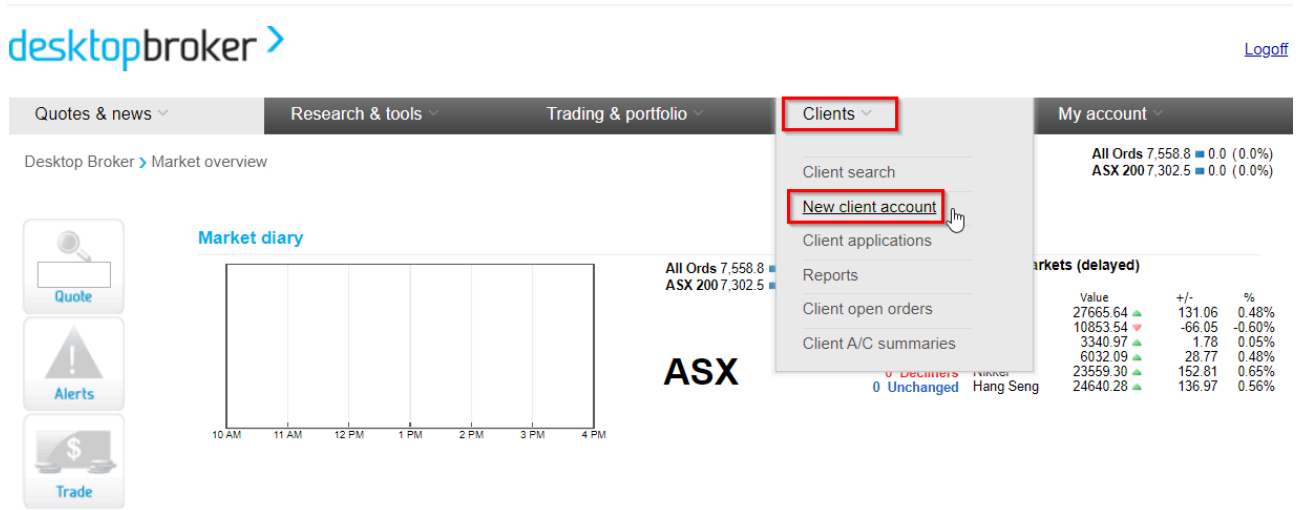


NEW CLIENT APPLICATION GUIDE.

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:

The screenshot shows the 'New client account' form. The form is titled 'Let's get started. The first step is easy.' and asks 'What type of account would you like to open?'. The user has selected 'Individual' and 'Online' as the submission method. The form includes a 'Next' button and a 'Cancel' button.

Let's get started. The first step is easy.

What type of account would you like to open?

Choose one *

Individual

Joint

Company

Trust or Superannuation Fund

How would you like to submit your application *

Online

Print, sign and post

[Next](#) [Cancel](#)


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.



A Bell Financial Group business (BFG.ASX)

Let's get started. The first step is easy.

What type of account would you like to open?

Choose one *

Individual

Joint

Company

Trust or Superannuation Fund

How would you like to submit your application *

Online

Print, sign and post

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.

PRIMARY APPLICANT ABOUT YOUR ACCOUNT SUBMIT

Primary applicant details

Each account requires a Primary Applicant who will be the main contact.

After submitting the application, all applicants will receive an email with links to important account documents.

Note
To review previous sections of the application, please use the 'Back' button at the bottom of this page.
Do not use your browser back button.

* Asterisk = required field

Is the applicant an existing client * Yes No

First name (no abbreviations) *

Surname *

Date of birth *

Email address *

Confirm email address *

Mobile number

Home phone Area - Number

Note: Provide at least one contact phone number

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 *

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 *

First name (no abbreviations) *

Middle name

Surname *

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

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.

INDIVIDUAL TRUSTEES	ABOUT YOUR ACCOUNT	ABOUT YOU	CHECK DETAILS	SUBMIT
---------------------	--------------------	-----------	---------------	--------

Trust details

* Asterisk = required field

Trust

Full name of the trust *

Full name of business (if any)

Type of trust *

Australian Business Number (ABN) *

Tax File Number (TFN)

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.

ABN/TFN exemption Yes No

INDIVIDUAL TRUSTEES	ABOUT YOUR ACCOUNT	ABOUT YOU	CHECK DETAILS	SUBMIT
---------------------	--------------------	-----------	---------------	--------

About the trustees

Please complete the details of all the trustees below.

You can keep adding people until all the trustees are included.

* Asterisk = required field.

Title *

First name (no abbreviations) *

Middle name

Surname *

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.

ABOUT YOUR ACCOUNT	ABOUT YOU	CHECK DETAILS	SUBMIT
--------------------	-----------	---------------	--------

Your Settlement Options

To trade, you require a funding account linked to your trading account to settle your trades.

You use this account to pay for any securities you buy and receive cash when you sell. Your settlement options include:

- **Cash Management Account:** You can trade up to the full available balance within this account.
- **Direct Debit:** Settle trades via direct debit or direct credit to any nominated bank account.
- **Margin Loan Account:** Select this option only if you wish to establish or utilise an existing margin loan account for trading.

Select which account type you want to use to settle your trades?

- A New Macquarie Cash Management Account
- An Existing Macquarie Cash Management Account
- Direct Debit
- A New Margin Loan Account
- An Existing Margin Loan Account

CHESS Sponsorship

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

ABOUT YOUR ACCOUNT	ABOUT YOU	CHECK DETAILS	SUBMIT
--------------------	-----------	---------------	--------

CHESS sponsorship

When you open a trading account with us, we will set up a new Holder Identification Number (HIN) to track your shareholdings.

If you already have a portfolio with another broker, switching to us is easy. Simply transfer your HIN, you don't need to sell your holdings.

* Asterisk = required field

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.

Establish a new HIN * Yes
 No

Existing broker holdings

Current sponsoring broker *

Holder Identification Number (HIN) *

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.

Issuer sponsored holdings

The registration details and account details must **exactly match** to convert existing issuer holdings to the new HIN.

Convert issuer sponsored holdings to Yes
new HIN * No

Shareholder Reference Number (SRN) *

ASX code *

Quantity *

Address Details

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

ABOUT YOUR ACCOUNT

ABOUT YOU

CHECK DETAILS

SUBMIT

Your mailing address

Please provide a mailing address for all correspondence. For broker sponsored accounts you can also direct ASX and share registry correspondence to an alternate address by supplying details under the CHESS registration address.

PO Boxes are acceptable.

* Asterisk = required field

CHESS Registration Address

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

CHESS Registration Address

Use account mailing address

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

CHESS Registration Address

Use account mailing address

Start typing your address

Attention / care of

Street number and name or PO Box *

Suburb *

State *

Postcode *

Country Australia

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.

Additional information

Please answer the following questions in relation to your application.

All questions must be answered.

Data feeds

Please select a data feed

- Please select**
- No data feed selected
- Class Super
- PLUTO
- Count

Brokerage amounts

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

Brokerage codes

Please select a brokerage code

- Please select**
- Do not apply a default Brokerage Rate

CHES Notifications

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

CHES Notifications

Would you like to receive electronic CHES notifications via email?

I/we authorise for Desktop Broker to send the specified email held with Desktop Broker in this application to CHES for electronic delivery of CHES holdings statements and notifications. By opting and selecting 'Yes', I/we understand that all my/our CHES holding statements and notifications will be available through the ASX CHES statements portal and I will no longer receive paper statements. To opt out of this request, please select 'No' below.

Yes

No

Please provide email

Minor

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

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

Minor

If you wish to include the name of a child under age 18 in the account name, please state the name in which you wish the account to be opened. We will treat the primary applicant as the investor (for the purpose of accepting instructions for example).

* Asterisk = required field

Minor

Include the name of a child under age 18 in your account name Yes
 No

Title *

First name (no abbreviations) *

Middle name

Surname *

Date of birth *

For your Security

Relationship to account holder *

1.2. More about you

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

ABOUT YOUR ACCOUNT	ABOUT YOU	CHECK DETAILS	SUBMIT
--------------------	-----------	---------------	--------

More about you

Please complete the details below.

* Asterisk = required field.

Title *

First name (no abbreviations) *

Middle name

Surname *

Date of birth *

Who is your employer? *

What is your occupation? *

Identification information


Please provide a drivers license or passport number.*

Drivers Licence

Passport

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  under the appropriate section and update the entered details.

ABOUT YOUR ACCOUNT ABOUT YOU **CHECK DETAILS** SUBMIT

Review application

[Contract note details](#)

[Application details](#)

[CHESS sponsorship](#)


[Your Direct Investment...](#)

[Nominated bank acco...](#)

[Your mailing address](#)

[Additional information](#)

Contract note details

[Contract note details](#) 

Contract note delivery * Email

Applicant uat3John Smith

Email address p241647@coldmail.com

Receive contract notes by email * Yes



Application details

Reference number 2812901

Account type Individual

Date created 16/08/2024 17:24

When you submit this application it will be emailed to your clients for review and approval.

We're here to help with your application if you need it. Call 1300 726 177 or email support@desktopbroker.com.au

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.

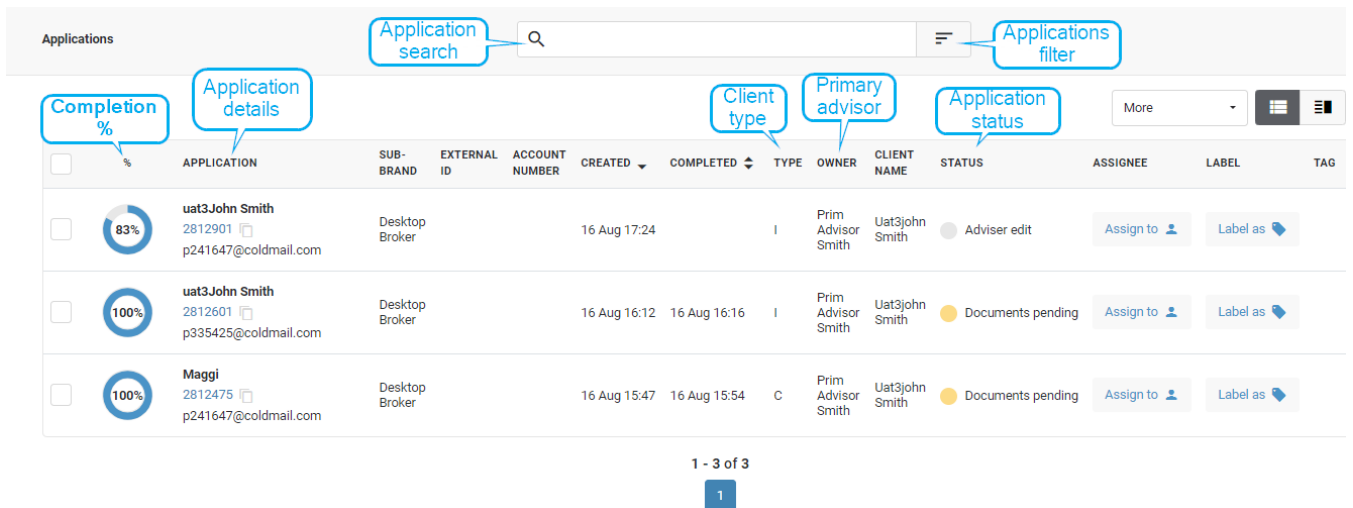
desktopbroker >

Logoff

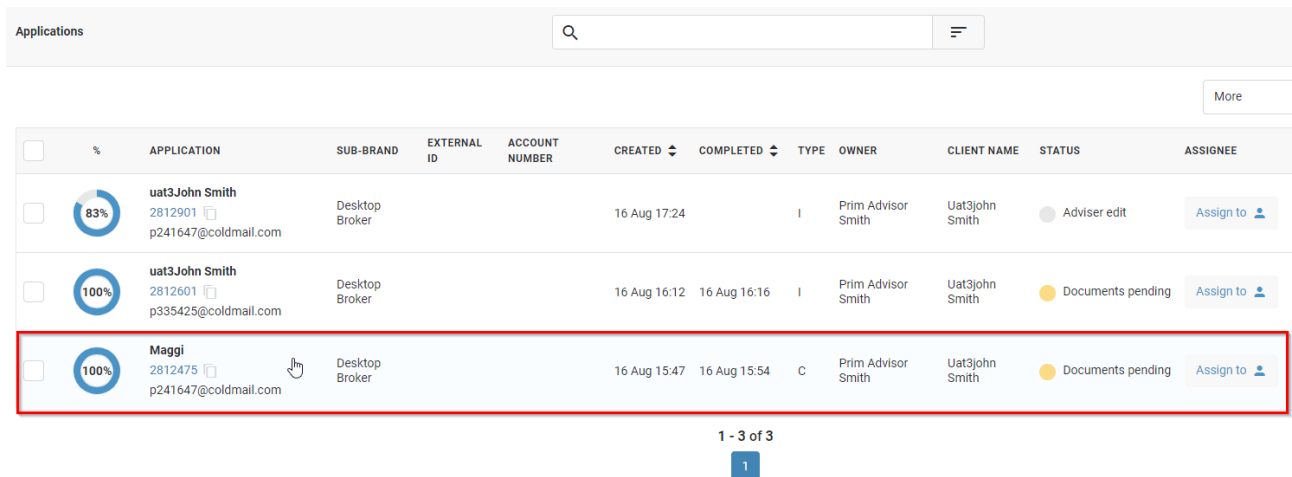


This will open the Application Manager, which shows all applications entered and the details of each.

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

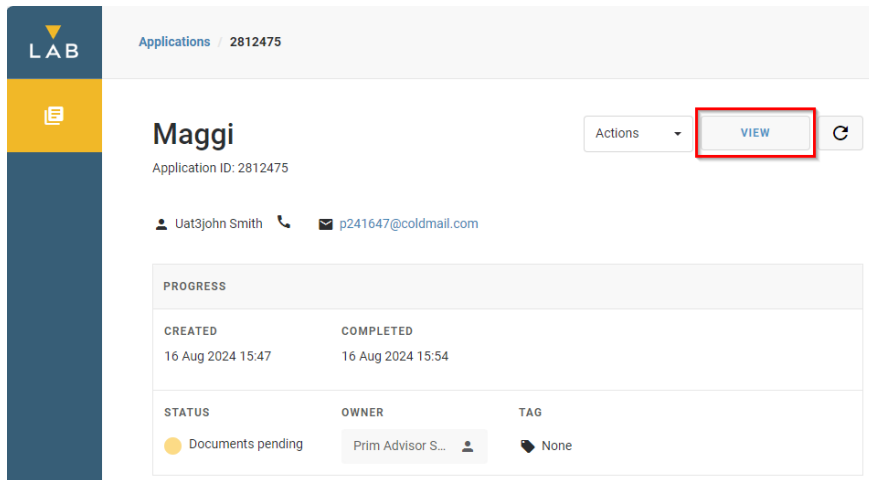


To view an application click anywhere on the relevant application as highlighted below.



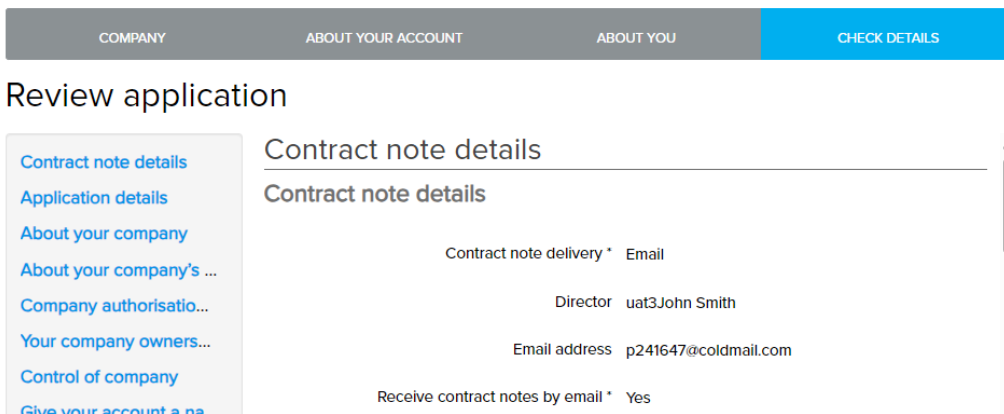
You will be directed to the screen below.

o Click 



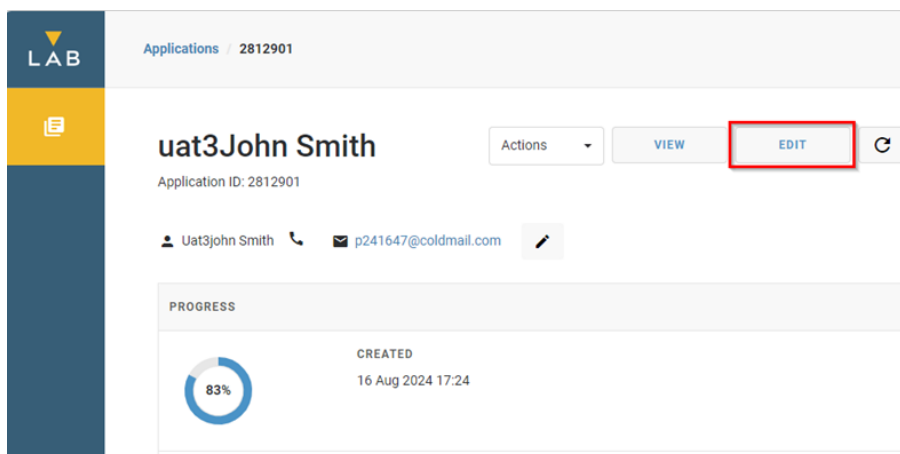
The screenshot shows the 'Maggi' application details page. The header includes 'LAB' and 'Applications / 2812475'. The main content area displays the application name 'Maggi' and its ID '2812475'. Below this, there are contact details for 'Uat3John Smith' and an email address 'p241647@coldmail.com'. A 'PROGRESS' section shows 'CREATED' on '16 Aug 2024 15:47' and 'COMPLETED' on '16 Aug 2024 15:54'. A 'STATUS' section indicates 'Documents pending'. An 'OWNER' section lists 'Prim Advisor S...' and a 'TAG' section shows 'None'. An 'Actions' dropdown menu is visible, with the 'VIEW' button highlighted by a red box.

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



The screenshot shows the 'Review application' screen. The top navigation bar includes 'COMPANY', 'ABOUT YOUR ACCOUNT', 'ABOUT YOU', and 'CHECK DETAILS'. The main heading is 'Review application'. On the left, there is a sidebar menu with options like 'Contract note details', 'Application details', 'About your company', etc. The main content area is titled 'Contract note details' and contains the following information: 'Contract note delivery * Email', 'Director uat3John Smith', 'Email address p241647@coldmail.com', and 'Receive contract notes by email * Yes'.

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



The screenshot shows the application details page for 'uat3John Smith'. The header includes 'LAB' and 'Applications / 2812901'. The main content area displays the application name 'uat3John Smith' and its ID '2812901'. Below this, there are contact details for 'Uat3John Smith' and an email address 'p241647@coldmail.com'. A 'PROGRESS' section shows a progress indicator at '83%' and 'CREATED' on '16 Aug 2024 17:24'. An 'Actions' dropdown menu is visible, with the 'EDIT' button highlighted by a red box.

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

ABOUT YOUR ACCOUNT
ABOUT YOU
CHECK DETAILS
SUBMIT

Review application

- Contract note details
- Application details
- CHESS sponsorship
- Your Direct Investment...
- Nominated bank acco...
- Your mailing address
- Additional information
- Uat3John Smith

Contract note details

Edit

Contract note delivery * Email

Applicant uat3John Smith

Email address p241647@coldmail.com

Receive contract notes by email * Yes

Application details

Reference number 2812901

Account type Individual

Date created 16/08/2024 17:24

Adviser name Prim Advisor Smith

Primary applicant name uat3John Smith

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.

Applications														
											More			
	%	APPLICATION	SUB-BRAND	EXTERNAL ID	ACCOUNT NUMBER	CREATED	COMPLETED	TYPE	OWNER	CLIENT NAME	STATUS	ASSIGNEE	LABEL	TAG
<input type="checkbox"/>	83%	uat3John Smith 2812901 p241647@coldmail.com	Desktop Broker			16 Aug 17:24		I	Prim Advisor Smith	Uat3John Smith	Adviser edit	Assign to	Open in New Tab	⋮
<input type="checkbox"/>	100%	uat3John Smith 2812601 p335425@coldmail.com	Desktop Broker			16 Aug 16:12	16 Aug 16:16	I	Prim Advisor Smith	Uat3John Smith	Documents pending	Assign to	Cancel Application	⋮

Cancel application ✕

⚠ Cancelled applications are no longer visible in application listings.

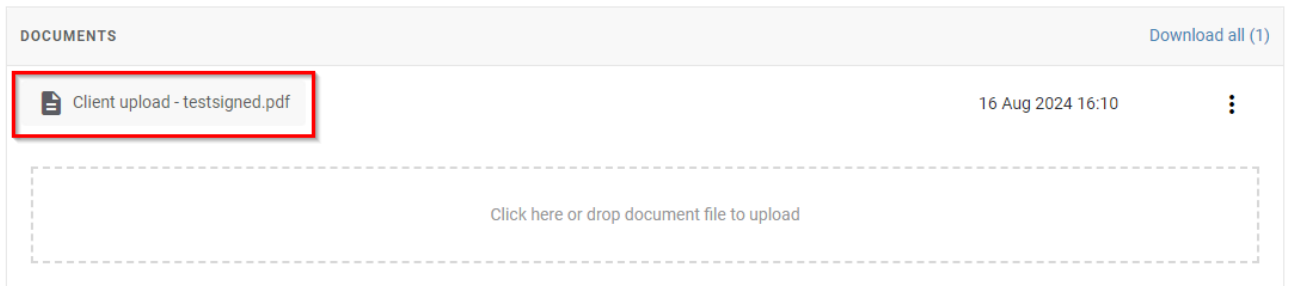
The following application(s) have been selected for cancellation:

Application Id	Status
2812901	Adviser edit

Please confirm you would like to cancel the above application(s).

CONFIRM
CLOSE

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, then selecting **SEND** on the pop-up.

