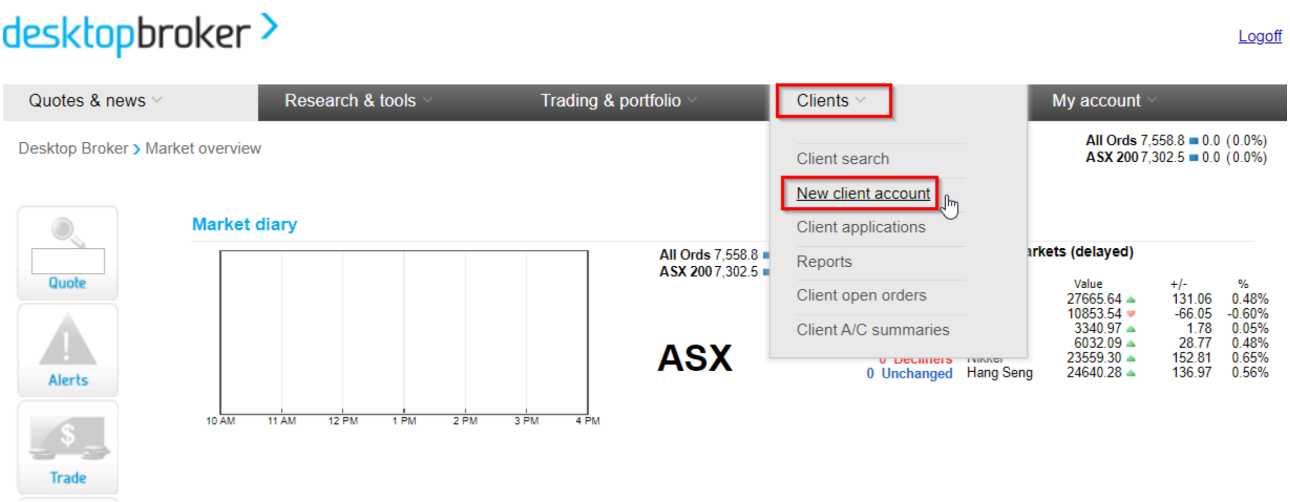
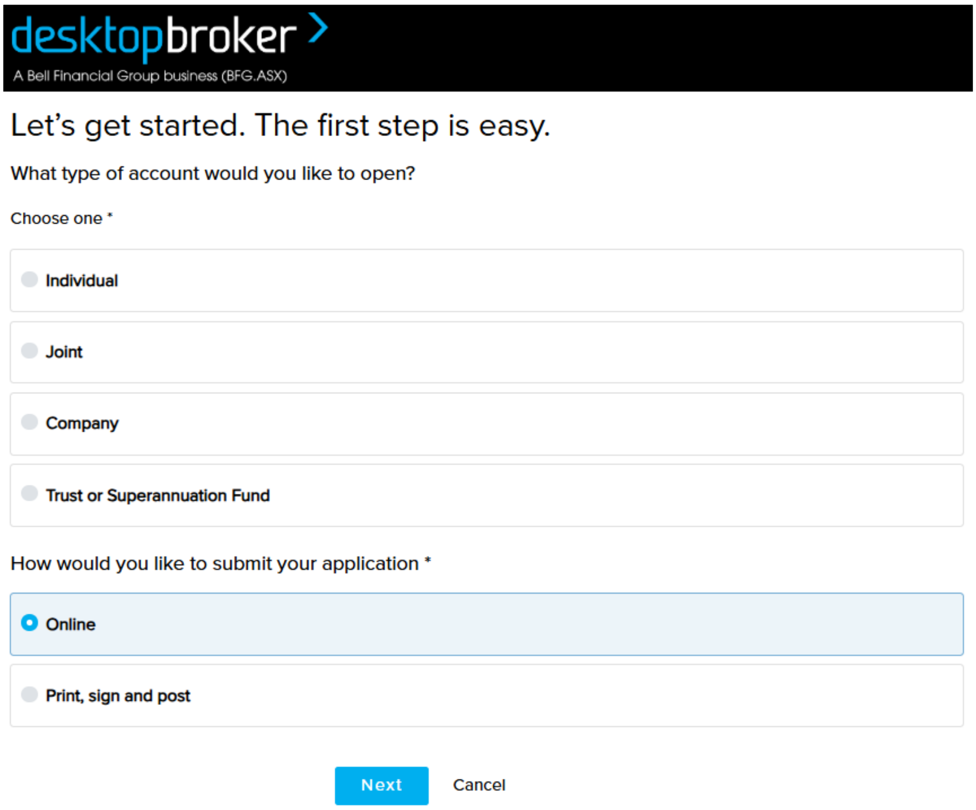
NEW CLIENT APPLICATION GUIDE.

To open a new account Select New client account on the Clients menu.



A new window will open with the LAB form as shown below:



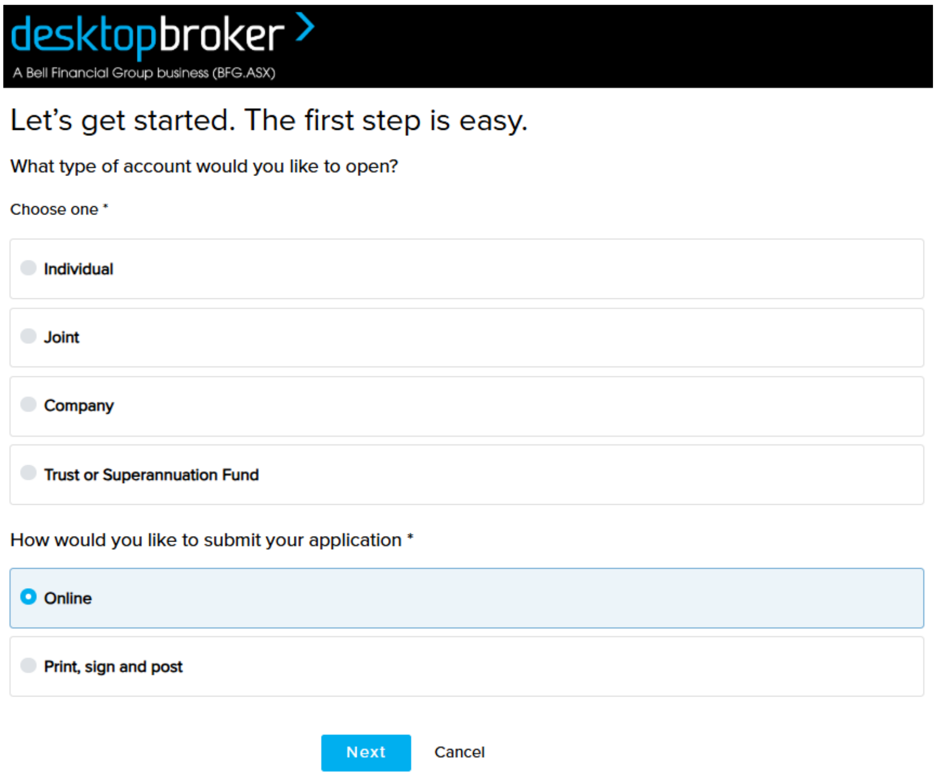
To start and save a new application please have the following information from your client:

- Client type (i.e. individual, trust)
- Name
- Date of birth
- Valid email address
- At least one contact number

The application form gives advisers flexibility with the majority of questions being optional for them to complete.

Type of Account

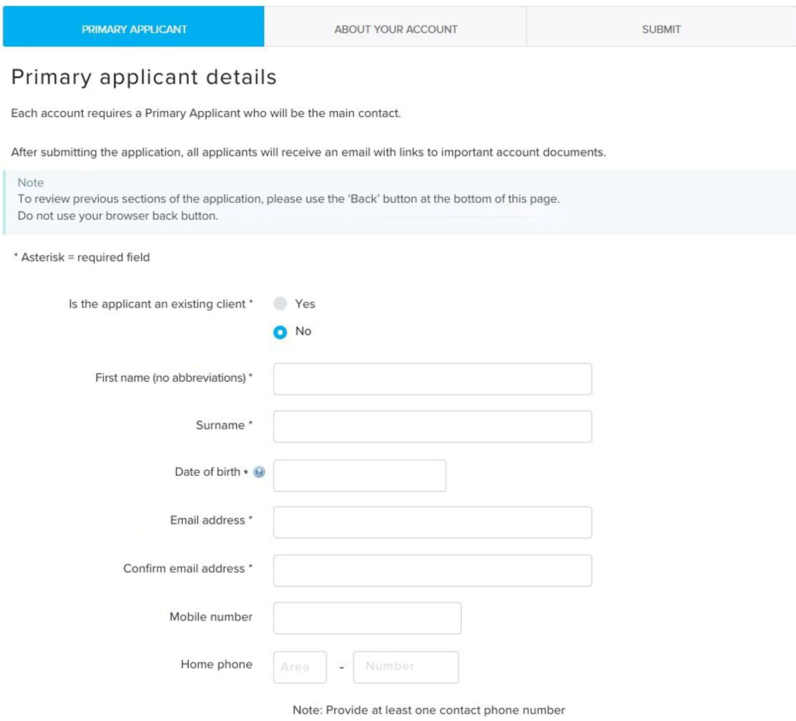
You will need to select the client type for the new account.



Note: For Trust or Superannuation Funds you will also need to specify the Trustee type to proceed.

Primary Applicant details

Under this section you will provide the primary applicant details.



Note for company accounts you will have to provide the company details, tax status, the company's officers and beneficial ownership.

COMPANY | ABOUT YOUR ACCOUNT | ABOUT YOU | CHECK DETAILS | SUBMIT

About your company

Now that we know who the main person is on your new account, please tell us more about your company.

* Asterisk = required field

About your company

The full name of the company *

The type of company * Please select

Australian Company Number (ACN) *

Australian Business Number (ABN)

Your company Tax File Number

Note: Provision of a TFN or ABN is not compulsory, however, if you do not quote your TFN or ABN or claim an exemption, tax may be deducted from the interest paid to you at the highest marginal tax rate plus Medicare Levy. Declining to quote a TFN is not an offence.

COMPANY | ABOUT YOUR ACCOUNT | ABOUT YOU | CHECK DETAILS | SUBMIT

About your company's tax status

To open your account, the FATCA (United States Foreign Account Tax Compliance Act) and the CRS (Common Reporting Standard) require us to understand the tax status of your trust.

Please confirm your trust's tax status by choosing from the options below.

If you're not sure, click on the question marks for more information.

* Asterisk = required field.

Company tax classification *

- Financial Institution
- Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed Company or Australian Registered Charity
- Active Non-Financial Entity (NFE)
- Other

COMPANY | ABOUT YOUR ACCOUNT | ABOUT YOU | CHECK DETAILS | SUBMIT

About your company's officers

Please complete the details of all the company directors below.

If you want someone else to be authorised as a signatory on the account (for example, your Company Secretary), please also include their details below.

There must be at least two people authorised as signatories on the account (for example two Directors and the Company Secretary) unless your company constitution says otherwise.

And if you are the Sole Director, you must be authorised as a signatory.

* Asterisk = required field

Title * Please select

First name (no abbreviations) * Test

Middle name

Surname * Test

Will this person be an authorised signatory on the account? *

- Yes
- No

COMPANY | ABOUT YOUR ACCOUNT | ABOUT YOU | CHECK DETAILS | SUBMIT

Your company ownership

To open your account, we also need to know who owns your company – the beneficial owners.

A beneficial owner is a person who owns at least 25% of the issued capital in the company.

Please complete the ownership structure below. You can keep adding people until all the people who are beneficial owners of the company are included.

* Asterisk = required field

Are there any people who own more than 25% of the company (directly or indirectly)?

- Yes
- No

COMPANY | ABOUT YOUR ACCOUNT | ABOUT YOU | CHECK DETAILS | SUBMIT

Give your account a name

It's often helpful to give your trust account a name or designation, so it's easy for you to identify. For example you may wish to call it "The trading account".

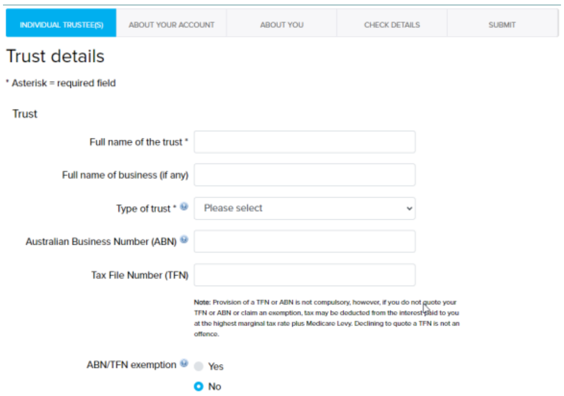
Please let us know if you want to choose an account designation below.

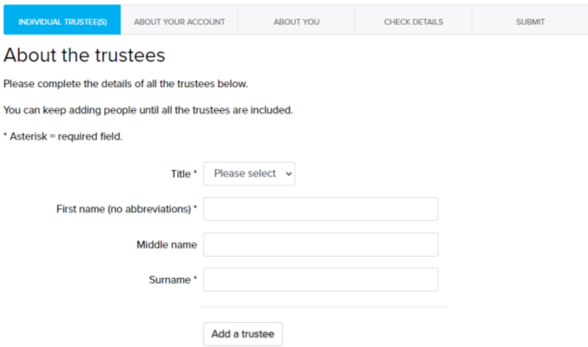
Note
Remember, to avoid confusion you can't include words like 'account', 'atf', 'trust', 'trustee for' and 'A/C'.

The account designation < A/C>

Trust details

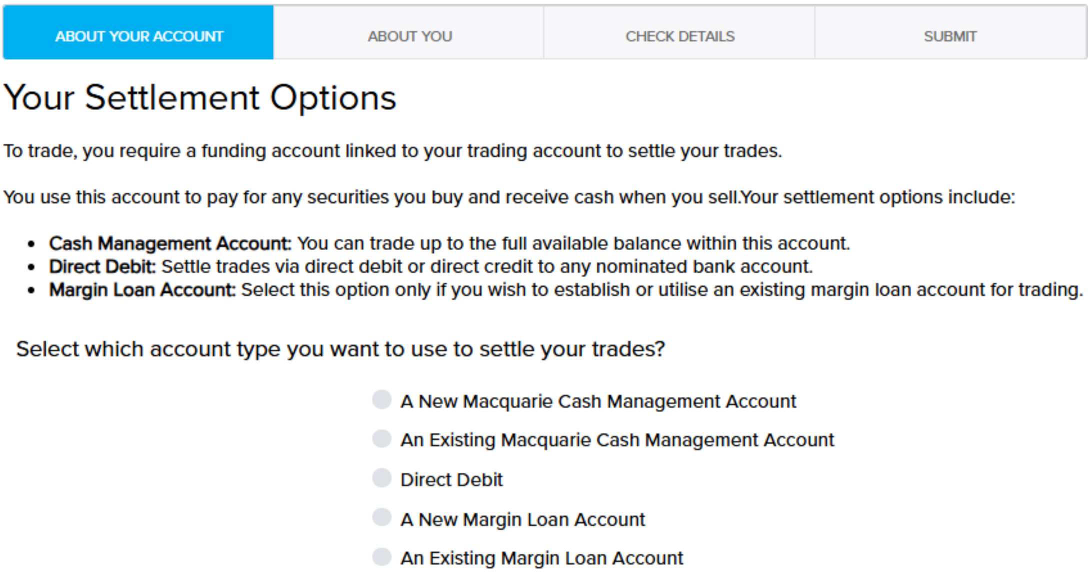
When applying for a Trust account you will need to provide the Trust details, trustee details and provide the trust name for the designation.





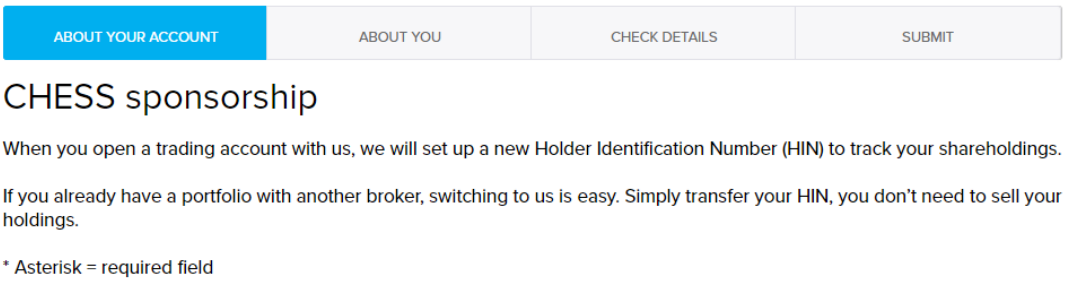
Settlement Options

There are a number of settlement funding options available to your client. When creating an account kindly select the option that is most applicable.



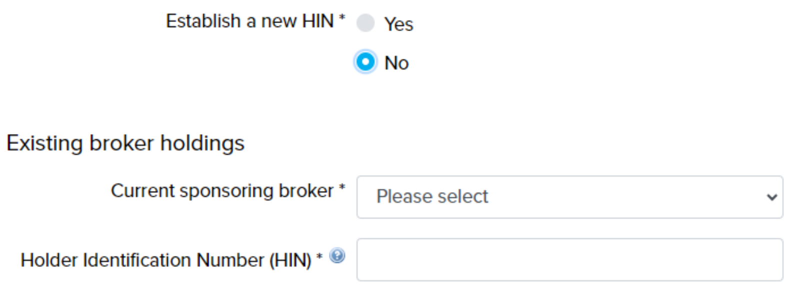
CHESS Sponsorship

When opening a new account kindly select whether you would like us to create a new HIN or

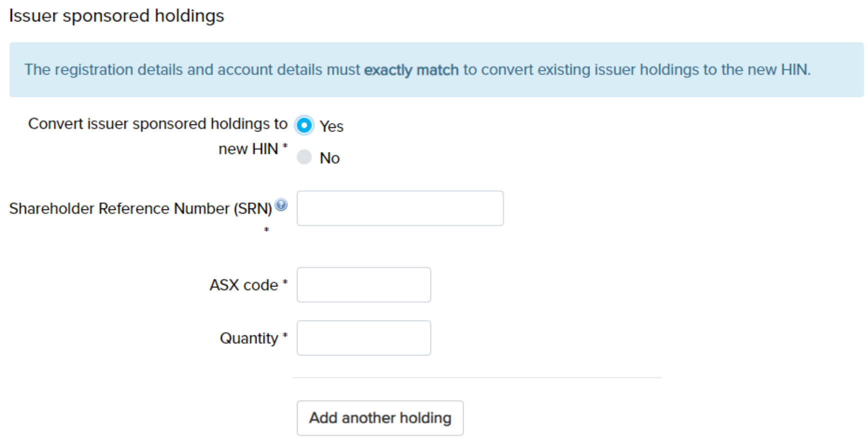


Transferring shares

When opening an account you can select whether to establish the account with a new HIN or transfer an existing HIN from another broker.

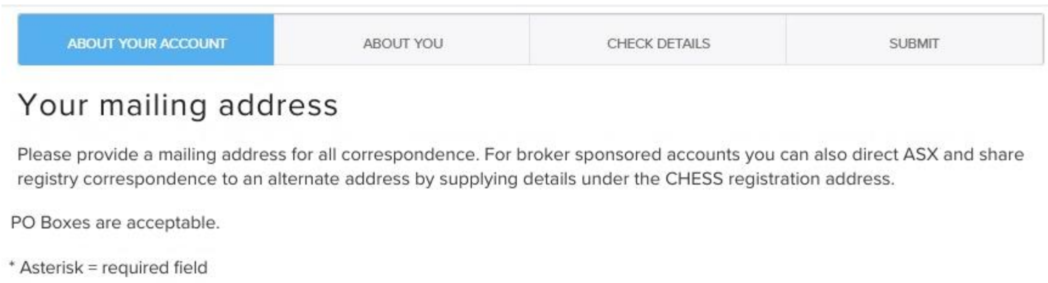


You may also indicate whether you would like to transfer issuer sponsored holdings to the new account. You can convert issuer sponsored holdings for new HIN setups.



Address Details

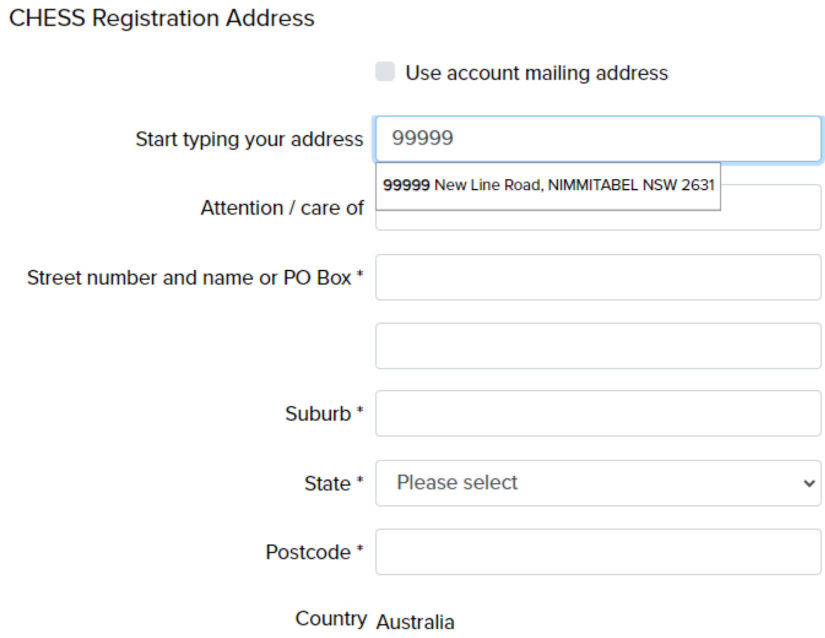
Under this section you will need to provide mailing address details for the client.



CHESS Registration Address

Tick this option if the CHESS registration address will be the same as the mailing address.

Otherwise enter the address if it is separate to the mailing address.

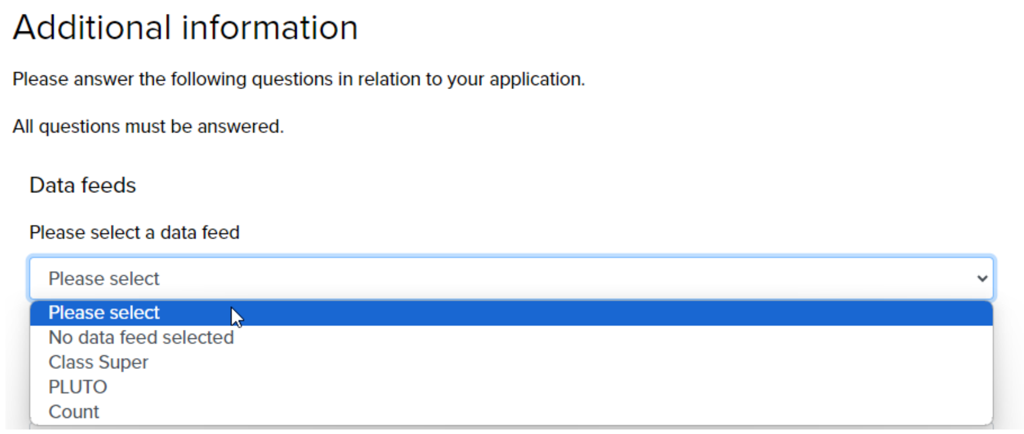


Additional Information

Under this section you will need to provide details on data feeds and brokerage fees on the new account.

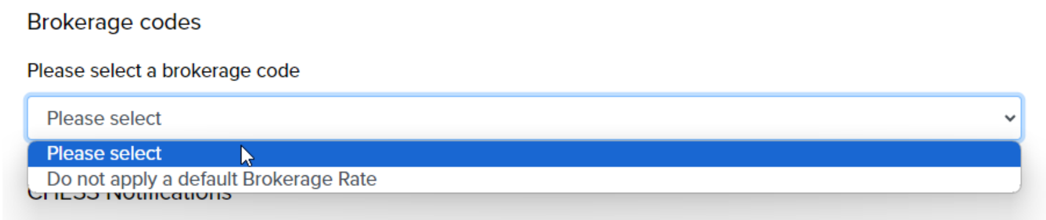
Data Feeds

Please indicate whether you would like to receive any data feeds for your clients new account.



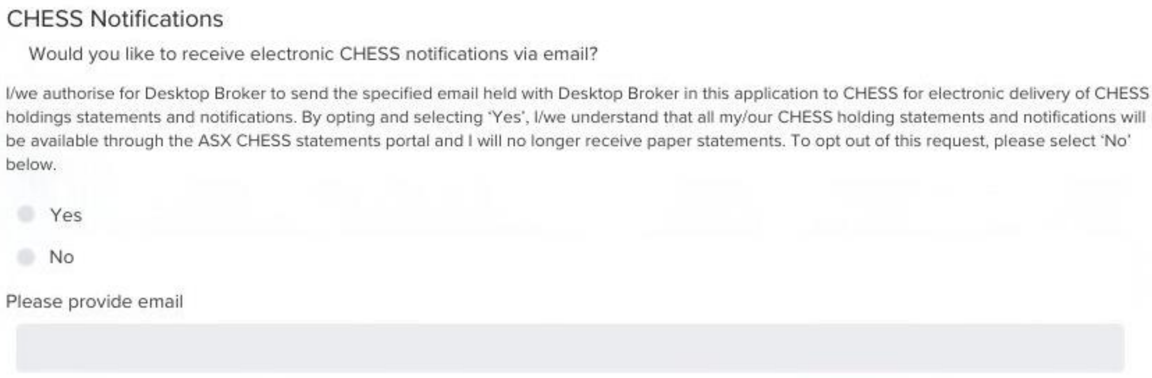
Brokerage amounts

Please also indicate the brokerage fee to apply on the account.



CHESS Notifications

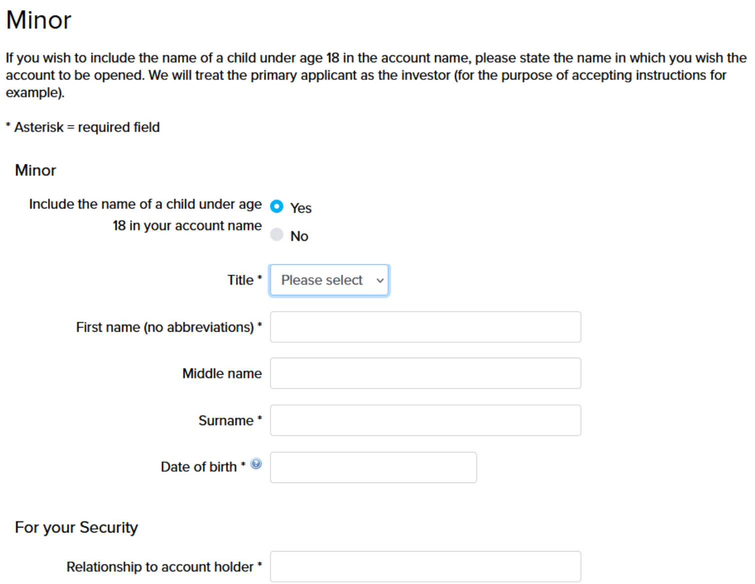
Please also indicate if your client would like to receive electronic CHESS notifications via email.



Minor

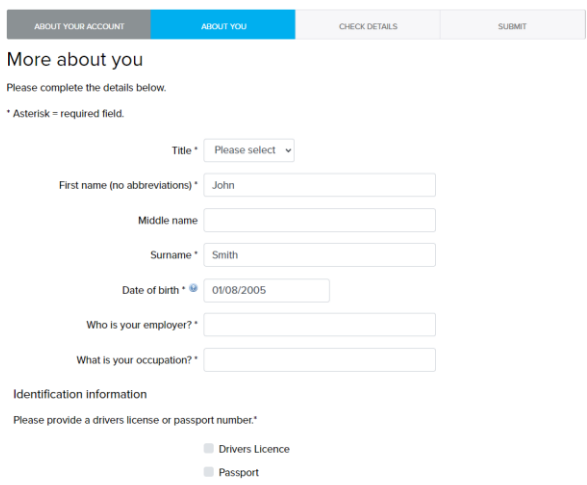
Please indicate if you wish the new account to be a minor account. As well as:

- Enter all the required personal details of the minor
- Relationship to account holder: enter the minor's relationship to the primary applicant



1.2. More about you

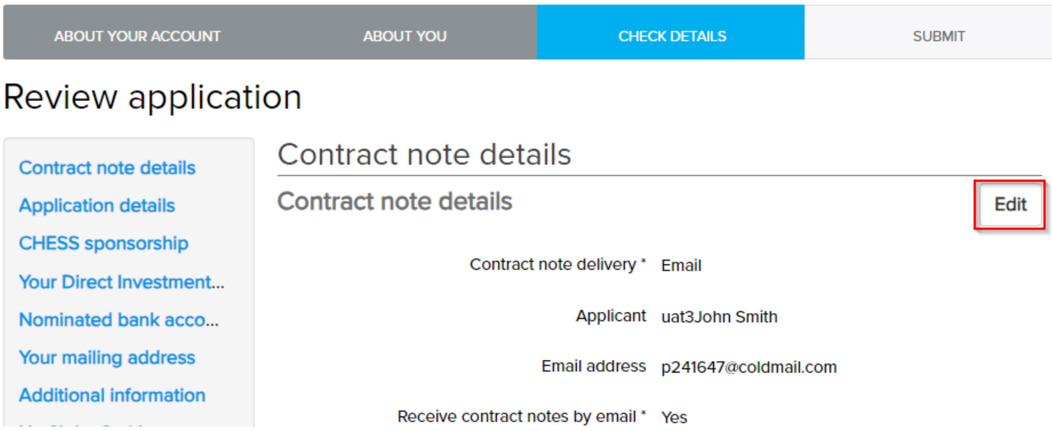
Under this section you can enter additional personal information on the primary applicant.

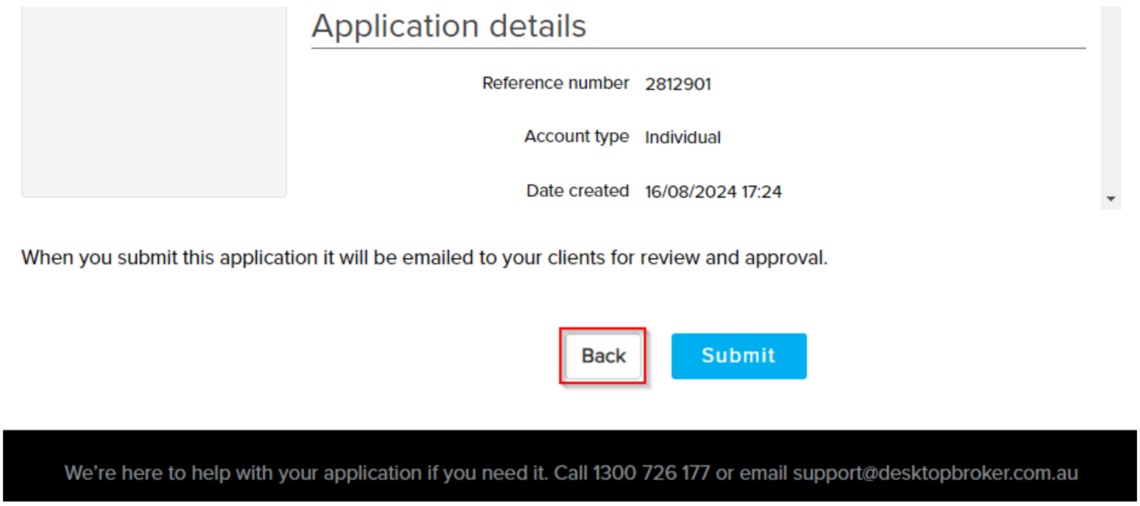


1.3. Review Application

Once you have reached the Review Application page, kindly review all of the details provided to confirm they are correct and click Submit at the bottom of the page.

Note: Click Edit under the appropriate section and update the entered details.





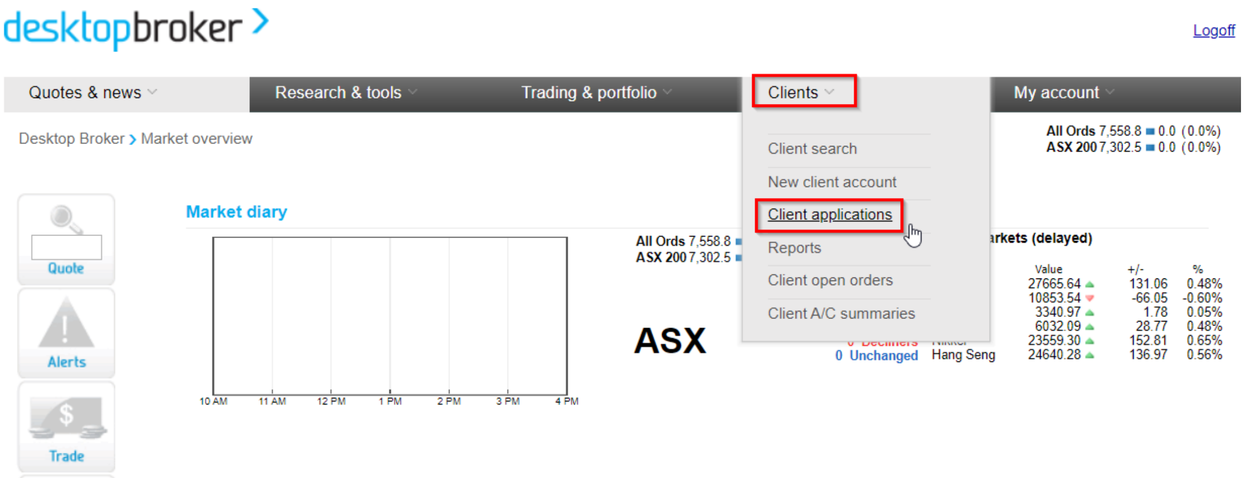
1.4. Submitting an application

Things to note after submitting:

- Primary applicants will receive an approval email to review and accept the application terms and conditions.
- To avoid issues or delays in the application process, ensure the entered email and date of birth of applicants is correct.
- The approval email will be sent to the primary applicant first. Secondary applicants will receive the approval email after the primary applicant has accepted terms.
- You can resend the approval email to clients.
- Updating application details after the adviser has submitted will reset all approvals and may require terms to be accepted again.

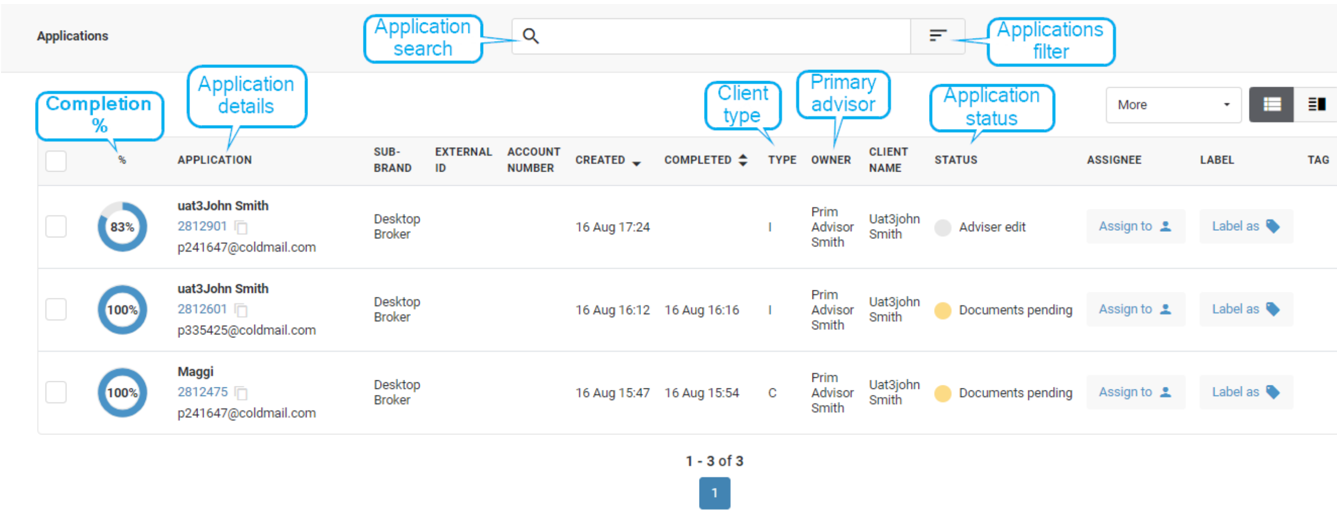
How to Access applications

To access Application Manager, you can do so by clicking on the Clients menu and then Client applications.

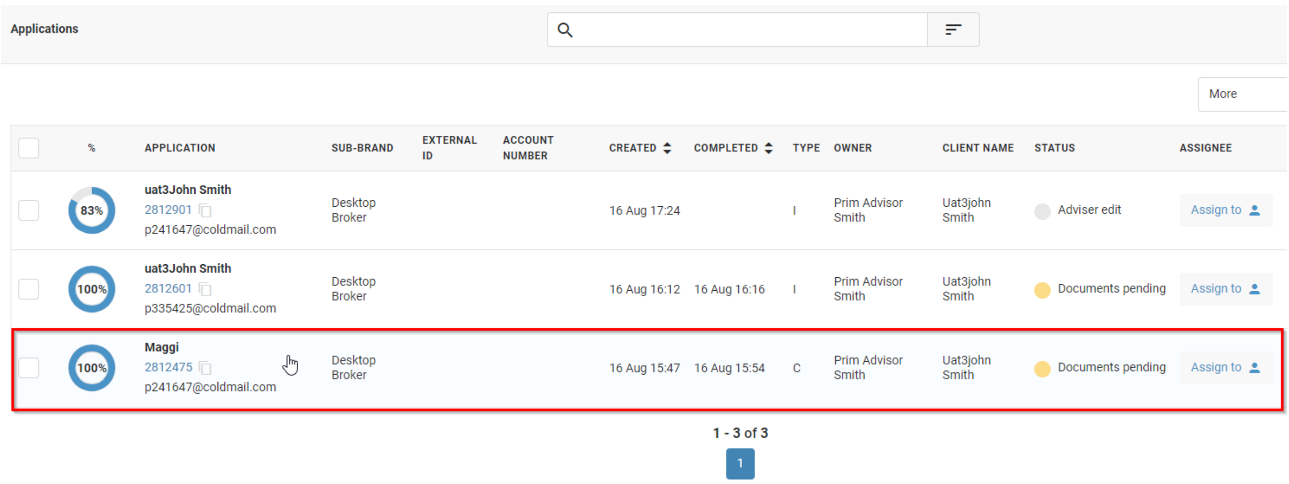


This will open the Application Manager, which shows all applications entered and the details of each.

Below is an overview of the key sections within Application Manager.

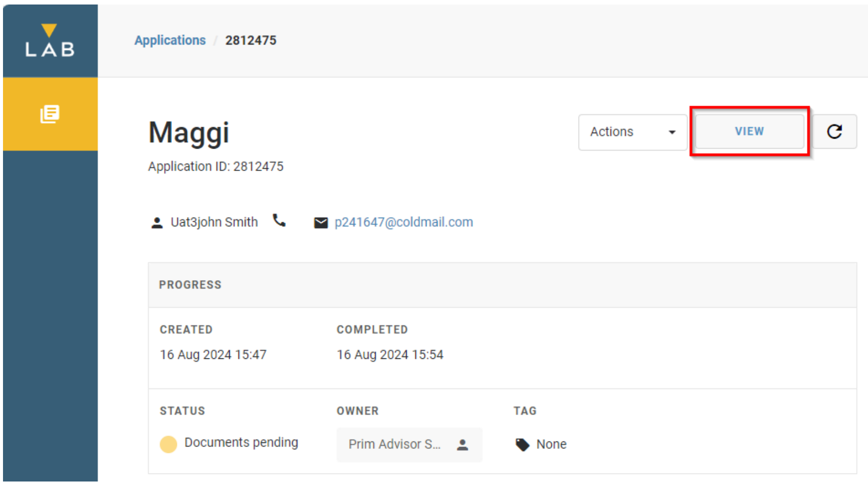


To view an application click anywhere on the relevant application as highlighted below.

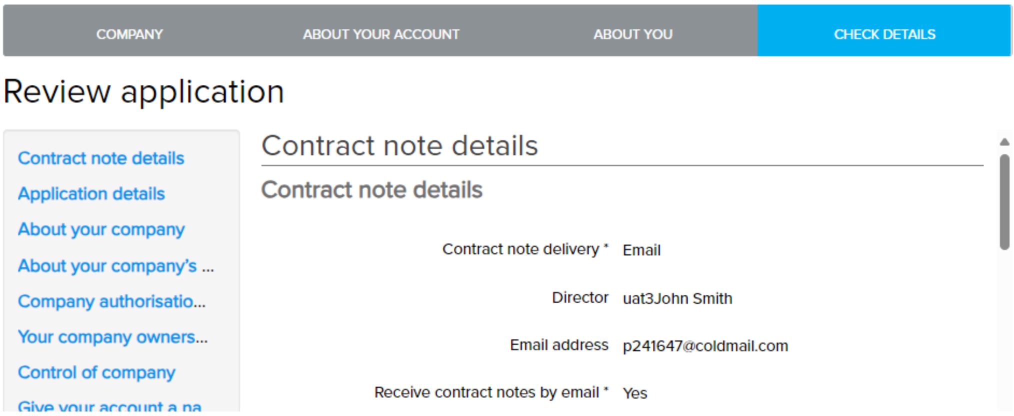


You will be directed to the screen below.

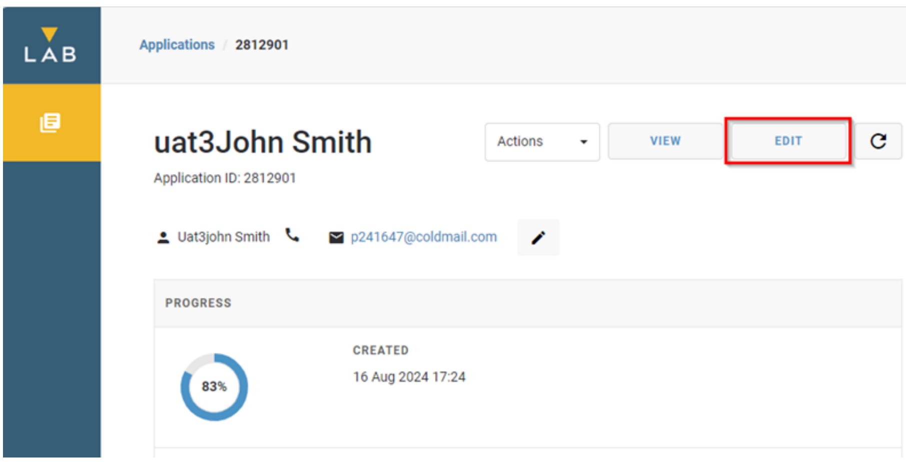
- Click



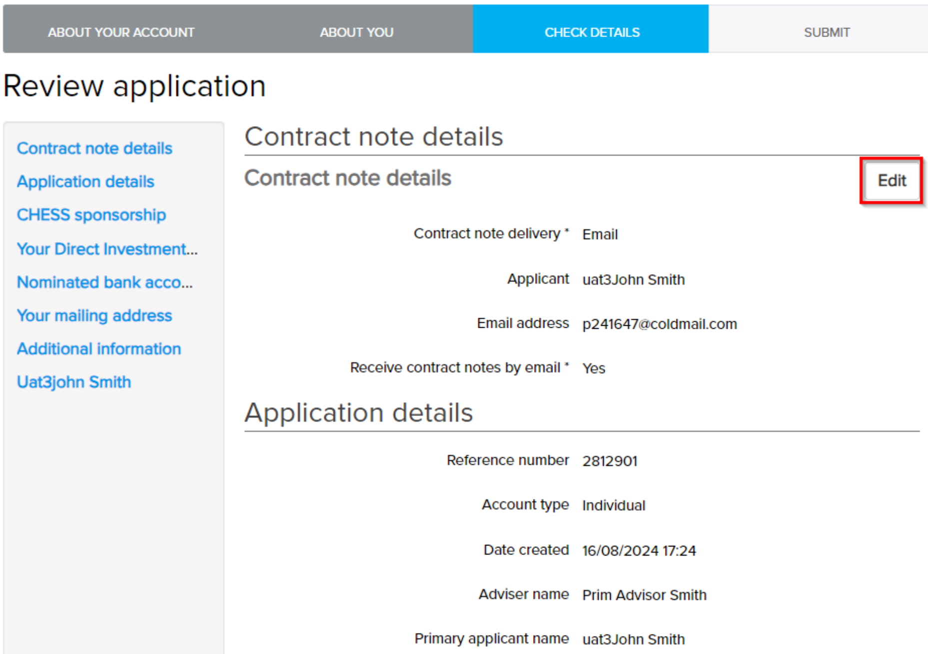
Which will take you to the **Review application** screen.



To edit application details kindly select the edit button once in an application.



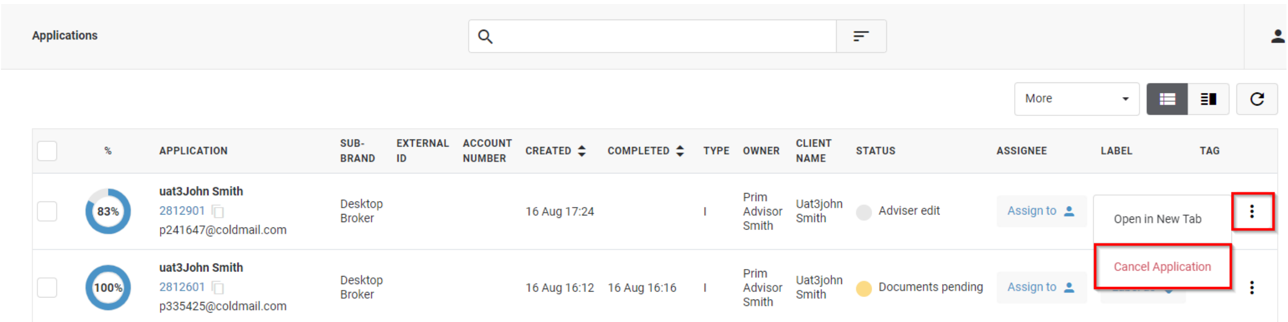
You will be directed to the Review Application screen, where you can click Edit in the application section which needs to be updated.

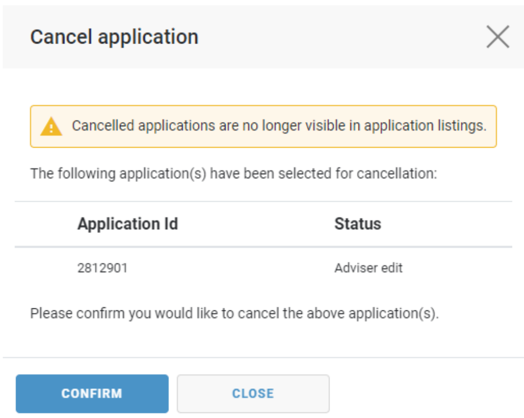


Important:

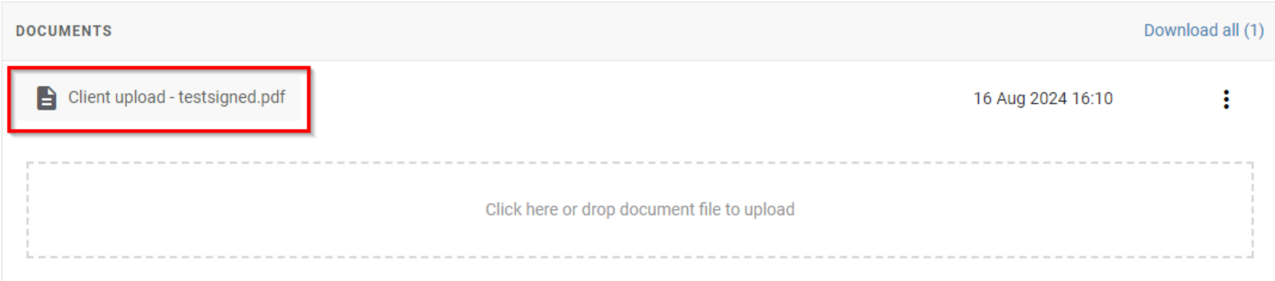
- Editing an application that has been submitted to the applicant may reset approvals and require the client to re-accept the terms and conditions.
- Applications which are completed and at 100% cannot be edited.

To cancel an application kindly click ⋮ at the right of the application, select **Cancel Application** and **Confirm** to proceed.





To provide supporting documents such as ID, you can do so by scrolling down to **Documents** and clicking or dragging files into the section that states Click here or drop document file to upload.



You can resend the application approval email to an applicant if required, by clicking on Actions and selecting **Email Resume Link** in the dropdown menu, the selecting SEND on the pop-up.