



INSYNC WEALTH

This is an application to open a trading account with OpenMarkets Australia Limited ABN 38 090 472 012 AFSL 246705. Insync Wealth Pty Ltd, a Corporate Authorised Representative 001294516 of PGW Financial Services Pty Ltd (AFSL 384713), operate this account on your behalf. v120052020

Account Details		Adviser to Complete
Adviser name		Adviser code
Contact phone		Brokerage (inclusive GST)
Client login	<input type="checkbox"/> Trading <input type="checkbox"/> View-only <input type="checkbox"/> None	Data feeds to

Section 1 - Trustee Type	Mandatory
<input type="checkbox"/> Individual trustees (min. two persons) <input type="checkbox"/> Company trustee	

Section 2 - Trust Details	Mandatory
Select ONE of the following Trust types (unregulated or regulated)	
UNREGULATED TRUST	
<input type="checkbox"/> Family <input type="checkbox"/> Charitable* <input type="checkbox"/> Testamentary <input type="checkbox"/> Discretionary	
Trust ABN	*If a Charity, provide its purpose
REGULATED TRUST	
<input type="checkbox"/> Self-Managed Super Fund	SMSF ABN:
<input type="checkbox"/> Registered Managed Investment Scheme	Australian Registered Scheme Number:
<input type="checkbox"/> Government Superannuation Fund	Legislation establishing the fund:
<input type="checkbox"/> Other Regulated Trust	
Regulator name:	
Trust ABN or licensing details:	
Full name of Trust	
Country in which the Trust was established	
^Tax File Number	OR Exemption code
ACCOUNT DESIGNATION (for CHES purposes)	
Please provide an abbreviation of the name of the trust for CHES registration purposes (in 25 characters including spaces). Do not enter the words "Trust" "Fund" or "ATF" in this designation as it will not be accepted by CHES.	
<	A/C>
E.g. < Petersen Family A/C > or < Smith Super A/C >	
<small> ^Quotation of your Australian tax file number(s) (TFN) is optional. OpenMarkets is an Australian financial service licensee that is authorised by law to request your TFN. You are not required to provide your TFN. If OpenMarkets is unable to quote your tax file number or exemption to registries, they may be obliged to take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled and you may wish to seek independent advice in this regard. By providing a TFN and signing the Application Form you: (a) appoint OpenMarkets as your agent and request and authorise OpenMarkets to; (i) provide your Tax File Number to all investment bodies with whom OpenMarkets acts on your behalf; (ii) apply your TFN to any investment or account which you may in future make or open with or through OpenMarkets (and its related bodies corporate) to which your TFN may lawfully be applied; and (b) acknowledge that this authority will apply until such time as it is revoked in writing to OpenMarkets. </small>	

Section 2 - Trust Details (cont.)

Mandatory

Is the trust organised or incorporated in the U.S.? Yes No

Are any of the Trust beneficiaries, trustees or settlors U.S. citizens or residents of the U.S. for tax purposes? Yes No

If you have answered Yes to any of the above, you must also complete the **FATCA Supplementary Declaration Form** available at openmarkets.com.au/form-library and attach to this application.

Main Source(s) of Funds for Investment

Employment Superannuation savings Financial investments Inheritance/gift

Other (please provide a brief description)

Settlor of the Trust (unregulated trusts only)

Please provide full name of the Settlor if the trust was established with a settle sum of \$10,000 or more.

Name of Settlor

Section 3 - Company Details

If a Company Trustee

Company type Proprietary / Private Public

Company name (include any business name if applicable)

Industry type

Country of incorporation

ACN / ARBN / Foreign Registration Number

Company registered address

Physical place of business (if any) Same as above
(If a registered foreign company you may provide full name and address of local agent)

Is the company organised or incorporated in the U.S.? Yes No

Is the company a financial institution? Yes No

If you have answered **Yes** to any of the above, you must also complete the **FATCA Supplementary Declaration Form** available at openmarkets.com.au/form-library and attach to this application.

Foreign companies please also provide a certified certificate of registration or incorporation issued by the relevant foreign registration body, as well as certified copies of your identity documents (as outlined in the Appendix).

Section 4 - Applicant Details

Mandatory

Trustee 1 / Director 1 (primary contact)

Sole Director? Yes No

Title

Existing OpenMarkets account no. (if applicable)

Given name(s)
(Include middle name)

Gender Male Female

Surname

Date of birth

Residential address
(Not a P.O. Box)

Occupation

Industry

Email*

Mobile

*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade Confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade Confirmations to be sent to this address.

Citizenship, Residency & Tax Information

Please provide tax details of all countries in which you are a citizen, resident and tax resident. If you are a U.S. citizen or resident for tax purposes please also complete the **FATCA Supplementary Declaration Form** available at openmarkets.com.au/support/form-library and attach to this application.

Country	Citizen	Resides	Tax resident
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Trustee 2 / Director 2 or Company Secretary (if applicable)

Title

Existing OpenMarkets account no. (if applicable)

Given name(s)
Include middle name

Gender Male Female

Surname

Date of birth

Residential address
(Not a P.O. Box)

Occupation

Industry

Email*

Mobile

*An email address must be provided for the primary applicant on this account. This email will be the recipient of trade Confirmations and electronic correspondence as set out in the Client Agreement and will be used as your Trading Account username (if applicable). By providing your email address you authorise trade Confirmations to be sent to this address.

Citizenship, Residency & Tax Information

Please provide tax details of all countries in which you are a citizen, resident and tax resident. If you are a U.S. citizen or resident for tax purposes please also complete the **FATCA Supplementary Declaration Form** available at openmarkets.com.au/support/form-library and attach to this application.

Country	Citizen	Resides	Tax resident
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For Trustee / Director 3 please photocopy this page and complete / attach to application. Please also sign in Section 9.

Section 4 - Applicant Details (cont.)

Mandatory

Status of Applicant

Are any of the Applicants, Directors, Responsible Officials, Partners, Authorised Representatives, Trustees, Beneficial Owners or any other Beneficiaries of this Account: an entity licensed by any government body, affiliated with any other Participant of ASX Group; ASX Listed Company, a government official; government entity, or having dealings with a government official or any government related entity of any country?

No Yes If Yes, please provide details

Are there additional directors who are not applicants on this account? If yes, please provide names below:

1. Full name

2. Full name

If there are more Directors, please provide full name(s) on a separate sheet and attach to this form.

Section 5 - Beneficial Ownership

Proprietary Companies Only

Please provide details of the individual(s) who **directly or indirectly**:

- (a) own 25% or more of the company; or
- (b) controls the company (i.e. has ability to exercise control over the decisions or policies of the company)

If there are no such individuals, please provide the details of those who hold the position of senior managing officials (or equivalent), for example Managing Director or Directors.

If any of the beneficial owners are U.S. citizens or residents for tax purposes, you must also complete the **FATCA Supplementary Declaration Form** available at openmarkets.com.au/form-library

Beneficial Owner 1 Same as Applicant 1 OR otherwise complete below:

Given name(s)
Include middle name

Residential address

Surname

Date of birth

Beneficial Owner 2 Same as Applicant 2 OR otherwise complete below:

Given name(s)
Include middle name

Residential address

Surname

Date of birth

Beneficial Owner 3 Same as Applicant 3 OR otherwise complete below:

Given name(s)
Include middle name

Residential address

Surname

Date of birth

If there are any additional Beneficial Owners, please supply details on a separate sheet.

Section 6 - CHESS Sponsorship & Settlement

Mandatory

All trading accounts with OpenMarkets will be CHESS sponsored by us (your broker) unless you wish to settle via a Margin Loan/Wrap/Custodian.

This means a single Holder Identification Number (HIN) will be used to identify all your holdings under this account at the share registries. You can choose to **transfer an existing HIN** from another broker or otherwise we will **establish a new HIN**.

CHESS Registration Address

same as Applicant 1

This address will be registered at CHESS and the relevant share registries, and will be used as the mailing address for any correspondence unless you opt to provide your email address below.

Would you like OpenMarkets to provide an email address to CHESS and the relevant share registries for the purpose of receiving any correspondence via email? (Note not all share registries may accept this instruction).

None Yes, same as Applicant 1 Yes, other

Transfer Existing HIN

Optional

If you have an existing HIN at another broker that you wish to transfer to OpenMarkets along with all of its holdings, or you would like to transfer some of the holdings, please complete the below details.

Current sponsoring broker Broker PID
(if known)

Account name
(as at other broker)

Account designation

Registration address
(as at other broker)

Holder Identification Number (HIN)
(Max 11 digits)

What would you like to transfer?

- Transfer my/our HIN and all its holdings (please attach portfolio summary to this application)
- Transfer only some of holdings from my/our HIN - please attach details of holdings to this application

Account Holder 1 Signature X Date
(Print name)

Account Holder 2 Signature X Date
(Print name)

Account Holder 3 Signature X Date
(Print name)

OR Settle using a Margin Loan/Wrap/Custodian

Complete only if you wish to settle transactions through an existing margin loan or wrap account, or via a custodian. Please also complete the provider's corresponding **third party authority form** available at openmarkets.com.au/form-library

Account name Provider
e.g. Leveraged

Facility number HIN
(if applicable)

Section 7 - Linked Cash Account

Not applicable for Margin Loan/Wrap/Custodian Accounts

Please provide the details of the cash account that will be used to settle transactions on this account.*

Provider Macquarie Cash Management Account CBA Accelerator Cash Account DDH Graham Money Market Deposit Account

Account name

BSB

Account number

*Third party authority access required

Please ensure to grant OpenMarkets with third party authority access by completing the provider's corresponding authority form located at openmarkets.com.au/form-library

Income Direction (for dividends)

Would you like OpenMarkets to provide your linked cash management account details to all issuers/share registries (or its nominee) for the purposes of paying dividends, distributions, interest or income payable referable to your sponsored holdings via direct credit?

Yes, please advise each issuer of my linked cash management account details

No, I will notify each issuer separately including participation in Dividend Reinvestment Plans (DRP's)

This instruction only applies to holdings sponsored by OpenMarkets in CHESS. Note that by providing this instruction, it may override your participation in any existing Dividend Reinvestment Plans or Bonus Share Plans. There are also no guarantees that all share registries will accept these instructions from OpenMarkets.

Section 8 - Additional Copies of Trade Confirmation

Optional

Please provide the email address(es) of any third parties to whom you wish to receive a copy of your trade confirmation notes:

Email

Section 9 - Client Declaration & Signature

Mandatory

By signing below I acknowledge that I have received (in hard copy or where I have received this form electronically I have accessed by hyperlink) read and understood and the Applicant agrees to be bound by (and further disclosures or agreements referred to therein).

- [OpenMarkets Client Agreement](#) (comprising Part 1 - Equities Terms and Conditions and Part 2 - CHESS Sponsorship Agreement)
- [OpenMarkets Financial Services Guide](#)
- [OpenMarkets Privacy Policy](#)
- the authorisations and agreements made in this account application form relating to electronic trade confirmations, your Tax File Number and electronic verification of identity

I also acknowledge and declare that all the information provided in this Application Form is true and correct and that I am over 18 years of age and without legal disability. If this application is signed under Power of Attorney, the attorney declares they have not received notice of any revocation or limitation of that power.

By making this application you consent to OpenMarkets conducting an electronic verification of your identity on the terms detailed in our Client Agreement. If you do not consent to electronic verification of your identity, you will not be able to proceed with this application.

Account Holder 1
(Print name)

Signature X

Date

Account Holder 2
(Print name)

Signature X

Date

Account Holder 3
(Print name)

Signature X

Date

OpenMarkets Use Only

Upon the acceptance of this application, the opening of an account for the Applicant(s) by OpenMarkets (and if the applicant(s) has agreed to be CHESS sponsored, upon the issue of a HIN), OpenMarkets will be taken to have agreed to be bound by and to have signed the OpenMarkets Client Agreement (including CHESS Sponsorship Agreement).