

Australian Bond Exchange

Client details (Complete one for every person)

Title	Given Names	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Preferred Name/Greeting (if different to given name)	Date of Birth (DD/MM/YYYY)	Gender
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Male <input type="checkbox"/> Female
Are you a Politically Exposed Person? No <input type="checkbox"/> Yes: Australian PEP <input type="checkbox"/> Foreign PEP <input type="checkbox"/> or International Organisation PEP <input type="checkbox"/>		

Residential Address

Street

Suburb/Town/City	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Postal Address Same as: Residential Address

Street/PO Box

Suburb/Town/City	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Additional Information

Home phone	Business phone	Mobile	Facsimile
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email <input type="text"/>			
Occupation	Work status (eg full time)	Employer	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

Are you an Australian resident for tax purposes?
 Yes No

If no, please state country of residency

TFN or Exemption

Certified copies of ID attached: Drivers Lic. OR Passport AND Medicare Card or Others
(ID must include recent photo, confirmation of DOB and current residential address)

Office/Adviser use only

Identification Provided Driver's license Passport Birth Certificate Other

(ID must include recent certified photo, confirmation of DOB and current residential address. Refer to Account Terms and Conditions)

Reference

Australian Bond Exchange

Incorporated details

Name of Company / Association / Registered Co-operative / Government Body

Is the company

Private? Public (proprietary)? Partnership? Association or Registered Co-operative? Government Body? Foreign? (refer adviser)

ABN/ACN

Full address of registered office

Street

Postal Address or Residential Address

Suburb/Town/City

State

Postcode

Country

Full address of principal place of business

Same as above:

Street

Suburb/Town/City

State

Postcode

Country

Full name, address and ID of each Beneficial Owner if different to Directors (**Beneficial Owner is anyone who owns and/or controls 25% or more of the holding**)

Given Names

Surname

Date of Birth (DD/MM/YYYY)

Address

Given Names

Surname

Date of Birth (DD/MM/YYYY)

Address

TFN or Exemption

Office/Adviser use only

Copy of Incorporation Provided Directors Identified

Reference

Australian Bond Exchange

Fund/Trust details

Type: Superannuation Fund Family Trust Unit Trust Other

Full name of Trust / Super fund

Full business name (if any) of the Trustee

Full name, address and ID of each Beneficial Owner if different to Directors (**Beneficial Owner is anyone who owns and/or controls 25% or more of the holding**)

Given Names

Surname

Date of Birth (DD/MM/YYYY)

Address

Given Names

Surname

Date of Birth (DD/MM/YYYY)

Address

TFN or Exemption

Office/Adviser use only

Copy of Trust Deed Provided Super Fund Investment Strategy requested

Reference

Australian Bond Exchange

Authorise another person to operate this account

If you wish to authorise somebody else (eg spouse, accountant, Power of Attorney, financial planner, etc) to act on your account, please complete this section of the document. This Authority may only be revoked by written notice from the Client to Australian Bond Exchange and will take effect at the commencement of the business day following the date of receipt of the notice of revocation by Australian Bond Exchange (See Account Terms and Conditions for further details). Relevant ID is also required in accordance with Australian Bond Exchange AML/CTF requirements.

Full name of authorised person

Relationship

Organisation (if applicable)

Address (PO Box not to be used)

Home phone

Work phone

Mobile

Email

Please tick if you would like the authorised person to receive a copy of your trade confirmations

Is this a Politically Exposed Person? No Yes: Australian PEP Foreign PEP or International Organisation PEP

Other related contacts

Occasionally, you may require your adviser to contact other parties in relation to your account (eg. Accountant) – if so, please provide details below (we will not contact them without your prior consent).

Name

Role/relationship

Organisation

Telephone

Mobile

Address (PO Box not to be used)

Email

Name

Role/relationship

Organisation

Telephone

Mobile

Address (PO Box not to be used)

Email

Office/Adviser use only – Authorised Person Identification

Identification Provided Driver's license Passport Birth Certificate Other

(ID must include recent certified photo, confirmation of DOB and current residential address. Refer to Account Terms and Conditions)

Reference

Australian Bond Exchange

Signing and acknowledgement

By signing below, I/We acknowledge and agree:

- General Advice/Execution Only – that my/our adviser has asked about my/our personal circumstances, goals and objectives and I/we have chosen not to provide this detailed information. I/We will make my/our own investment decisions and understand that my/our adviser will not provide advice tailored to my/our personal circumstances.

Execution of Agreement

- I/We have been provided with, and agree to be bound by the following (latest version at www.bondexchange.com.au under Terms and Conditions):

- i. Financial Services Guide
- ii. Bond Account Terms and Conditions
- iii. Australian Bond Exchange Privacy Policy
- iv. Anti-Money Laundering and Counter Terrorism Financing Terms

- I/We have provided identification as per the requirements of the Anti-Money Laundering and Counter Terrorism Financing terms (refer to the Australian Bond Exchange Account Terms and Conditions).

- Privacy Consent – I/we consent to the use or the disclosure of our personal information only in the manner indicated in the Privacy Policy (Please see Australian Bond Exchange Account Terms and Conditions).

Please note, that by withholding consent Australian Bond Exchange will not be able to provide you with the requested account, facility or investment product.

Please note that you can withdraw your consent at any time in the future, without any charge, by contacting us.

- I/We understand Australian Bond Exchange are authorised to collect TFNs for the purposes of registration of my/our current and new custodial Sponsored holdings in accordance with either or all of the Taxation Administration Act 1953 (TAA), the Tax File Number Guidelines 2011 (TFN Guidelines), Superannuation Industry (Supervision) Act 1993 (SIS Act) and the Privacy Act 1988 (Privacy Act). Australian Bond Exchange will record the information and destroy the notice in compliance with privacy regulations and tax laws. My/our TFN will be electronically provided to the registries of all sponsored investments I/we purchase.

I/We understand it is not an offence to withhold my/our TFN or, where the securities are held for a business purpose, your ABN.

However, if you do not provide your TFN or ABN, withholding tax may be deducted from payments at the highest marginal tax rate.

Individual Director Trustee

Name

Signature

Date

Individual Director Trustee

Name

Signature

Date

Individual Director Trustee

Name

Signature

Date

Office/Adviser use only

As adviser, I confirm that

- I have requested the information detailed in this document
- Personal Advice – I have requested the relevant information from the client and made best endeavours to confirm the clients understanding.
- If appropriate, I have issued a warning to the client that the advice to be provided is general advice at best, as personal information has not been provided by the client.
- I confirm that this account is to be conducted on an execution only/nil advice basis
- One Off Trade only

Signed

Adviser name

Branch

Date

Adviser number

Brokerage rate

Australian Bond Exchange

Custodial Sponsorship

Between

Australian Bond Exchange Pty. Ltd., ABN 73 605 038 935. AFSL 484453
PO Box R445, Royal Exchange, NSW, 1225.

and

Client Details

Title	Given names	Surname

Title	Given names	Surname

Title	Given names	Surname

Company name

Designation (if applicable, refer to acceptable account examples on page 1)

Registration Address

Street/PO Box

Suburb/Town/City	State	Postcode	Country

Custodial Sponsorship

I/We instruct Australian Bond Exchange to act as our custodian. By doing so I/we acknowledge that I/we have been provided with, and agree to be bound by the custodial Terms in the bond Account Terms and Conditions.

<input type="checkbox"/> Individual 1	<input type="checkbox"/> Director 1	<input type="checkbox"/> Trustee 1	<input type="checkbox"/> Individual 2	<input type="checkbox"/> Director 2	<input type="checkbox"/> Trustee 2	<input type="checkbox"/> Individual 3	<input type="checkbox"/> Director 3	<input type="checkbox"/> Trustee 3
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Signature	Signature	Signature

Date	Date	Date

Australian Bond Exchange confirms its agreement to the bond Account Terms and Conditions and the execution of the Custodial Sponsorship Agreement by allocating a custody number to the applicant(s). If you would like a copy of your Custody Sponsorship Agreement, please contact your adviser.

Office/Adviser use only

Account number	Custody Number

Date of Execution	Authorised Australian Bond Exchange Officer

Australian Bond Exchange

Banking details

Cash Management Account

CMA Provider

Account Name

Direct Credit

I/We authorise Australian Bond Exchange to **credit** the bank account specified below any monies due relating to the settlement (sale) of securities transactions.

Bank account name as shown on your bank statement

Name of Australian bank or financial institution	BSB number	Account number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Coupon payments for custody Sponsored Holdings

I/We authorise Australia Bond Exchange to provide my/our bank details above or our CMA details to the relevant Issuers' registries for **coupon payments** applicable to bonds held under our custody number. Details provided on this form will override any previous instructions and will be applied to all current and future bonds sponsored by Australian Bond Exchange.

Please use CMA Direct Credit Account Other (Contact Broker)

- This authorisation must be signed by each named account holder(s) and by each account holder(s) with the financial institution for your instructions to be executed.

Individual Director Trustee Individual Director Trustee Individual Director Trustee

Name

Signature

Date

Name

Signature

Date

Name

Signature

Date

Office/Adviser use only

Australian Bond Exchange account number

Date