

Issuer Sponsored Holding – USE THIS FORM

These are holdings that are:

- Sponsored by a share registry and not a broker
- Identified by an individual Securities Reference Number (SRN) which begins with an “I”

Broker Sponsored Holding – DO NOT USE THIS FORM

These are holdings that are:

- CHESS sponsored by a broker
- Attached to a Holder Identification Number (HIN) that begins with an “X”

To sell this type of holding, contact us on 1300 769 433

Selling an Issuer Sponsored Holding

Use this form if you wish to sell an Issuer Sponsored listed security. Complete, sign and return this form:

Via Mail to: OpenMarkets Australia
Ltd Level 5, 500 Collins
Street Melbourne VIC
3000

along with:

- a copy of your holding statement or latest dividend statement
- an original certified copy of each shareholder’s driver’s licence and passport, or driver’s licence and Medicare card (see Appendix)
- a copy of a bill no more than 3 months’ old
- a copy of a bank statement

Via email to: service@openmarkets.com.au

Australian applicants only

along with:

- a copy of your holding statement or latest dividend statement
- a copy of each shareholder’s driver’s licence and passport, or licence and medicare card (see Appendix)
- a copy of a bank statement

[Need help?](#)

Contact Client Services
service@openmarkets.com.au

ONLINE ID CHECK: all shareholders identification and ID documents will be verified electronically. If you are submitting your application via email and do not pass this check you will need to mail to us a certified copy of your ID documents as outlined above. We will notify you if this happens.

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.

Our fees

Min. \$200 or 1.5% (above \$15,000) per holding. Deposits into an overseas bank account incur an additional AUD\$100.

Important reading

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

[1. Client Agreement](#)

[2. Financial Services Guide](#)

[3. Privacy Policy](#)

All of which can be found at our website [Forms](#) page.

How long does 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 bank account, typically clearing the following day.

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 bank an additional AUD\$100.

HOLDING & REGISTRATION DETAILS

REGISTRATION DETAILS

Provide the name/entity and address that the holding(s) are registered in (as per holding or dividend statement):

Registered Name(s)		
Account Designation (if applicable)	<	A/C>
Registered Address		

AUTHORISATION TO SELL

The below holding(s) will be sold the current market price at the time this application is processed.

I/we authorise OpenMarkets 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 OpenMarkets 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 OpenMarkets 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 MANDATORY

SHAREHOLDER 1 (Primary Contact) MANDATORY

*Full Name

*Date Of Birth

*Residential Address
Not a PO Box

Mobile

*Email Must be your own email address

*Occupation

Please provide details of countries in which you are citizen, resident and/or tax resident:

Country	Citizen	Resides in	Tax Resident	Tax File Number/Tax ID^
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

For additional countries, please provide details on a separate sheet of paper.

CONSENT TO ELECTRONIC VERIFICATION EMAILED APPLICATIONS ONLY

If you are emailing in this application, please consent to an electronic identification check.

Yes, I consent to an electronic verification check with a credit reporting agency.

Previous residential address

If less than 3 years at your current address, providing this can assist in passing the check.

SHAREHOLDER 2 IF APPLICABLE

*Full Name

*Date Of Birth

*Residential Address
Not a PO Box

Email *optional*

*Occupation

Please provide details of countries in which you are citizen, resident and/or tax resident:

Country	Citizen	Resides in	Tax Resident	Tax File Number/Tax ID
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

For additional countries, please provide details on a separate sheet of paper.

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Yes, I consent to an electronic verification check with a credit reporting agency.

Previous residential address

If less than 3 years at your current address, providing this can assist in passing the check.

FOR SHAREHOLDER 3 PLEASE PHOTOCOPY THIS PAGE, COMPLETE AND ATTACH TO THIS APPLICATION.

COMPANY DETAILS (proprietary companies only)	IF REGISTERED AS A COMPANY
Company Name	<input style="width: 90%;" type="text"/>
ABN/ACN	<input style="width: 45%;" type="text"/> Industry <input style="width: 45%;" type="text"/>
Registered Address <small>Not a PO Box</small>	<input style="width: 90%;" type="text"/>
Principal Place of Business (If any) <small>same as above</small>	<input style="width: 90%;" type="text"/>
Are there additional directors who are not shareholders on this account? If <u>Yes</u> , please provide names below:	
1. Full Name	<input style="width: 45%;" type="text"/>
2. Full Name	<input style="width: 45%;" type="text"/>
If there are more directors, please provide on a separate sheet.	

TRUST DETAILS (registered in Australia only)	IF REGISTERED IN THE NAME OF A TRUST
Type of Trust	Unregulated (e.g. Family Trust) Regulated (e.g. SMSF)
Full name of Trust	<input style="width: 90%;" type="text"/>
Trust ABN	^Trust TFN <input style="width: 45%;" type="text"/>
Was the trust established with a 'settled sum' of \$10,000 or more? UNREGULATED TRUSTS ONLY	
If Yes, provide full name of settlor: <input style="width: 80%;" type="text"/>	

BENEFICIAL OWNERSHIP	COMPANY & TRUST SHAREHOLDERS ONLY
List 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 1	Full Name: <input style="width: 90%;" type="text"/>
<small>same as Trustee 1</small>	Residential address: <input style="width: 90%;" type="text"/>
	DOB: <input style="width: 40%;" type="text"/>
Beneficiary 2	Full Name: <input style="width: 90%;" type="text"/>
<small>same as Trustee 2</small>	Residential address: <input style="width: 90%;" type="text"/>
	DOB: <input style="width: 40%;" type="text"/>
Beneficiary 3	Full Name: <input style="width: 90%;" type="text"/>
<small>same as Trustee 3</small>	Residential address: <input style="width: 90%;" type="text"/>
	DOB: <input style="width: 40%;" type="text"/>
OR Class of Beneficiaries: (Group of beneficiaries rather than individual names)	<input style="width: 90%;" type="text"/>
For additional beneficiaries 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

MANDATORY

I/We authorise and request OpenMarkets 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****

Account Name	<input style="width: 100%;" type="text"/>
BSB/Sort Code/Branch Identifier	<input style="width: 100%;" type="text"/>
Account No/IBAN	<input style="width: 100%;" type="text"/>
SWIFT Code <small>(International Payments only)</small>	<input style="width: 100%;" type="text"/>
Name of Financial Institution or Bank	<input style="width: 100%;" type="text"/>
Address of Financial Institution or Bank <small>(International Payments only)</small>	<input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>

CLIENT AGREEMENT & DECLARATION

MANDATORY

By signing this form I/We authorise OpenMarkets to sell the securities listed in this form and that I/we have read, understood and agree to the terms and conditions outlined in the:

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

All of which can be found at our website [Forms](#) page.

CHESS SPONSORSHIP AGREEMENT

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. The Terms & Conditions – attached to this form

Shareholder Name 1 <small>(PLEASE PRINT)</small>	<input style="width: 100%;" type="text"/>	Signature	<input checked="" type="checkbox"/>
Shareholder Name 2 <small>(PLEASE PRINT)</small>	<input style="width: 100%;" type="text"/>	Signature	<input checked="" type="checkbox"/>
Shareholder Name 3 <small>(PLEASE PRINT)</small>	<input style="width: 100%;" type="text"/>	Signature	<input checked="" type="checkbox"/>
Date	<input style="width: 100%;" type="text"/>		

FOR UNREGULATED TRUST APPLICATIONS E.G. Family Trusts, you will need to mail to OpenMarkets an original certified copy of the Trust Deed.

FOR MAILED APPLICATIONS - please see next page for acceptable forms of identification.

APPENDIX: ACCEPTABLE FORMS OF IDENTIFICATION

All applicants/shareholders must provide copies of their identification documents as outlined below.

At least TWO forms of the below documents:

- 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
- a passport issued by the Commonwealth
- a medicare card
- 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, the United Nations or an agency of the United Nations; 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

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

All mailed identification documents (domestic or international) must be certified by an authorised person as outlined below.

Domestic applicants may choose to email or mail their application and ID documents to OpenMarkets. In the case of email, OpenMarkets will verify your identify and identification documents electronically. A 'safe harbour' result is considered a pass. If you do not pass safe harbour, you will be required to mail to us certified copies of your ID documents.

International applicants must always mail their application and identification documents to OpenMarkets. These documents will then be verified electronically with a credit reporting agency.

CERTIFYING YOUR DOCUMENTS (if mailing your documents to OpenMarkets)

All mailed/posted 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: Bailiff, Justice of the Peace, Judge, Magistrate, Registrar, or Deputy Registrar, Clerk, Master of a court, CEO of a Commonwealth court
- Accountant (member of ICA, ASA, NIA or CPA, ATMA, NTAA)
- Member of Chartered Secretaries Australia or Engineers Australia
- Commissioner for Affidavits, or Commissioner for Declarations (dependent on jurisdictions)
- Government representatives (elected): Federal, State or Territory or Local
- Public servants: Federal, State or Territory or Local – employed for five years or more.
- Permanent employees of the Australian Health Practitioner Regulation Agency
- Bank officer, building society officer, credit union officer, finance company officer – employed for five years or more
- Minister of religion, or marriage celebrant
- Australian Defence Force (an officer; or a non-commissioned officer with 5+ years of continuous service; a warrant officer)
- Australasian Institute of Mining and Metallurgy
- Notary public
- Police officer, Sheriff or Sheriff's officer
- 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.
- Pharmacists.

Outside Australia:

- Justice of the Peace
- Notary public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
- Employee of the Commonwealth or the Australian Trade Commission who works outside Australia.
- 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.

Please mail identification documents along with your OpenMarkets application and accompanying bank application forms (if applicable) to:

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

Terms & Conditions

By completing this form and sending it to OpenMarkets (we or us), you agree to the terms and conditions set out below.

Instructions and rules

1. You instruct us to sell as your broker the financial products described in the Form in accordance with the instructions described in the Form. Any sale of financial products by us is subject to the Corporations Act and the operating rules, procedures, directions, decisions, requirements, customs, usages and practices of Australian Securities Exchange (ASX), ASX Clear Pty Ltd (ASX Clear) and ASX Settlement Pty Ltd (ASX Settlement) (together the Rules).

Acceptance and execution of instructions

2. We are not bound to accept your instructions but, if we do, we will use our reasonable endeavours to execute them. We will not be responsible for delays or errors in the transmission or execution of your instructions (except to the extent that responsibility cannot be excluded by law). We are not obliged to resubmit orders purged from any trading facility operated by ASX.

Crossings

3. If the sale transaction is effected as a crossing transaction under the rules of ASX, you consent to us charging you, and any client we may act for on the other side of the transaction, commission.

Confirmations

4. If you have specified an email address in the Form, you authorise us to send any transaction confirmation to you to that email address. You acknowledge that any confirmation is subject to the Rules and the correction of errors and omissions. We may, at any time, reissue a confirmation in order to correct any errors or omissions.

Our power to cancel a transaction

5. We may request or agree to, and effect, the cancellation of, your order or any sale transaction without your consent in any of the following circumstances:
 - a. where we consider the cancellation appropriate, having regard to the desirability of maintaining a fair and orderly market;
 - b. where ASX, ASX Clear or ASX Settlement requests or directs that the transaction be cancelled;
 - c. where the Rules require or contemplate that the transaction will be cancelled; and
 - d. where the financial products have been subject to a trading halt and you have not reconfirmed instructions.

Your obligations in relation to the settlement of a transaction which is cancelled cease to apply in

respect of that cancelled transaction from the time it is cancelled (whether or not we have given you a confirmation in respect of the affected transaction.)

ASX's power to cancel a transaction

6. You acknowledge that ASX has a range of powers under its rules including the power to cancel or amend a transaction. You agree not to make, and release us from any right you may have to make, any claim against us for any loss incurred or suffered by you which may arise in connection with the exercise by ASX of those powers (whether or not we have given you a confirmation in respect of any affected transaction).

Settlement

7. You must provide all documents and security holder information (such as your shareholder reference number) to us in deliverable form to enable us to settle the transaction on time. You will only be entitled to payment following settlement of the transaction. We are entitled to deduct our commission (and any amounts you owe under clause 8) from the proceeds of the transaction before remitting the balance to you in accordance with your instructions on the Form. The amount of commission we charge for the transaction is set out in the transaction confirmation.

Failure to settle

8. If you fail to settle the transaction, we may do one or more of the following:
 - a. pass on to you all costs incurred as a result of that failure;
 - b. charge an administration fee or default charge to cover our costs; and
 - c. use our own shares or obtain shares from third parties and use those shares to settle the transaction.

Telephone recording of conversations

9. You authorise us to record any telephone conversation between us, with or without an audible tone warning device.

Acknowledgments of our role

10. You acknowledge that we provide an execution and settlement only service, and do not provide financial product advice. You acknowledge that:
 - a. any material or information made available or provided (whether in writing or orally) to you, has not been prepared taking into account or to take into account your particular investment objectives, financial situation or needs, is not personal financial product advice and is not suitable to be relied upon by you as personal advice;
 - b. it is your responsibility to obtain personal financial product advice before making any investment or trading decision; and
 - c. no warranty or representation is or has been made by or on behalf of us as to the current or future accuracy, completeness or currency of that material or information.

Your representations and warranties

11. You represent and warrant that:
- a. you have read and understood all documentation provided by us to you in relation to the services provided by us including, without limitation, any Financial Services Guide;
 - b. you are not a person with whom we are not lawfully entitled to deal pursuant to any statute, law, rule or regulation and that all dealings by you with us or requested to be done by us on your behalf are and will be lawful;
 - c. all information supplied on the Form or otherwise to us is true, complete and accurate in all respects; and
 - d. you are authorised to give us the instructions in the Form.

Our representations and warranties

12. Apart from any warranties and representations responsibilities which are implied by law and cannot be excluded, we make no warranties or representations in relation to any service or information provided or made available to you.

Indemnity

13. You must, to the maximum extent permissible by law, in addition to your other obligations and responsibilities under this document, at all times and from time to time indemnify us and our directors, officers, contractors, agents and employees (each an Indemnified Person) and hold them harmless from and against all liabilities, costs, claims, damages, proceedings and losses arising from or in connection with
- a. any order placed by you or trade transmitted by you through us;
 - b. any failure by you to perform or observe any of your obligations under this document;
 - c. any representation or warranty made or given by you under this document proving to be untrue or incorrect; and
 - d. any error, omission, fraud, malfeasance, negligence, misappropriation or criminal act or omission by you or by any of your clients, employees, agents, consultants.

Termination

14. You acknowledge that this document relates to instructions by you to enter into a single transaction only and terminates when our settlement obligations to each other relating to the transaction have been settled. Each indemnity in this document survives the termination of this document.

Governing law

15. This document is governed by the laws of the State of New South Wales and you submit to the jurisdiction of the Courts of that State in relation to any claim or dispute arising out of the performance of this document.

Deceased Estates

16. I Agree that:
- a. Probate or Will and Death Certificate has been issued in respect of the Estate and I attach a copy of the Probate or Will and Death Certificate. I am entitled to administer the Estate as executor, including by providing instructions to you in respect of the securities set out in the 'Holding & Registration Details' section of this application.
 - b. I am the executor of the Estate identified mentioned in the 'Holding & Registration Details' section of this application.
 - c. I instruct OpenMarkets to transfer the securities set out in the 'Holding & Registration Details' section of this application currently registered in the Deceased Estate to my CHESSE sponsored account with OpenMarkets and for the purpose of this transfer to register the securities in my name.