



HOW TO COMPLETE A DESKTOP BROKER APPLICATION FORM

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➤ WHAT DOCUMENTS ARE REQUIRED TO OPEN A CLIENT ACCOUNT?

Type of account:	Documents/actions required:
Individual or joint account	<ul style="list-style-type: none"> Account opening forms signed by each individual applicant Acceptable identification* for each individual applicant
Company account	<ul style="list-style-type: none"> Account opening forms signed by at least two directors unless it is a sole director If there is a sole director, ensure the company secretary also signs the account opening forms (if applicable) Acceptable identification* for the directors and/or company secretary signing the forms
Individuals acting as Trustee for a Trust/Superfund account	<ul style="list-style-type: none"> Account opening forms signed by all trustees Acceptable identification* for each trustee Certified copies of the Trust Deed or Investment & Financial Services Association (IFSA) trust identification documents If providing extract of Trust Deeds, the pages required are: (ensure each page is certified) <ol style="list-style-type: none"> Title page – showing the name of the trust/superfund Schedule page – identifies the trustees and beneficiaries of the trust/superfund Execution page – showing the signatories to the trust/superfund
Company acting as Trustee for a Trust/Superfund account	<ul style="list-style-type: none"> Account opening forms signed by at least two directors unless it is a sole director If there is a sole director, ensure the company secretary also signs the account opening forms Acceptable identification* for the directors and/or company secretary signing the forms Certified copies of the Trust Deed or IFSA trust identification documents If providing extract of Trust Deeds, the pages required are: (ensure each page is certified) <ol style="list-style-type: none"> Title page – showing the name of the trust/superfund Schedule page – identifies the trustees and beneficiaries of the trust/superfund Execution page – showing the signatories to the trust/superfund
Minor account	<ul style="list-style-type: none"> Account opening forms signed by the applicant opening the account on behalf of the minor Acceptable identification* for the applicant A certified copy of the minor's birth certificate or passport must be provided
Power of Attorney (NOTE: original document required)	<ul style="list-style-type: none"> Account opening forms signed by the attorney opening the account on behalf of the applicant Acceptable identification* for both the attorney and the applicant An <u>original</u> certified copy of the Power of Attorney must be posted to Desktop Broker
Margin Lending account	<ul style="list-style-type: none"> Account opening forms signed by the applicants Acceptable identification* for all applicants Ensure the Margin Lender can settle trades with Desktop Broker. You may be required to add Desktop Broker as an authorised broker before trading can commence.
Deceased Estate (NOTE: original document required)	<ul style="list-style-type: none"> Account opening forms signed by all active executors required Acceptable identification* for active executors <u>Original</u> certified copies of the Probate or Death Certificate and Will must be posted to Desktop Broker

➤ HOW DO I SUBMIT MY APPLICATION?

Unless otherwise specified, the form and supporting documents can be submitted by **one** of the below methods:

Email: support@desktopbroker.com.au

Fax: (03) 8663 2799

Post: Desktop Broker
GPO BOX 1630
Sydney NSW 2000

➤ WHAT IS ACCEPTABLE IDENTIFICATION?

Acceptable identification shows proof of signature, residential address and date of birth. It also needs to be:

- Clear and all details legible including ID numbers and expiry dates
- Current at time of account activation
- Certified by an acceptable authority

Primary identification <i>(One must be provided)</i>	<ul style="list-style-type: none">• Current motor vehicle license• Current Australian passport• Non Australian passport with visa page
Secondary Identification <i>(If primary identification is not available or out of date)</i>	You can provide any of the below secondary identification for proof of signature and proof of date of birth: <ul style="list-style-type: none">• Proof of age or identity card issued by a motor registry• Bank card front and back showing signature• Pension card• Medicare card• Birth certificate
If the Primary or Secondary identifications do not show your current residential address	The proof of residential address must be in the name of the applicant: <ul style="list-style-type: none">• Utility bill confirming residential address• Bank statement confirming residential address• Council letter confirming residential address• Tenancy agreement showing residential address

➤ HOW DO I GET MY DOCUMENTS CERTIFIED?

Persons who can certify your documents:	<ul style="list-style-type: none">• Financial Advisor, Financial Planner or Responsible Manager• Justice of the Peace with a registration number (must include registration number on document when certifying)• Accountant - must be a member of the Institute of Chartered Accountants in Australia, the Australian Association of Taxation and Management Accountants or be a Registered Tax Agent• Bank Manager, but not a manager of a bank travel centre• Credit union branch manager• Commissioner for declarations• Barrister, Solicitor or Patent Attorney• Police Officer in charge of a police station, or of the rank of Sergeant and above• Postal manager• Principal of an Australian Secondary College, High School or Primary School
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You cannot certify your own documents, even if you belong to one of the categories listed above.

Format of certification:

"I certify this to be a true copy of the document shown and reported to me as the original."

➤ HOW TO COMPLETE THE APPLICATION FORM

Section 1 – Type of Account

1. Individual	<ul style="list-style-type: none"> An account for a single applicant <i>e.g. Mr John Smith</i>
2. Joint	<ul style="list-style-type: none"> An account for two or more applicants <i>e.g. Mr John Smith & Mrs Jane Smith</i>
3. Company	<ul style="list-style-type: none"> An account for a registered corporation <i>e.g. ABC Pty Ltd</i>
4. Minor	<ul style="list-style-type: none"> An account in the name of an adult acting as trustee for a minor 18 yrs and younger <i>e.g. Mr John Smith <Baby Smith A/C></i>
5. Other	<ul style="list-style-type: none"> <i>e.g. Deceased estate – make sure to provide details in the space provided below</i>
6. Superfund	<ul style="list-style-type: none"> Superfunds must have a minimum of 2 persons acting as trustees unless the trustee is a corporation Where the trustees are persons, <i>e.g. Mr John Smith & Mrs Jane Smith</i>, <input checked="" type="checkbox"/> Superfund and then <input checked="" type="checkbox"/> Joint. You can have a maximum of 4 trustees. Where the trustee is a corporation, <i>e.g. ABC Pty Ltd</i>, <input checked="" type="checkbox"/> Superfund then <input checked="" type="checkbox"/> Company
7. Trust	<ul style="list-style-type: none"> Where there is a single person acting as trustee, <input checked="" type="checkbox"/> Trust and then <input checked="" type="checkbox"/> Individual Where there is more than one person acting as trustee, <input checked="" type="checkbox"/> Trust and then <input checked="" type="checkbox"/> Joint. You can have a maximum of 4 trustees. Where the trustee is a corporation, <input checked="" type="checkbox"/> Trust then <input checked="" type="checkbox"/> Company

Section 2 – CHESS Registration Details

1. Registered Account name:

Limit of 30 characters on each line

Individual and Joint accounts	<ul style="list-style-type: none"> Enter given names of the applicants <i>e.g. Mr John Smith & Mrs Jane Smith</i> For multiple names, please keep in mind that CHESS only allows 30 characters per line to a maximum of 6 lines including the address Initials are not accepted and middle names are optional
Company account	<ul style="list-style-type: none"> Enter corporation name <i>e.g. ABC Pty Ltd</i>
Minor account	<ul style="list-style-type: none"> Enter the given names of the adults applying for the account on behalf of the minor Initials are not accepted and middle names are optional
Superfund and Trust accounts	<ul style="list-style-type: none"> Enter the name of the trustee/s If the trustees are persons, enter given names without initials and middle names are optional For more than one trustee, please keep in mind that CHESS only allows 30 characters per line to a maximum of 6 lines including the address If the trustee is a corporation, enter the corporation name

2. Account Designation:

Individual, Joint & Company accounts	<ul style="list-style-type: none"> Not applicable – please leave blank
Minor account	<ul style="list-style-type: none"> Enter the name of the minor limited to 25 characters Initials are accepted <i>e.g. <B Smith A/C></i> Do not enter the words "Trust", "TF", "ATF" or "TRUSTEE" in this field

2. Account Designation (con't):

Superfund or Trust accounts	<ul style="list-style-type: none">• Enter the name of the superfund or trust• The brackets <> and "A/C" are compulsory• Do not enter the words "Trust", "TF", "ATF" or "TRUSTEE"• This is limited to 25 characters• You can shorten the words "Superannuation Fund" e.g. <i>S/F, Superfund or Super</i>
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3-8. CHESS Registration Address:

Enter the address for share holding registration. This is the address for all Share Registry correspondence.

- Can be a postal box address or C/O address
- Suburb and postcode combination must be recognized by Australia Post
- Must be an Australian address

Section 3 – Postal Address

This is the postal address for Desktop Broker correspondence only.

If the Desktop Broker nominated postal address is different from the CHESS Registration Address in Section 2, complete 1-6.

- The postal address can be a PO BOX or C/O address
- Suburb and postcode combination must be recognized by Australia Post
- Must be an Australian address

Section 4 – First Applicant

1. Title:

Acceptable salutation includes Mr, Mrs, Ms, Miss, Dr, Prof, Rev, Madam and Sir

2-3. Given names and Family name:

Enter the name for the first applicant. Where the applicant's name appears in the CHESS Registered Account name in Section 2 (1), the name entered here must that name exactly.

Initials are not accepted. Middle names are optional.

Given names must appear on identification provided. For middle names, the identification provided must show at least the middle initial. Where the middle initial is not shown on the primary identification, further identification is required.

4. Date of birth:

Enter the date of birth for the applicant as shown on identification provided

5-6. Occupation and Employer:

Enter the applicant's job title and employer. If unknown, enter N/A.

7-8. Driver's license and Passport number:

Provide at least one driver's license number or passport number

9. Username:

You can nominate a username between 8 to 12 characters. For security reasons, Desktop Broker usernames are unique for each applicant. If the username you have nominated already exists, or if you leave this field blank, Desktop Broker will auto-generate a unique username for you. This username will be used for logging into the Desktop Broker website.

10-15. Residential address:

Enter your current residential in 11-16 as shown on your acceptable identification.

- You must provide proof of the residential address specified in this section.
- Residential address **cannot** be a postal box or C/O address.
- Suburb and postcode combination must be recognized by Australia Post and must be an Australian address.

16. Email address:

Desktop Broker requires at least one valid email address for each trading account. The email address entered here will receive contract notes and notification of changes to your account i.e. change of bank details.

Email addresses for an intermediary (i.e. your financial advisor) are not accepted.

17-18. Mobile Phone and Home Phone:

Please enter at least one phone number with area code.

Section 5 to 7 – Second to Fourth Applicants

Complete sections for each subsequent account holder, trustee or director/company secretary

1. Title:

Acceptable salutation includes Mr, Mrs, Ms, Miss, Dr, Prof, Rev, Madam and Sir

2-3. Given names and Family name:

Enter the name for the applicant. Where the applicant's name appears in the CHESS Registered Account name in Section 2 (1), the name entered here must match that name exactly.

Initials are not accepted. Middle names are optional.

Given names must appear on identification provided. For middle names, the identification provided must show at least the middle initial. Where the middle initial is not shown on the primary identification, further identification is required.

4. Date of birth:

Enter the date of birth for the applicant as shown on identification provided

5-6. Occupation and Employer:

Enter the applicant's job title and employer. If unknown, enter N/A.

7-8. Driver's license and Passport number:

Provide at least one driver's license number or passport number

9. Username:

You can nominate a username between 8 to 12 characters. For security reasons, Desktop Broker usernames are unique for each applicant. If the username you have nominated already exists, or if you leave this field blank, Desktop Broker will auto-generate a unique username for you. This username will be used for logging into the Desktop Broker website.

10-16. Residential address:

If your current residential address is the same as the residential address of the first applicant, please leave blank. Otherwise, enter your residential address in this section.

- You must provide proof of the residential address specified in this section.
- Residential address **cannot** be a postal box or C/O address.
- Suburb and postcode combination must be recognized by Australia Post and must be an Australian address.

11. Email address:

Desktop Broker requires at least one valid email address for each trading account. The email address entered here will receive contract notes and notification of changes to your account i.e. change of bank details.

Email addresses for an intermediary (i.e. your financial advisor) are not accepted.

12-13. Mobile Phone and Home Phone:

Please enter at least one phone number with area code.

Section 8 – Tax File Number and ABN/ACN

For more information on how TFNs and ABNs are notified to Share Registries by Desktop Broker, see Section 10 – Bank Details.

You can nominate any or all of the information requested.

1-4. TFN for each application:

Enter the TFN for each applicant in order.

5. TFN for Trust or Superfund:

Enter the TFN for the trust or superfund.

6. ABN for Company or Superfund:

Enter the ABN for a Corporation or Superfund account

7. ACN for Company:

Enter the ACN for a Corporation account

Section 9 – Margin Lending/Third Party Settlement

Do you want this account to be settled via a Margin Lending Facility?

1. Yes – here for your trades to settle directly to your margin loan. Your share holdings will be CHESS sponsored by your margin lender and not Desktop Broker.

Please contact your margin lender to ensure Desktop Broker has been added as an authorized broker. Some margin lenders will require signed authority from you to deal with Desktop Broker. (NOTE: our broker name with the margin lender may be recorded as Third Party Platform.

Trades placed with Desktop Broker on a margin lending settlement arrangement will be vetted by your margin lender for available funds or stock. Once a trade has been executed, Desktop Broker will automatically send the contract note to the margin lender for settlement.

2. No – here for a broker sponsored Desktop Broker account.

Your holdings will be CHESS sponsored by Desktop Broker. Please ensure you complete the bank details in Section 10.

3-7. Margin lender information

If you have **Yes**, please provide your margin lending providers settlement details and contact person.

Section 10 – Bank Details

1-5. Nominated bank account:

Buy and sell funds will be debited from/credited to this nominated bank account.

The bank account name must match the name on the trading account. If you are setting up an individual trading account in your name only, you may use a joint bank account as long as you are one of the bank account holders.

Desktop Broker will offset any sell proceeds against buy trades which settle on the same or future days. Sell proceeds will be held in trust until the buy trade settles. If a buy trade is due to settle and there are no sell proceeds in trust, Desktop Broker will debit the nominated bank account a day prior to settlement (T+2).

Settlement typically occurs 3 business days after a trade is executed. Sell proceeds are paid to your nominated bank account on settlement date if there are no buy trades pending.

When setting up a CHESS sponsored trading account, it is compulsory to provide a nominated bank account and sign the declaration on page 5.

Authorising the passing of bank details to share registries for purpose of direct crediting dividends:

6. Yes – if you will like us to automatically send your bank details provided in Section 10 (1-5) to the share registries for direct crediting of dividends.

- Please ensure you have provided a TFN or ABN in Section 8. If no TFN or ABN is provided and you have nominated Desktop Broker to pass on your bank details, you may be charged withholding tax by the share registries.
- Please note, any change of bank or tax details on your Desktop Broker account will trigger an update to the share registries across all your holdings.

- Every time you purchase or transfer a new share holding to Desktop Broker, your bank and tax details will be sent to the share registry for that holding only.
- You will still receive a form requesting your tax and bank details from the share registries as part of their welcome pack when you purchase or transfer new share holdings into Desktop Broker. Simply disregard this form.
- When your bank and tax details are sent to the share registries, for security reasons, the registry will post a confirmation to you for each stock holding.

7. No – if you do not wish Desktop Broker to pass your bank and tax details to the share registries

Section 11 to 12 – Direct Debit Terms & Conditions and Declarations

Please read through the terms and conditions before signing the declaration on page 7. Please ensure your signature matches the signature shown on your identification.

Section 13 – Broker to Broker Transfer

Complete this page if you will like us to transfer holdings from another broker. This transfer is free of charge.

For a broker to broker transfer to be successful, your registered name and address (Section 2) must match the registered name and address held at the other broker EXACTLY. For example, if you have GEORGE STREET at another broker, but you have setup a Desktop Broker account with GEORGE ST, the transfer will be rejected. If you have a middle name with the other broker and setup your Desktop Broker account without a middle name, the transfer will also be rejected.

Please ensure you have a copy of a current holding statement before you complete this form. Check the registered details on the statement match with Section 2 of the application form.

Broker to broker transfers can take up to 2 business days to process.

1. Registered name as recorded on your latest CHES Holding Statement:

Enter the name as exactly shown on your holding statements. Please ensure the name entered here matches Section 2 (1) of the application form for the transfer to be successful.

2. Account designation:

Enter the account designation exactly as it appears on your holding statements. This is only applicable for accounts like superfund or trusts. The account designation is the reference that appears between the <> on the holding statements.

3. Registered Address:

Enter the address exactly as it appears on your holding statements. The address must match the CHES Registration address in Section 2 (3-8) for a transfer to be successful.

4. Name of existing sponsoring participant/broker:

Enter the name of the broker currently sponsoring your share holding. The name of the broker will appear on the top right corner of your holding statement under “CHES Sponsor”.

5. Account number:

Enter the account number of your trading account at the other broker. This information is not found on the holding statement. You are not required to provide this number.

6. HIN:

This is your unique CHES identification number for your stock holdings. This can be found on the top right corner of your holding statement as “Holder ID Number (HIN)”.

You **must** provide this number for the transfer to be processed.

7. PID of existing sponsoring participant/broker:

A PID is an acronym for Participant Identification Number. This is the Broker's identification number and can be found on the top right corner of your holding statement as “CHES Sponsor's ID (PID)”.

8-9. Please select one option:

8. Transfer HIN and all stock holdings from existing broker - here to transfer your entire holdings from the current broker.

You will not be required to list your holdings.

Desktop Broker will contact the other broker on your behalf to facilitate the holdings transfer.

9. Transfer stock holdings only from existing broker onto a Third Party Platform HIN - here to transfer individually nominated stock/s from another broker to your Desktop Broker account. Your existing HIN will **not** be transferred across to Desktop Broker we will issue a new HIN.

You will need to provide details of the stock/s to be transferred in 10-12.

10-12. ASX Code, Security name and Quantity:

You must list all the stock holdings to be transferred from the current sponsoring broker. Transfers can only be attempted if all the requested information is provided.

Section 14 – Issuer Sponsored Holdings to CHESs Sponsorship Conversion

Complete this page if you will like us to transfer holdings that are **not** sponsored by another broker. This transfer is free of charge.

For an issuer sponsored to CHESs sponsored conversion to be successful, your registered name and address (Section 2) must match the registered name and address at the share registry exactly.

If there are any differences in the registered details, please contact the relevant share registries to amend those details before proceeding.

Please ensure you have a copy of a current holding statement before you complete this form. Check the registered details on the statement match with Section 2 of the application form.

Conversion requests can take up to 2 business days to process.

1. Registered name as recorded on your latest Issuer Sponsored Holdings Statement/s:

Enter the name as exactly shown on your holding statements. Please ensure the name entered here matches Section 2 (1) exactly.

2. Account designation:

Enter the account designation exactly as it appears on your holding statement. This is only applicable for accounts like superfund or trusts. The account designation is the reference that appears between the <> on the holding statement.

3. Registered Address:

Enter the address exactly as it appears exactly on your holding statement. The address must match the CHESs Registration address in Section 2 (3-8) exactly for a transfer to be successful.

4. Issuer Sponsored Holdings:

You must complete all the required information for a conversion to be attempted.

Amendments or corrections on this form are not accepted. You must complete a new form if you make a mistake.

Your "Shareholder reference number (SRN)" can be found on your holding statement. This number can begin with an I, 1, 0 or 9. Please ensure the details completed are legible and clear.