

One-off sale form (issuer sponsored holding)

You can use this form to sell up to three holdings, however all holdings must be registered the same name (name and address is identical). If holdings are registered differently, you must correct the details first with the share registry.

Australian applicants:

Please return this form via email to hello@opentrader.com.au along with:

- A clear copy of your bank statement (dated within the last 3 months, displaying full name, address and bank account details)
- A copy of your holding statement(s) or latest dividend statement(s) (dated within the last 3 months)
- A clear copy of your current ID (driver's licence or passport)

Please see the appendix at the end of this form for more information on acceptable ID documents.

International applicants:

Please post this form and the following documentation:

- A clear copy of your bank statement (dated within the last 3 months, displaying full name, address and bank account details)
- A copy of your holding statement(s) or latest dividend statement(s) (dated within the last 3 months)
- A certified copy of your International Passport
- A certified copy of your International Driver's Licence or National ID card

If neither of the above contain your residential address, then we'll also need:

- A certified copy of a utility bill (gas, water or electricity) - dated within the last 3 months

Please post the form and the above documentation to us at:

**Opentrader,
Level 40, 225 George Street,
Sydney, NSW, 2000,
Australia**

Sometimes, there may be a mismatch between the information you've given us and the information that's on the database we verify against. If this happens, we'll get in touch to ask you for some different ID / documentation to get your account sorted.

Please see the appendix at the end of this form for more information on acceptable ID documents and the certification process.

Our process

In order to sell your Issuer holdings we need to transfer it onto a new CHESS sponsored Holder Identification Number (HIN) in your name. By signing this form you acknowledge this process, and understand and agree to CHESS sponsorship. Multiple holdings You can sell up to three holdings registered in the exact same name(s) using this form. For additional holdings please provide an instruction in a cover letter and attach copies of all holding statements.

Important reading

Before you submit this form you must have read and understood the following Opentrader documents:

- [Client Agreement](#)
- [Financial Services Guide](#)
- [Privacy Policy](#)

How long will it take?

1. Once received and if completed correctly, your application will be processed within 5 business days
2. Settlement takes place on 2 business days after the trade date when funds are credited into the nominated bankaccount, typically clearing the following day.
3. International transfers may take longer.

Use this form if you wish to sell a listed security that is Issuer Sponsored in an individual or joint name. Note: Brokerage charge is \$200 per trade/parcel of shares (up to \$15,000 trade value) or 1.5% (including GST). Deposits into an overseas bankaccount incur an additional cost of AUD\$100.

Holding and registration details

Provide the registered name/entity and address of the Issuer holding (as per holding or dividend statement):

REGISTERED NAME(S)

ACCOUNT DESIGNATION (IF APPLICABLE)

 AC

REGISTERED ADDRESS

I/we authorise Opentrader to sell:

FULL NAME OF SECURITY/STOCK

STOCK CODE (E.G. BHP)

QUANTITY (IN NUMBERS)

QUANTITY (IN WORDS)

SECURITY REFERENCE NUMBER (E.G. I0009876555)

Additional holdings to sell (registered in the same name and address)

I/we authorise Opentrader to sell:

FULL NAME OF SECURITY/STOCK

STOCK CODE (E.G. BHP)

QUANTITY (IN NUMBERS)

QUANTITY (IN WORDS)

SECURITY REFERENCE NUMBER (E.G. I0009876555)

I/we authorise Opentrader to sell:

FULL NAME OF SECURITY/STOCK

STOCK CODE (E.G. BHP)

QUANTITY (IN NUMBERS)

QUANTITY (IN WORDS)

SECURITY REFERENCE NUMBER (E.G. I0009876555)

Shareholder details

Shareholder 1 (primary contact)

*FULL NAME

*DATE OF BIRTH (DD/MM/YYYY)

*RESIDENTIAL ADDRESS (NOT A PO BOX)

MOBILE

*EMAIL (MUST BE YOUR OWN EMAIL ADDRESS)

*OCCUPATION

Provide the registered name/entity and address of the Issuer holding (as per holding or dividend statement):

COUNTRY 1

CITIZEN

RESIDES IN

TAX RESIDENT

TAX FILE NUMBER/TAX ID^

COUNTRY 2

TAX FILE NUMBER/TAX ID^

US tax residents must also complete a [W-9 form](#) and attach to this application. For additional countries of citizenship etc, please provide details on a separate sheet of paper.

Consent to electronic verification? (Emailed applications only)

Yes, I consent to an electronic verification identification check.

PREVIOUS RESIDENTIAL ADDRESS

Shareholder 2 (if applicable)

*FULL NAME

*DATE OF BIRTH (DD/MM/YYYY)

*RESIDENTIAL ADDRESS (NOT A PO BOX)

MOBILE

EMAIL (OPTIONAL)

*OCCUPATION

Provide the registered name/entity and address of the Issuer holding (as per holding or dividend statement):

COUNTRY 1

CITIZEN

RESIDES IN

TAX RESIDENT

TAX FILE NUMBER/TAX ID

COUNTRY 2

TAX FILE NUMBER/TAX ID

US tax residents must also complete a [W-9 form](#) and attach to this application. For additional countries of citizenship etc, please provide details on a separate sheet of paper.

Consent to electronic verification? (Emailed applications only)

Yes, I consent to an electronic verification identification check.

PREVIOUS RESIDENTIAL ADDRESS

For shareholder 3 please photocopy this page, complete, and attach to this application.

Company details (proprietary companies only if applicable)

COMPANY NAME

ABN/ACN

INDUSTRY

REGISTERED ADDRESS (NOT A PO BOX)

PRINCIPAL PLACE OF BUSINESS (IF ANY)

SAME AS ABOVE

Are there additional directors who are not shareholders on this account?

Yes

No

If 'yes', please provide names below:

DIRECTOR FULL NAME 1

DIRECTOR FULL NAME 2

DIRECTOR FULL NAME 3

DIRECTOR FULL NAME 4

Trust details (registered in Australia only if applicable)

Type of trust

Unregulated (e.g. Family trust)

Regulated (e.g. SMSF)

FULL NAME OF TRUST

TRUST ABN

TRUST TFN

Was the trust established with a 'settled sum' of \$10,000 or more? (Unregulated trusts only)

IF YES, PROVIDE FULL NAME OF SETTLOR:

Beneficial ownership (Company and trust holders only)

Provide details of the individuals that own 25% or more of the total shareholding of the entity (either directly or indirectly), or who ultimately control the entity e.g. CEO or Managing Director.

Beneficiary/controller 1

Same as shareholder 1

FULL NAME

DATE OF BIRTH (DD/MM/YYYY)

RESIDENTIAL ADDRESS

Beneficiary/controller 2

Same as shareholder 2

FULL NAME

DATE OF BIRTH (DD/MM/YYYY)

RESIDENTIAL ADDRESS

Beneficiary/controller 3

Same as shareholder 3

FULL NAME

DATE OF BIRTH (DD/MM/YYYY)

RESIDENTIAL ADDRESS

OR CLASS OF BENEFICIARIES: (GROUP OF BENEFICIARIES RATHER THAN INDIVIDUAL NAMES)

For additional beneficiaries/controllers or where a beneficiary is a group or entity, and the directors of that entity are different to the shareholders on this application, please provide the individuals' details on a separate sheet of paper and attach to this form.

Direct credit authority

I/We authorise and request Opentrader to credit the sale proceeds into the bank account nominated below.

****Only a bank account held in the name(s) of the shareholder(s) can be accepted****

Please note: deposits into an overseas bank incur an additional cost of AUD\$100.

ACCOUNT NAME

BSB/SORT CODE/BRANCH IDENTIFIER

ACCOUNT NO/IBAN

SWIFT CODE (INTERNATIONAL PAYMENTS ONLY)

NAME OF FINANCIAL INSTITUTION OR BANK

ADDRESS OF FINANCIAL INSTITUTION OR BANK (INTERNATIONAL PAYMENTS ONLY)

Client agreement and declaration

By signing this form I/we authorise Opentrader to sell the security listed in this form (and any additional holdings) and that I/we have read, understood and agree to the following Opentrader documents which can be found on our [website](#):

I/We also understand that unless we have indicated otherwise in this application, the holding(s) will be sold at market on the day this application is processed.

I/we also acknowledge that in order to facilitate this sale request Openmarkets will CHESS Sponsor my/our one-off sale account. I/we thereby acknowledge that I/we have read and understood Part 2 of the Client Agreement that relates to CHESS Sponsorship. .

- [Client Agreement](#)
- [Financial Services Guide](#)
- [Best Execution Policy](#)

SHAREHOLDER NAME 1

SIGNATURE

DATE (DD/MM/YY)

SHAREHOLDER NAME 2

SIGNATURE

DATE (DD/MM/YY)

SHAREHOLDER NAME 3

SIGNATURE

DATE (DD/MM/YY)

For unregulated trust applications, e.g. family trusts, you will need to mail to Openmarkets an original certified copy of the Trust Deed.

Appendix

Domestic customers

If you are required to, you may email your ID documents hello@opentrader.com.au

Acceptable document combinations are:

- One category A (where the ID provided is a Driver's licence)
- Two category A
- One category A and one category B
- One category A and one category C

CATEGORY A - A COPY OF A GOVERNMENT ISSUED PHOTOGRAPHIC IDENTIFICATION DOCUMENT

It is not acceptable to produce two forms of the same ID type, such as both an Australian and a British passport.

- A current Australian driver's licence (both the front and back of the licence must be provided);
- An Australian passport issued by the government (may have expired within the last two years but not have been cancelled).

CATEGORY B – A COPY OF EVIDENCE OF ADDRESS

- 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 (for example gas, water, electricity) within the preceding three months;
- A bank statement within the preceding three months;
- A local government rates notice within the preceding three months;

CATEGORY C - A COPY OF GOVERNMENT ISSUED IDENTIFICATION DOCUMENT

- An Australian proof of age card 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;
- An Australian Medicare card;
- Australian Marriage Certificate issued by a State/Territory Registry of Births, Deaths and Marriages;
- A government issued firearms licence.

Electronic verification

To make sure your account is opened safely, we verify your ID using digital verification service, Green ID

Appendix

Onboarding (international customers)

Please send us the original certified copies of your ID documents along with your application form in the post to us at:

Opentrader,
Level 40, 225 George Street,
Sydney, NSW, 2000,
Australia

Certifying documents

Please review our certification requirements carefully.

Translations

If your ID documents are in a language other than English, you'll also need to have the documents translated by a NAATI recognised translator.

Acceptable document combinations are:

- Two category A (which contains your current residential address); or
- One category A (must be passport) and one category B, which contains your current residential address

CATEGORY A - AN ORIGINAL CERTIFIED COPY OF A GOVERNMENT ISSUED PHOTOGRAPHIC IDENTIFICATION DOCUMENT

It is not acceptable to produce two forms of the same ID type, such as both an Australian and a British passport.

- A driver's licence or permit issued under a law of a State or Territory or equivalent authority of a foreign country. It must contain a photograph of the person in whose name the document is issued, full name, date of birth and signature. It must not be expired;
- A foreign passport issued by a foreign government for the purpose of international travel. It must contain a photograph of the person in whose name the document is issued, full name, date of birth and signature. Australian passports may have expired within the last two years but not have been cancelled. All other passports must be current;
- A national identity card issued for the purpose of identification. It must contain a photograph of the person in whose name the document is issued, full name, date of birth and signature.

CATEGORY B - AN ORIGINAL CERTIFIED COPY OF EVIDENCE OF ADDRESS

- A tax assessment notice issued by the tax office within the preceding twelve months;
- A government benefits notice within the preceding twelve months;
- A utility bill (for example gas, water, electricity) within the preceding three months;
- A local government rates notice within the preceding three months;
- A Hukou household registration book (Chinese clients only).

CATEGORY C - A COPY OF GOVERNMENT ISSUED IDENTIFICATION DOCUMENT

- An Australian proof of age card 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;
- An Australian Medicare card;
- An Australian Marriage Certificate issued by a State/Territory Registry of Births, Deaths and Marriages;
- A government issued firearms licence.

Electronic verification

To make sure your account is opened safely, we verify your ID using digital verification service, Green ID

Appendix

Certifying your documents

A certified copy of a document is...

A photocopy of the original document that has been certified as a true copy of the original document by an approved certifier.

Our requirements

All certification must be dated within the last 3 months. It must show the original stamp or full name, capacity and signature of the certifier. In other words, it must be the original certified copy, and not a further photocopy of the certified copy.

Take the original document and photocopied document to the certifier:

- The certifier should be familiar with this process, but it generally involves the certifier:
- Checking & verifying the original document (e.g. passport)
- Writing "Certified to be a true copy of the original seen by me" on the photocopy of the document
- Signing and dating the photocopy of the document
- Printing their name under the signature (and / or stamping) on the photocopy of the document
- Adding their occupation, address and telephone number on the photocopy of the document

And there you have it - an original certified copy of your document

Approved certifier list

You can have your documents certified by any one of the following:

If you live in Australia:

- Accountant (member of ICA, ASA, NIA or CPA, ATMA, NTAA)
- Legal professionals: Legal practitioner, Patent attorney, Trademarks attorney
- Court positions: Justice of the Peace, Judge, Magistrate, Registrar, or Deputy Registrar, Clerk, Master of a court
- 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
- Australian Post Office employee
- Police Officer
- Pharmacist

If you live outside of Australia:

- Legal professionals: Legal practitioner, Patent attorney, Trademarks attorney
- 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