identity on the terms detailed in our Client Agreement. If you do not consent to electronic verification of your identity, you will not be able to proceed with this application.

Director 1 <small>(Print name)</small>	Signature X	Date
Director 2 <small>(Print name)</small>	Signature X	Date
Director 3/ Company Secretary <small>(Print name)</small>	Signature X	Date

OpenMarkets Use Only

Upon the acceptance of this application, the opening of an account for the Applicant(s) by OpenMarkets (and if the applicant(s) has agreed to be CHESS sponsored, upon the issue of a HIN), OpenMarkets will be taken to have agreed to be bound by and to have signed the OpenMarkets Client Agreement (including CHESS Sponsorship Agreement).

Important note: All fields in each applicable section are mandatory. To avoid delays processing your application please ensure all required fields are completed.

Common fields left blank:

- Email address
- Tax residency status
- CHESS registration address
- Cash Account (no selection)
- Income direction (for dividends)
- Platform not selected
- Beneficiaries owning 25% or more
- Date of signatures

REMEMBER TO PROVIDE A COPY OF YOUR DRIVER'S LICENCE(S) (OR SEE NEXT PAGE FOR OTHER OPTIONS) PLUS A COMPANY EXTRACT ALONG WITH THIS APPLICATION

OpenMarkets Australia Limited

Appendix: identity documentation & certification

Applicants who do not consent to electronic verification OR who fail the electronic verification check, will need to provide CERTIFIED COPIES of identification to OpenMarkets, as outlined below. Non-English documents must be accompanied by an English translation prepared by an accredited translator.

Please mail your identification documents along with this application (and applicable CMA applications) to:

OpenMarkets Australia
Level 5, Suite 3, 500 Collins Street
Melbourne VIC 3000

Acceptable forms of identification

Acceptable document combinations are:

Domestic

- One category A (where the ID provided is a DL)
- Two category A
- One category A and one category B
- One category A and one category C

International

- Two category A (one of which must be a passport) and one category B

Category A - An original or certified copy of a government issued photographic identification document

- A driver's licence or permit issued under a law of a State or Territory or equivalent authority of a foreign country that contains a photograph of the person in whose name the document is issued and date of birth (must not be expired). The front and back of the driver's licence must be provided.
- a passport issued by the government containing a photograph of the person in whose name the document is issued and date of birth (Australian passports may have expired within the last two years but not have been cancelled. All other passports must be current)
- a passport or a similar document issued for the purpose of international travel, that:
 - contains a photograph and the signature of the person in whose name the document is issued;
 - is issued by a foreign government; and
 - if it is written in a language that is not understood by the person carrying out the verification - is accompanied by an English translation prepared by an accredited translator
- a national identity card issued for the purpose of identification, that:
 - contains a photograph and the signature of the person in whose name the document is issued;
 - is issued by a foreign government.

Category B - An original or certified copy of evidence of address only

- a tax assessment notice issued by the ATO within the preceding twelve months;
- a government benefits notice within the preceding twelve months;
- a utility bill within the preceding three months;
- a local government rates notice within the preceding three months;
- a certified copy of the Hukou household registration book (Chinese clients only).

Appendix: identity documentation & certification (cont.)

Category C - An original or certified copy of a government issued non- photographic

Identification document (must not be expired)

- a card issued under a law of a State or Territory for the purpose of proving the person's age which contains a photograph of the person in whose name the document is issued and date of birth.
- a Medicare card;

CERTIFYING YOUR DOCUMENTS

All copies of ID submitted to us must be certified by an approved certifier. We cannot accept copies of certified copies (where the certifier's signature is not an original). You can have copies of your ID certified by any one of the following:

In Australia

- Legal professions: Legal practitioner, Patent attorney, Trademarks attorney
- Court positions: Justice of the Peace, Judge, Magistrate, Registrar, or Deputy Registrar, Clerk, Master of a court
- Accountant (member of ICA, ASA, NIA or CPA, ATMA, NTAA)
- Commissioner for Affidavits, or Commissioner for Declarations (dependent on jurisdictions)
- Notary public
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees
- An officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees.
- Australia Post employee
- Police

Outside Australia

- Justice of the Peace
- Notary public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more years of continuous service with one or more licensees;
- An officer with, or a credit representative of, a holder of an Australian credit licence, having two or more years of continuous service with one or more licensees.

Only original certified copies of ID will be accepted