



**Section 4 – First applicant**

1. Title*	<input type="text"/>	
2. Given names*	<input type="text"/>	
3. Family name*	<input type="text"/>	
4. Date of birth*	<i>Date</i> / <i>Month</i> / <i>Year</i>	
5. Occupation*	6. Employer*	<input type="text"/>
7. Driver's licence*	8. Passport number*	<input type="text"/>

*(Please provide at least one Driver's License or Passport number)*

9. Username 1  (8-15 characters alphanumeric)

**Residential Address details:**

10. Address details*	<input type="text"/>	
11. Line 2	<input type="text"/>	
12. Suburb*	<input type="text"/>	
13. Postcode*	14. State*	<input type="text"/>
15. Country*	AUSTRALIA	

**Contact details:**

16. Email address*	<input type="text"/>	
17. Mobile Phone*	18. Home Phone*	<input type="text"/>

*(Please provide at least one phone number)***Section 5 – Second applicant**

1. Title	<input type="text"/>	
2. Given names	<input type="text"/>	
3. Family name	<input type="text"/>	
4. Date of birth	<i>Date</i> / <i>Month</i> / <i>Year</i>	
5. Occupation	6. Employer	<input type="text"/>
7. Driver's licence	8. Passport number	<input type="text"/>

*(Please provide at least one Driver's License or Passport number)*

9. Username 2  (8-15 characters alphanumeric)

**Residential Address details (only if different from 1<sup>st</sup> applicant):**

10. Address details	<input type="text"/>	
	<input type="text"/>	

**Contact details:**

11. Email address	<input type="text"/>	
12. Mobile Phone	13. Home Phone	<input type="text"/>

*(Please provide at least one phone number)*

**Section 6 – Third applicant**

1. Title	<input type="text"/>	
2. Given names	<input type="text"/>	
3. Family name	<input type="text"/>	
4. Date of birth	<input type="text" value="Date"/> / <input type="text" value="Month"/> / <input type="text" value="Year"/>	
5. Occupation	6. Employer	<input type="text"/>
7. Driver's licence	8. Passport number	<input type="text"/>

*(Please provide at least one Driver's License or Passport number)*

9. Username 3  (8-15 characters alphanumeric)

**Residential Address details (only if different from 1<sup>st</sup> applicant):**

10. Address details

**Contact details:**

11. Email address

12. Mobile Phone  13. Home Phone

*(Please provide at least one phone number)*

**Section 7 – Fourth applicant**

1. Title	<input type="text"/>	
2. Given names	<input type="text"/>	
3. Family name	<input type="text"/>	
4. Date of birth	<input type="text" value="Date"/> / <input type="text" value="Month"/> / <input type="text" value="Year"/>	
5. Occupation	6. Employer	<input type="text"/>
7. Driver's licence	8. Passport number	<input type="text"/>

*(Please provide at least one Driver's License or Passport number)*

9. Username 4  (8-15 characters alphanumeric)

**Residential Address details (only if different from 1<sup>st</sup> applicant):**

10. Address details

**Contact details:**

11. Email address

12. Mobile Phone  13. Home Phone

*(Please provide at least one phone number)*

## Section 8 – Tax File Number and ABN/ACN

By law you are not required to provide your Tax File Number (TFN). However, Australian residents will have resident withholding tax deducted from any unfranked dividend when the TFN is not provided. If you supply Third Party Platform Pty Ltd (TPP) with your TFN and you are Broker Sponsored, TPP will provide these details on your behalf to the relevant company when any future purchase of securities is made.

1. TFN (1 <sup>st</sup> Applicant)	
2. TFN (2 <sup>nd</sup> Applicant)	
3. TFN (3 <sup>rd</sup> Applicant)	
4. TFN (4 <sup>th</sup> Applicant)	
5. TFN (Trust/Superfund)	
6. ABN (Company/Superfund)	
7. ACN (Company)	

## Section 9 – Margin Lending/Third Party Settlement

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

- Yes** (please complete 3-7 below)
- No** (skip to Section 10)

If yes, please ensure your client margin lending facility is active. You may be required to add Desktop Broker as an authorised broker with your margin lender.

Please note that your share holdings will be CHESSE sponsored by your margin lender, not with Desktop Broker.

3. Margin Lender Name	
4. Margin lender PID	
5. Loan facility number	
6. Account manager name	
7. Margin Lender phone number	

Section 10 – Bank Details

1. BSB		2. Account Number	
3. Bank Name		4. Branch	
5. Account name			

**Dividend Payments:**

We can instruct the share registries (on your behalf) to direct deposit dividend payments to the bank account you have nominated above. This applies to CHESS sponsored holdings only.

Note: Not all companies support direct crediting of Dividends into a bank account. Therefore you may still receive a dividend cheque which will be sent to your registered address.  
The bank details above will replace any previous banking details you may have provided to the share registries and future dividends will be paid to this bank account.

**I/we authorise the passing of my bank details to share registries for the purpose of direct crediting dividends that I may receive.**

6.  Yes                                      7.  No

I/we acknowledge that this Direct Debit arrangement is governed by the terms of the Client Service Agreement received from  
Direct debit user:                                      Third Party Platform Pty Ltd  
Debit user ID number:                                      356983

**Acknowledgement:**

I/we request that until further notice in writing, Third Party Platform Pty Ltd (APCA User ID 356983) will arrange for funds to be debited from my/our account at the financial institution identified above as prescribed through the Direct Debt System. This authorization is to remain in accordance with terms in the Third Party Platform Client Service Agreement. I/We agree that my/our account may be direct debited by Third Party Platform in accordance with the Desktop Broker Terms and Conditions. I/we have read and understand the terms and conditions in the Client Service Agreement for Direct Debit.

**NB: The nominated bank account must be in the same name(s) as the Desktop Broker account you are opening.  
Third Party bank accounts cannot be accepted.**

**Signatures: Please provide signatures of all persons authorised to operate the account**

\_\_\_\_\_  
(Individual/Applicant 1 or Director of Company)

Date    /    /

\_\_\_\_\_  
(Applicant 2/ Director or Secretary of Company)

Date    /    /

\_\_\_\_\_  
(Applicant 3 or Director of Company)

Date    /    /

\_\_\_\_\_  
(Applicant 4 or Director of Company)

Date    /    /

**Definitions**

- **Account** means the account held at your financial institution from which we are authorised to arrange for funds to be debited.
- **Agreement** means this Direct Debit Request Service Agreement between you and us.
- **Banking day** means a day other than a Saturday or a Sunday or a public holiday listed throughout Australia.
- **Debit day** means the day that payment by you to us is due.
- **Debit payment** means a particular transaction where a debit is made.
- **Direct debit request** means the Direct Debit Request between us and you
- **Us or we** means Third Party Platform Pty Ltd trading as Desktop Broker (“Desktop Broker”), (the Debit User) you have authorised by signed a Direct Debit Request.
- **You** means the customer who signed the Direct Debit Request.
- **Your financial institution** is the financial institution where you hold the account that you have authorised us to arrange to debit.

**1 DEBITING YOUR ACCOUNT**

1.1 By signing a Direct Debit Request, you have authorised us to arrange for funds to be debited from your account. You should refer to the Direct Debit Request and this agreement for the terms of the arrangement between us and you.

1.2 We will only arrange for funds to be debited from your account as authorised in the Direct Debit Request.

1.3 If the debit day falls on a day that is not a banking day, we may direct your financial institution to debit your account on the following banking day. If you are unsure about which day your account has or will be debited, you should ask your financial institution.

**2 CHANGES BY US**

2.1 We may vary any details of this agreement or a Direct Debit Request at any time by giving you at least fourteen (14) days written notice.

**3 CHANGES BY YOU**

3.1 Subject to 3.2 and 3.3, you may change the arrangements under a Direct Debit Request by contacting us on 1300 726 177.

3.2 If you wish to stop or defer a debit payment, you must notify us in writing at least five (5) days before the next debit day. This notice should be given to us in the first instance.

3.3 You may also cancel your authority for us to debit your account at any time by giving us five (5) days notice in writing before the next debit day. This notice should be given to us in the first instance.

**4 YOUR OBLIGATIONS**

4.1 It is your responsibility to ensure that there are sufficient clear funds available in your account to allow a debit payment to be made in accordance with the Direct Debit Request.

4.2 If there are insufficient clear funds in your account to meet a debit payment:

- (a) you may be charged a fee and/or interest by your financial institution;
- (b) you may also incur fees or charges imposed or incurred by us; and
- (c) you must arrange for the debit payment to be made by another method or arrange for sufficient clear funds to be in your account by an agreed time so that we can process the debit payment.

4.3 You should check your account statement to verify that the amounts debited from your account are correct.

4.4 If Desktop Broker is liable to pay goods and services tax (“GST”) on a supply made in connection with this agreement, then you agree to pay Desktop Broker on demand an amount equal to the consideration payable for the supply multiplied by the prevailing GST rate.

**5 DISPUTE**

5.1 If you believe that there has been an error in debiting your account, you should notify us directly on 1300 726 177 and confirm that notice in writing with us as soon as possible so that we can resolve your query more quickly.

5.2 If we conclude as a result of our investigations that your account has been incorrectly debited, we will respond to your query by arranging for your financial institution to adjust your account (including interest and charges) accordingly. We will also notify you in writing of the amount by which your account has been adjusted.

5.3 If we conclude as a result of our investigations that your account has not been incorrectly debited, we will respond to your query by providing you with reasons and any evidence for this finding.

5.4 Any queries you may have about an error made in debiting your account should be directed to us in the first instance so that we can attempt to resolve the matter between us and you. If we cannot resolve the matter, you can still refer it to your financial institution, which will obtain details from you of the disputed transaction and may lodge a claim on your behalf.

**6 ACCOUNTS**

6.1 You should check:

- (a) with your financial institution whether direct debiting is available from your account, as direct debiting is not available on all accounts offered by financial institutions.
- (b) your account details which you have provided to us are correct by checking them against a recent account statement; and
- (c) with your financial institution before completing the Direct Debit Request if you have any queries about how to complete the Direct Debit Request.

**7 CONFIDENTIALITY**

7.1 We will keep any information (including your account details) in your Direct Debit Request confidential. We will make reasonable efforts to keep any such information that we have about you secure and to ensure that any of our employees or agents who have access to information about you do not make any unauthorised use, modification, reproduction or disclosure of that information.

7.2 We will only disclose information we have about you:

- (a) to the extent specifically required by law; or
- (b) for the purposes of this agreement (including disclosing information in connection with any query or claim).

**8 NOTICE**

8.1 If you wish to notify us in writing about anything relating to this agreement, you should write to:

**Attention Desktop Broker**

**GPO Box 1630**

**Sydney NSW 2001**

8.2 We will notify you by sending a notice in the ordinary post to the address you have given us in the Direct Debit Request. Any notice will be deemed to have been received on the third banking day after posting.

**By signing this application form:**

1. I/We, acknowledge that we have been supplied with, and read and understood the current Third Party Platform Pty Ltd trading as Desktop Broker ("Desktop Broker") Financial Services Guide prior to receiving any financial service from Desktop Broker.
2. I/We, the Client(s), agree to be sponsored by Desktop Broker under the terms of Desktop Broker's CHES Sponsorship Agreement that is attached. I/We have read and agree to accept and abide by the terms of this Agreement, and have been supplied with, read and understood the written explanation of the effect of this Agreement.
3. I/We acknowledge that we have been supplied with, and have read and understood Desktop Broker's Terms and Condition ("Terms and Conditions") and agree to be bound by them.
4. I/We, acknowledge that it is possible that any orders placed on my Account may be matched with another order also placed by Third Party Platform Pty Ltd. This "crossing" may be with an order placed on behalf of a client of Third Party Platform Pty Ltd or placed on behalf of Third Party Platform Pty Ltd itself. I/we agree to pay Desktop Broker brokerage any other applicable fee or charge with respect to such a crossing.
5. I/We, acknowledge and agree that all confirmation are to be sent electronically to my/our nominated email address and where the confirmation is posted, that a charge will apply.
6. I/We, authorise Fortnum Private Wealth ("the Licensee") to open a Trading Account with Desktop Broker on my/our behalf and to give instructions to Desktop Broker with respect to the operation of the Account on my/our behalf. I/we acknowledge that the Licensee is an Authorised Agent for the purposes of the Terms and Conditions.
7. I/We authorise Desktop Broker to accept instructions on my/our behalf with respect to the operation of my/our account from any person or entity who is a Representative of the Licensee (or who purports to be a Representative of the Licensee) and acknowledge that each person who is a Representative of the Licensee (or purports to be a Representative of the Licensee) is an Authorised Agent for the purposes of the Terms and Conditions.
8. I/We agree that Desktop Broker may provide any information (for example information as to trades executed on our/my Account) to the Licensee and/or its Representatives (including any person who purports to be a Representative) that Desktop Broker is entitled to and/or required to provide to me/us.

**Signatures:** Please provide signatures of all persons authorised to operate the account.

\_\_\_\_\_  
(Individual/Applicant 1 or Director of Company)

Date

\_\_\_\_\_  
(Applicant 2/ Director or Secretary of Company)

Date

\_\_\_\_\_  
(Applicant 3 or Director of Company)

Date

\_\_\_\_\_  
(Applicant 4 or Director of Company)

Date

**Section 13 – Broker to Broker Transfer**

Please complete this form if you wish to transfer financial products from another broker (with whom you are sponsored) to Third Party Platform sponsorship. Please attach a copy of your latest CHESS holding statement.

**Existing sponsoring participant details (other broker):**

For your transfer to be successful, your registration details (ie your name and address) on this form must agree with the details on your account with Desktop Broker. If not, you will need to advise your existing sponsoring participant of any changes before we can process this transfer.

**1. Registered name as recorded on your latest CHESS Holding Statement\***

**2. Account designation (if applicable) eg <ABC Superfund A/C>**

**3. Registered Address\***

**4. Name of existing sponsoring participant (broker name)\***

**5. Account number**

<input type="text"/>	<input type="text"/>
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**6. HIN\***

**7. PID of existing sponsoring participant (if known)**

<input type="text"/>	<input type="text"/>
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**Please select one option\*:**

- 8.  Please transfer HIN and all stock holdings from existing broker
- 9.  Please transfer only those holdings listed below from existing broker onto a Third Party Platform HIN

10. ASX code	11. Security name (eg BHP Billiton Limited)	12. Quantity (no. of shares)

I/We authorise Third Party Platform to transfer the existing HIN and all holdings/the above listed Holdings into my/our Desktop Broker Share Trading Account.

**Signatures:** Please provide signatures of all persons authorised to operate the account.

\_\_\_\_\_  
(Individual/Applicant 1 or Director of Company)

Date / /

\_\_\_\_\_  
(Applicant 2/ Director or Secretary of Company)

Date / /

\_\_\_\_\_  
(Applicant 3 or Director of Company)

Date / /

\_\_\_\_\_  
(Applicant 4 or Director of Company)

Date / /

