

OFFICE USE ONLY

ADVISER CODE:

ACCOUNT NAME:

ACCOUNT NUMBER:



## PRIVATE CLIENT APPLICATION FORM AND AGREEMENT

Thank you for requesting a Patersons Client Application Form and Agreement.

To provide you with the best service possible we require certain information regarding your circumstances and investment objectives. We also ask for additional information to ensure that your transactions are processed efficiently and to comply with regulatory requirements.

Pages 3 and 4 of the application indicate which sections you need to complete for the type of account you wish to open. We have also indicated throughout the application the additional sections to which you will need to refer.

To answer any initial questions you may have and provide an overview of our comprehensive range of products and services, we have included our Client Services brochure, Financial Services Guide and an ASX CHESS brochure.

Please contact your Private Client Adviser or their Dealers Assistant if you require any assistance.

PRIVATE CLIENT ADVISER:

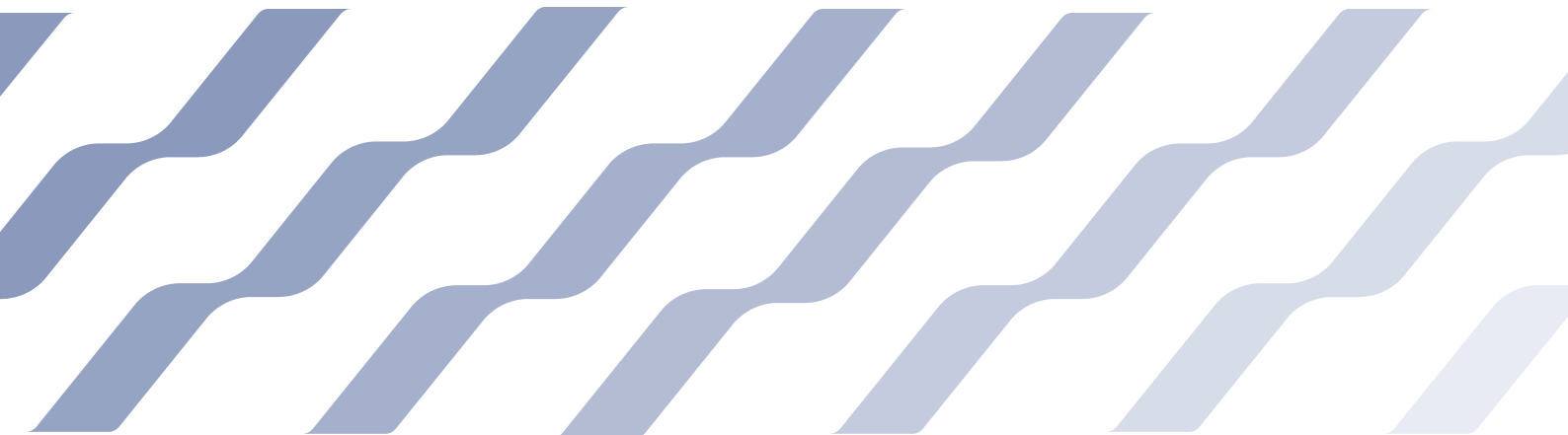
EMAIL:

PHONE:

DEALERS ASSISTANT:

EMAIL:

PHONE:



OFFICE USE ONLY - Dealers Assistant

DATE SUBMITTED TO NEW ACCOUNTS

/ /

RELATED ACCOUNTS:

Multiple empty rectangular boxes for related accounts.

OTHER DOCUMENTS PROVIDED:

IDENTIFICATION   
TRUST DEED (IF APP)

ADDITIONAL FORMS:

WARRANT AGREEMENT   
PARTLY PAID AGREEMENT   
DERIVATIVES AGREEMENT   
HOLDING STATEMENTS   
POWER OF ATTORNEY   
CMT/CMA/MMA APP/TPA   
OTHER \_\_\_\_\_

ADVISER NAME:

ADVISER CODE:

BRANCH:

BROKERAGE RATE:

RATE

% MINIMUM \$

PORTFOLIO FREQUENCY: M Q Y ADHOC

DEALERS ASSISTANT COMMENTS

OFFICE USE ONLY - Back Office

BACK OFFICE COMMENTS

Multiple horizontal lines for back office comments.

- DFAT CHECK COMPLETED
- EMAILED ADVISER & DA
- IDENTIFICATION CHECKED (VALID & ACCEPTABLE FORM)

- SMRS CHECK COMPLETED
- BANKWEST - TREASURY EMAILED
- TRUST DEED (NAME AND TRUSTEES) CHECKED

- ASIC SEARCH COMPLETED
- SIGNATURES VERIFIED

DATE OPENED:

/ /

OVERSEAS ACCOUNT APPROVED BY:

BY WHOM:

## IMPORTANT INFORMATION ON HOW TO COMPLETE YOUR APPLICATION FORM

Please do not use whiteout or liquid paper if you make an error completing these forms instead, please cross out and initial your error. Should you use whiteout or liquid paper we will accept your application at our discretion.

Please ✓ to confirm the type of account you will be opening.

Please ✓ to confirm you have completed the appropriate sections.

Please ✓ to confirm you have provided appropriate identification.

Type of account:	Sections to be completed	Identification requirements
<input type="checkbox"/> Individual account holders (domestic)	<input type="checkbox"/> Sections 1 & 2 <input type="checkbox"/> Sections 4 & 5 <input type="checkbox"/> Sections 7 – 15	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the individual account holder and any authorised agent or power of attorney on the account.
<input type="checkbox"/> Joint account holders (domestic)	<input type="checkbox"/> Sections 1 & 2 <input type="checkbox"/> Sections 4 & 5 <input type="checkbox"/> Sections 7 – 15	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the individual account holders and any authorised agent or power of attorney on the account.
<input type="checkbox"/> Superannuation Fund or formal trust with <b>individuals as trustees</b>	<input type="checkbox"/> Sections 1 & 2 <input type="checkbox"/> Section 4 - Name of trust as seen on the Trust Deed <input type="checkbox"/> Sections 5 -15	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the individual account holders (trustees) and any authorised agent or power of attorney on the account. <input type="checkbox"/> Original certified copies of those pages of the Trust Deed which show the trust name, the trustee's names and signatures with witness' signatures.
<input type="checkbox"/> Minor account (child 17 years and under)	<input type="checkbox"/> Sections 1 & 2 <input type="checkbox"/> Section 4 – Child's name <input type="checkbox"/> Sections 5 – 15	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the individual account holder (parent or guardian) and any authorised agent on the account.
<input type="checkbox"/> Australian company	<input type="checkbox"/> Sections 1 – 5 <input type="checkbox"/> Sections 7 – 16	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the named Director(s) and Company Secretary (where named as an applicant) and any authorised agent on the account.
<input type="checkbox"/> Superannuation Fund or Formal Trust with a <b>Corporate Trustee</b>	<input type="checkbox"/> Sections 1 – 16 Please note: Section 4 – Name of trust as seen on the Trust Deed	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the named Director(s) and Company Secretary (where named as an applicant) and any authorised agent or power of attorney on the account. <input type="checkbox"/> Original certified copies of those pages of the Trust Deed which show the trust name, the trustee's names and signatures with witness' signatures.
<input type="checkbox"/> Margin Lending/ Externally administered Account	<b>Individual or Joint accounts</b> <input type="checkbox"/> Sections 1 & 2 <input type="checkbox"/> Sections 4 - 15	<input type="checkbox"/> As per requirements for Individual/Joint account holders.
	<b>Company/Association or Co-operative accounts</b> <input type="checkbox"/> Sections 1 – 16	<input type="checkbox"/> As per requirements for Company, Foreign Company, Association or Co-operative account holders.
<input type="checkbox"/> <b>Overseas individual or joint account</b> where one or more addresses on the account are outside Australia	<input type="checkbox"/> Sections 1 & 2 <input type="checkbox"/> Sections 4 & 5 <input type="checkbox"/> Section 6 - Trust Accounts Only <input type="checkbox"/> Sections 8 - 15 <input type="checkbox"/> <b>An overseas supplement – please refer to your Private Client Adviser or their Dealers Assistant.</b>	<input type="checkbox"/> Original certified English language copies of identification document(s) listed in Section 1 of this application form for the individual account holders and any authorised agent or power of attorney on the account.

<input type="checkbox"/> Overseas company	<input type="checkbox"/> Sections 1 - 5 <input type="checkbox"/> Section 6 - Trust Accounts Only <input type="checkbox"/> Sections 8 - 16 <input type="checkbox"/> An <b>Overseas Client Supplement</b> – please refer to your Private Client Adviser or their Dealers Assistant.	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the Director(s) and Company Secretary (where named as an applicant) and any authorised agent or power of attorney on the account. <input type="checkbox"/> Original certified English language copy of the certificate of incorporation for the company. <input type="checkbox"/> Original certified English language copy of the certificate of incorporation for any Director of the company that is itself a company.
<input type="checkbox"/> Deceased Estate	<input type="checkbox"/> Section 1 <input type="checkbox"/> Sections 2 & 3 – Name(s) of Executor(s) <input type="checkbox"/> Section 4 – Name of Deceased <input type="checkbox"/> Sections 5 – 15	<input type="checkbox"/> Original certified copies of identification documents(s) listed in Section 1 of this application form for all executors. <input type="checkbox"/> <b>Deceased Estate documents – please refer to your Private Client Adviser or their Dealers Assistant.</b>
<input type="checkbox"/> Association	<input type="checkbox"/> Sections 1 - 5 <input type="checkbox"/> Sections 7 - 16	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the named Chairperson, Secretary and Treasurer or equivalent officer(s) and any authorised agent or power of attorney on the account. <input type="checkbox"/> Original certified copies or an original certified extract of any constitution or rules of the Association, any minutes of a meeting of the Association or the Articles of Association. The extract must include pages which show: <ul style="list-style-type: none"> <li>• The full name of the Association; and</li> <li>• Any unique identifying number issued to the Association on its registration; and</li> <li>• A list of names of the office bearers.</li> </ul>
<input type="checkbox"/> Co-operative	<input type="checkbox"/> Sections 1 - 5 <input type="checkbox"/> Sections 7 - 16	<input type="checkbox"/> Original certified copies of identification document(s) listed in Section 1 of this application form for the named Chairperson, Secretary and Treasurer or equivalent officer(s) and any authorised agent or power of attorney on the account. <input type="checkbox"/> Original certified copies or an original certified extract of any register maintained by the Co-operative or any minutes of a meeting of the co-operative. The extract must include pages which show: <ul style="list-style-type: none"> <li>• the full name of the Co-operative; and</li> <li>• Any unique identifying number issued to the Co-operative on its registration; and</li> <li>• A list of names of the office bearers.</li> </ul>

## YOUR FEEDBACK

Before you begin the application we would be grateful for your feedback.

**Please indicate your interest in the following services:**  
(✓)

- Superannuation and Retirement Planning
- Accolade Portfolio Management Service
- Online Trading Administration Service
- Financial Planning
- Patersons Managed Funds
- Margin Lending
- Cash and Fixed Interest
- International Equities
- Sophisticated Investor opportunities
- Investment seminars
- Patersons news and publications

**How did you hear about Patersons? (✓)**

- Referral – Accountant/Financial Adviser/Lawyer
- Referral – Friend/Existing Client
- Contact via Patersons Adviser
- Attended Patersons Seminar
- Received Patersons Mailout
- In the Media
  - TV
  - Online
  - Radio
  - Newspaper
  - Magazine
- Advertising
  - TV
  - Online
  - Radio
  - Newspaper
  - Magazine
- Internet
  - psl.com.au
  - Search Engine
  - Social Media
- Telephone Directory - White/Yellow pages
- Events – Seminar/Conference/Sponsorship
- Patersons Stadium
- Other \_\_\_\_\_

## YOUR ACCOUNT APPLICATION STARTS HERE

### SECTION 1: IDENTIFICATION

In accordance with Patersons obligations under the Anti-Money Laundering & Counter Terrorism Financing Act 2006 each applicant and any authorised agent on the account must provide an **original certified photocopy of valid identification documents** in order to verify either their full name and residential address or their full name and date of birth. These documents must also carry the signature of the person being identified. If there is any variation between the identification documents and the new account forms, the account will be opened in the name of the identification provided, including middle names.

Please refer to Addendum B (page 25) for a list of persons who can certify documents and how the certification is to be documented.

Original certified documentation is not required to be resubmitted in the case of an existing client who has previously met Patersons identification requirements. Please specify the account number below if this is the case:

EXISTING PATERSONS CLIENTS	APPLICANT #1	APPLICANT #2	APPLICANT #3	AUTHORISED AGENT
Existing Patersons account number	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

#### NEW PATERSONS CLIENTS

Each individual applicant and officer of a company or other entity must submit identification as follows. These identification documents must contain the full name and residential address or their full name and date of birth.

- One document from Section A: Primary Photographic Identification; **OR**
- One document from Section B: Primary Non-Photographic Identification; **AND**
- One document from Section C: Secondary Identification.

#### PLEASE ✓ WHICH IDENTIFICATION DOCUMENT/S YOU HAVE PROVIDED.

TYPE OF IDENTIFICATION	APPLICANT # 1	APPLICANT # 2	APPLICANT # 3	AUTHORISED AGENT
<b>SECTION A: PRIMARY PHOTOGRAPHIC IDENTIFICATION*</b>				
Passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Driver's Licence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Proof of Age Card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National ID Card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SECTION B: PRIMARY NON-PHOTOGRAPHIC IDENTIFICATION*</b>				
Birth Certificate or Extract	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commonwealth Citizenship Certificate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign Citizenship Certificate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pension Card issued by Centrelink	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SECTION C: SECONDARY IDENTIFICATION*</b>				
ATO Notice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial Benefits Notice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Council Rates Notice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utilities Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Letter from a Registered Aged Care Facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\* Please refer to Addendum B (page 25) for a full description on the 'Acceptable Types of Identification'.

#### IDENTIFICATION OF SUPERANNUATION FUNDS & TRUSTS

You must include an original certified copy of one of the following document types to confirm the following information:

- The Trust name;
- The Trustees' names; AND
- The Trustees' signatures with witness' signatures.

#### TYPE OF DOCUMENT SUPPLIED: PLEASE ✓ ONE OF THE FOLLOWING

- Certified copy of Trust Deed; OR
- Certified copy of extract of the Trust Deed.

## IDENTIFICATION OF FOREIGN COMPANIES

If you are opening an account for a Foreign Company you must supply an original certified English language copy of the Certificate of Incorporation along with an Overseas Client Supplement. The certificate of incorporation must contain:

- The name of the Company;
- The state and country of registration; AND
- The identification number issued to the Company by the relevant foreign registration body.

### PLEASE ✓ TO CONFIRM THESE DOCUMENTS HAVE BEEN SUPPLIED

- Original certified copy of the Certificate of Incorporation.
- Overseas Client Supplement.

## IDENTIFICATION OF FOREIGN INDIVIDUALS

If you are opening an account as an overseas individual, you must supply an Overseas Client Supplement along with original certified English language identification as set out earlier in this section.

### PLEASE ✓ TO CONFIRM THIS HAS BEEN SUPPLIED

- Overseas Client Supplement.

## IDENTIFICATION OF ASSOCIATIONS

If you are opening an account for a registered Association, you must supply one of the following types of original certified documents which will identify the Association. The following information must be supplied on the document/s:

- The full name of the Association;
- Any unique identifying number issued to the Association on its registration; AND
- A list of names of the office bearers (Chairperson/s, Treasurer and Secretary or equivalent officer/s).

### TYPE OF DOCUMENT SUPPLIED: PLEASE ✓ ONE OF THE FOLLOWING

- Original certified copy or extract of any constitution or rules maintained by the Association; OR
- Original certified copy of the minutes of a meeting of the Association; OR
- Original certified copy of the Articles of Association.

## IDENTIFICATION OF CO-OPERATIVES

If you are opening an account for a registered Co-operative you must supply one of the following types of original certified documents which will identify the Co-operative. The following information must be supplied on the document/s:

- The full name of the Co-operative;
- Any unique identifying number issued to the Co-operative upon its registration; AND
- A list of names of the office bearers (Chairperson/s, Treasurer and Secretary or equivalent officer/s).

### TYPE OF DOCUMENT SUPPLIED: PLEASE ✓ ONE OF THE FOLLOWING

- Original certified copy of register maintained by Co-operative; OR
- Original certified copy of Minutes of Meeting of the Co-operative; OR
- Information provided by a government organisation responsible for the registration of the Co-operative.

**FOR A COMPREHENSIVE GUIDE ON WHO CAN CERTIFY DOCUMENTS AND HOW THE CERTIFICATION IS TO BE SET OUT, PLEASE REFER TO ADDENDUM B ON PAGE 25 OF THIS APPLICATION.**

**SECTION 1 IS NOW COMPLETE. PLEASE PROCEED TO:**

- All applicants - SECTION 2

## SECTION 2: APPLICANT DETAILS

### APPLICANT #1

INDIVIDUAL #1  TRUSTEE #1  DIRECTOR #1  SOLE DIRECTOR  CHAIRPERSON

**Applicant #1 will be the primary contact for this account**

Title:  Given name(s) (do not use initials):

Surname:

Date of Birth:  /  /   Male  Female

Occupation:

Employer:

Business Phone:  ( ) Home Phone:  ( )

Mobile:  Facsimile:  ( )

Email:

Marital Status:  Number of Dependants:

Residential Address **MANDATORY – we cannot accept a PO Box as your residential address.**

Address:

Suburb:

State:  Postcode:

Country:   
(if not Australia)

Tax Country:  Australia  Other, please specify: \_\_\_\_\_

If your Tax country is not Australia, will you operate your account solely from outside Australia?  Yes  No

**NB: If you have ticked 'other' please ensure you complete an 'Overseas Client Supplement'.**

### APPLICANT #2

INDIVIDUAL #2  TRUSTEE #2  DIRECTOR #2  COMPANY SECRETARY  TREASURER

Title:  Given name(s) (do not use initials):

Surname:

Date of Birth:  /  /   Male  Female

Occupation:

Employer:

Business Phone:  ( ) Home Phone:  ( )

Mobile:  Facsimile:  ( )

Email:

Marital Status:  Number of Dependants:

Residential Address **MANDATORY – we cannot accept a PO Box as your residential address.**

Please  if same as Applicant #1. Otherwise please specify below:

Address:

Suburb:

State:  Postcode:

Country:   
(if not Australia)

Tax Country:  Australia  Other, please specify: \_\_\_\_\_

If your Tax country is not Australia, will you operate your account solely from outside Australia?  Yes  No

**NB: If you have ticked 'other' please ensure you complete an 'Overseas Client Supplement'.**

**APPLICANT #3**
 INDIVIDUAL #3
  TRUSTEE #3
  DIRECTOR #3
  COMPANY SECRETARY
  TREASURER

Title:  Given name(s) *(do not use initials)*:

Surname:

Date of Birth:  /  / 
 Male
  Female

Occupation:

Employer:

Business Phone:  ( ) Home Phone:  ( )

Mobile:  Facsimile:  ( )

Email:

Marital Status:  Number of Dependants:

 Residential Address **MANDATORY – we cannot accept a PO Box as your residential address.**
**Please ✓ if same as  Applicant #1 or  Applicant #2 . Otherwise please specify below.**

Address:

Suburb:

State:  Postcode:

Country:

(if not Australia)

 Tax Country:  Australia  Other, please specify: \_\_\_\_\_

 If your Tax country is not Australia, will you operate your account solely from outside Australia?  Yes  No

**NB: If you have ticked 'other' please ensure you complete an 'Overseas Client Supplement'.**
**SECTION 2 IS NOW COMPLETE. PLEASE PROCEED TO:**

- Company, Association & Co-operative applicants – SECTION 3
- All other applicants – SECTION 4

### SECTION 3: COMPANY, ASSOCIATION OR CO-OPERATIVE DETAILS (THE CLIENT)

Company applicants, including corporate trustees, Associations and Co-operatives must complete this Section. It is important that you complete this Section with the details that reflect the exact registered details of the entity.

The company, association and co-operative will be recognised as 'the client'.

Company, Association or Co-operative Name:

ACN, ABN, ARBN or appropriate registration number:

#### PRINCIPAL PLACE OF BUSINESS OR ADMINISTRATION

The principal place of business or administration MUST be provided when opening an account. NB: This must be a street address, NOT a PO Box. OR please (✓) if the same as  Applicant #1,  Applicant # 2 or  Applicant # 3.

Address:

Suburb:

State:  Postcode:

Country:

(if not Australia)

#### BENEFICIAL OWNERS (PROPRIETARY COMPANIES ONLY)

A beneficial owner is an individual who, through one or more shareholdings, owns more than 25% of the issued capital of the company. Please list the **full name and residential address** of each beneficial owner (if any) below:

**Same as Director #1(✓) OR:**

Title: Given name(s) (do not use initials):

Surname:

Address:

Suburb:

State:  Postcode:

Country:

(if not Australia)

**Same as Director #2 (✓) OR:**

Title: Given name(s) (do not use initials):

Surname:

Address:

Suburb:

State:  Postcode:

Country:

(if not Australia)

**Same as Director #3 (✓) OR:**

Title: Given name(s) (do not use initials):

Surname:

Address:

Suburb:

State:  Postcode:

Country:

(if not Australia)



## SECTION 5: ADDRESS DETAILS FOR YOUR ACCOUNT

Any future amendment to these addresses will need to be notified in writing and signed by all account holders.

### REGISTERED ADDRESS FOR THIS ACCOUNT

The address details provided below will be the permanent address used to register your shares and will appear on your CHESSE or Share Registry statements.

Please  if the same as  Applicant #1 or  Applicant #2 or  Applicant #3 or  Principal place of business or administration. Otherwise please specify below.

Address:

Suburb:

State:  Postcode:

Country:   
(if not Australia)

NB: If you do not tick an option or complete the boxes above, we will assume that this address is to be the same as the residential address of Applicant #1 OR the Principal Place of Business or Administration for Company, Association and Co-operative accounts.

### PERMANENT POSTAL ADDRESS FOR THIS ACCOUNT

This permanent postal address will be the address to which all confirmations and any communication from Patersons will be mailed. The Permanent Postal Address MUST be that of an account holder and NOT an Authorised Agent.

Please  if the same as  Applicant #1 or  Applicant #2 or  Applicant #3  Principal place of business or administration or  Registered Address. Otherwise please specify below.

Address:

Suburb:

State:  Postcode:

Country:   
(if not Australia)

NB: If you do not tick an option or complete the boxes above, we will assume that this address is to be the same as the Registered Address above.

### LIMITED POWER OF ATTORNEY

By signing Section 15 of the Private Client Application, you will be appointing Patersons Securities Limited and its representatives as your Attorney. The Limited Power of Attorney allows us to make minor changes to the registration of your shareholdings that are Issuer sponsored or certificated to match those details provided to Patersons in your Private Client Application and identification document/s. This allows us to streamline the CHESSE sponsorship process without inconveniencing you by requesting further documentation. The Limited Power of Attorney does not give Patersons the authority to act on behalf of your account. In accordance with our Terms and Conditions, we still require written notice of any changes to your name, address or other personal details.

An example of the type of change that could be made;

John ~~A~~ Citizen      6 Smith Street, South Perth WA 6152~~X~~  
John Andrew Citizen      6 Smith Street, South Perth WA 6151~~X~~

If you DO NOT wish to appoint Patersons and its representatives as your Attorney under the Limited Power of Attorney for registration details  this box.

NB: This Limited Power of Attorney is not available to applicants with addresses in Tasmania.

### SECTION 5 IS NOW COMPLETE. PLEASE PROCEED TO:

- Applicants on behalf of a Trust or Superannuation Fund – SECTION 6
- All other applicants – SECTION 7



## SECTION 8: ELECTRONIC CONFIRMATIONS (CONTRACT NOTES)

If you wish to receive your Buy and Sell confirmations via email, please  below which applicant(s) you would like your confirmations emailed to (you may  more than one).

**Applicant 1**  **Applicant 2**  **Applicant 3**  **Authorised Agent**

Please  if you wish for a 3rd party to receive a copy of your confirmations via email:

Please indicate email address:

What is the name of the 3rd party?

## SECTION 9: PATERSONS ONLINE ACCESS

With access to the Patersons client website you will benefit from access to your portfolio, Patersons wealth of market intelligence, research and regular publications. Visit [www.psl.com.au](http://www.psl.com.au) for more information.

Please register me for online access ()

## SECTION 10: MAILING LIST

I/We would like to be EXCLUDED from the Patersons mailing list () including exclusion from potential investment opportunities.

## SECTION 11: AUTHORISED AGENT FOR THIS ACCOUNT (OPTIONAL)

An Authorised Agent is a person, other than the account holder(s), from whom you authorise Patersons to accept instructions on this account until revoked in writing. An Authorised Agent can be a family member (e.g. husband, sister, uncle), your accountant, or representative of the Authorised Agent's company (e.g. a representative of your financial planner), but NOT your Patersons Private Client Adviser.

**NB: We require original certified identification for an Authorised Agent. Please supply this identification in accordance with the requirements set out in Section 1 of this application.**

### AUTHORISED AGENT AND INDEMNITY

By signing this form you are acknowledging the following Authorised Agent Indemnity conditions:

1. Patersons accepts no responsibility for actions of any Authorised Agent. Patersons does not provide any personal advice in relation to an account operated by an Authorised Agent who is an AFS licensee. Any general advice provided by Patersons to the Authorised Agent is intended for use by the Authorised Agent only and may not be passed on without Patersons consent.
2. You agree to indemnify Patersons and keep Patersons indemnified against any losses, damages, costs and expenses, of any character incurred as a result of the actions of the Authorised Agent or refusing to act on the instructions of the Authorised Agent.

### AUTHORISED AGENT DETAILS

Title:  Given name(s) (*do not use initials*):

Surname:

Date of Birth:  /  /  Relationship to Client:

**Residential Address - we cannot accept a PO Box as your residential address.**

Street:

Suburb:

State:  Postcode:

Country:

(if not Australia)

Business Phone: ()  Home Phone: ()

Mobile:  Facsimile: ()

Email:

### SIGNATURE - AUTHORISED AGENT

**Signature Authorised Agent**

**Print Name**

**Date Signed**

 /  /

**SECTIONS 8 - 11 ARE NOW COMPLETE**

- **Company, Association & Co-operative applicants – Please complete ALL remaining SECTIONS 12 to 16.**
- **All other applicants – Please complete remaining SECTIONS 12 to 15.**

**SECTION 12: INVESTOR PROFILE**

To enable Patersons to discharge its obligations under the Corporations Act, we are obliged to ask you for particulars of your investment objectives, financial situation and particular needs, in order to give advice which is appropriate to your circumstances. Please be assured that this information will be treated confidentially.

**Questions 1 to 3 are MANDATORY and must be answered for the application to progress.**

**1. Based upon your circumstances, how would you classify your investor profile? (✓)**

- Conservative** – an investor constructing a longer term, diversified portfolio with an objective of achieving a satisfactory long term rate of return, but accepting some volatility of returns. Specifically excludes aggressive investments and short term market plays.
- Moderate/Balanced** – an investor broadly encompassing the strategies of a conservative investor and including selected market trading opportunities from time to time.
- Aggressive** – an investor who adopts a high risk/high return philosophy to investment, accepting the possibility of high losses and is not concerned about balance in the portfolio.

**2. What are your investment objectives? (✓) Please choose a maximum of THREE primary objectives and THREE secondary objectives:**

Investment objective	Primary	Secondary
Capital preservation	<input type="checkbox"/>	<input type="checkbox"/>
Regular investment income	<input type="checkbox"/>	<input type="checkbox"/>
Balance of income and growth	<input type="checkbox"/>	<input type="checkbox"/>
Capital growth	<input type="checkbox"/>	<input type="checkbox"/>
Aggressive growth	<input type="checkbox"/>	<input type="checkbox"/>
Trading	<input type="checkbox"/>	<input type="checkbox"/>
Speculative	<input type="checkbox"/>	<input type="checkbox"/>
Leveraged income or growth	<input type="checkbox"/>	<input type="checkbox"/>
Ability to cash-in investment	<input type="checkbox"/>	<input type="checkbox"/>
Minimise fees and costs	<input type="checkbox"/>	<input type="checkbox"/>
Capacity to service any loan provided for a financial product	<input type="checkbox"/>	<input type="checkbox"/>

**3. What is your attitude to risk? (You may ✓ more than one):**

- I/We want to ensure capital preservation (investing in shares cannot guarantee this).
- I/We am/are aware that investment values may fall as well as rise and feel comfortable with accepting that risk.
- My/Our lifestyle will suffer if the capital value or dividends (yield) on the portfolio do not perform as expected.
- I/We am/are willing to accept short term fluctuations in the portfolio with the objective of achieving longer term growth.
- I/We am/are willing to take a high degree of risk to potentially achieve higher returns.

Please note: Questions 4 to 7 are not mandatory. However, if you elect not to provide the financial information requested in the boxes below, you must consider your personal circumstances to determine if the advice issued by Patersons Securities is appropriate for your personal and financial circumstances.

**4. Are there further details or needs you consider relevant to your particular investment requirements? (✓) (e.g. tax position, social security entitlements, family commitments, employment security and expected retirement age.)**

**5. What is the approximate value of your current investment portfolio (eg. shares, cash and fixed interest, managed funds, investment property)? (✓) (If a joint account, please provide the combined portfolios which you may wish us to use to assess your needs.)**

- \$0 - \$50,000
- \$500,001 - \$1,000,000
- \$50,001 - \$100,000
- \$1,000,001 - \$2,500,000
- \$100,001 - \$300,000
- Greater than \$2,500,000
- \$300,001 - \$500,000
- Not disclosed

**6. What is the approximate value of your total net assets ie. including your home, outstanding mortgages, investment portfolio etc? (✓) (If a joint account, please combine total joint net assets to give a combined value.)**

- \$0 - \$50,000
- \$500,001 - \$1,000,000
- \$50,001 - \$100,000
- \$1,000,001 - \$2,500,000
- \$100,001 - \$300,000
- Greater than \$2,500,000
- \$300,001 - \$500,000
- Not disclosed

**7. What has been your average gross annual income from all sources over the last two years? (✓) (If a joint account, please combine joint gross annual incomes to give a combined value.)**

- \$0 - \$30,000
- \$100,001 - \$250,000
- \$30,001 - \$50,000
- Greater than \$250,000
- \$50,001 - \$100,000
- Not disclosed

**SECTION 13: CASH SETTLEMENT & DIRECT DEBIT**

This section provides options for settlement of transactions and payment of dividends, using the banking details you provide to us below. In addition to these options; you are able to use BPay, cheque or direct payment into the Patersons Trust account for settlement of your transactions.

**OPTION 1: NEW CASH MANAGEMENT SERVICE OR MONEY MARKET ACCOUNT**

Please send me a Product Disclosure Statement so that I/we may consider establishing an account with (✓):

- Macquarie Cash Management Account  DDH Graham Money Market Account (Bank of Queensland)  
 Bankwest Money Market Account  Bankwest Cash Management Trust  
 Adelaide Cash Management Account  ANZ V2 PLUS Account

*If you choose to establish a Bankwest Money Market Account, an account will be automatically opened and a Product Disclosure Statement will be forwarded to you. This is pursuant to the authorisations contained in the Execution Agreement section of this application form. Please note this product is not available for overseas clients.*

*If you choose any of the other products listed above, we will forward a Product Disclosure Statement to you and, subject to the receipt of the application form, we will apply to open the account on your behalf.*

**OR****OPTION 2: EXISTING CASH MANAGEMENT SERVICE OR BANK ACCOUNT**

Please ✓ the type of account and provide account details below:

- Financial Institution e.g. Bank or Credit Union Account  
 Existing Cash Management Service^  Macquarie CMA  Adelaide CMA  ANZ V2 Plus  Bankwest CMT

Institution Name: Account Name: Branch Name: BSB No.: Account No.: 

*^We will forward a Third Party Authority/Authorised Operator form to you and, subject to the return receipt of the form, we will apply to obtain access to your account.*

**AND****DIRECT CREDIT & DIRECT DEBIT OPTIONS**

Please ✓ which of our direct credit and debit options you would like us to apply to your account.

- DIRECT CREDIT ONLY:** I/We wish for the net proceeds from Sell transactions to be automatically paid to the financial institution account detailed above.
- DIRECT CREDIT & DIRECT DEBIT:** I/We wish for the net proceeds from Sell transactions to be automatically paid to the financial institution account detailed above, and for you to settle my/our Buy transactions, associated fees and any corporate actions in which I/we elect to participate, through the financial institution account detailed above.
- DIRECT DEBIT ONLY:** I/We wish to settle my/our Buy transactions, associated fees and any corporate actions in which I/we elect to participate, through the financial institution account detailed above.

- DIRECT CREDIT OF DIVIDEND PAYMENTS (PATERSONS CHESS SPONSORED ACCOUNTS ONLY):** I/We wish for Patersons to pass the Financial Institution account details above to the relevant share registries for payment of dividends.

**DIRECT DEBIT – ACKNOWLEDGEMENT AND SIGNATURES BY ALL ACCOUNT HOLDER(S)**

I/We acknowledge that this Direct Debit Request is governed by Patersons Direct Debit Terms and Conditions, as amended from time to time, and is to remain in force in accordance with those Terms and Conditions. I/We have read and agree to the Terms and Conditions (page 16).

I/We confirm that we are authorised signatories and that this form is signed by all owners of the above account.

**Signature Account Holder #1****Print Name****Date Signed****Signature Account Holder #2****Print Name****Date Signed****Signature Account Holder #3****Print Name****Date Signed****SIGN HERE**

## DIRECT DEBIT AGREEMENT TERMS AND CONDITIONS

These Terms and Conditions, as amended from time to time by Patersons Securities Limited, apply to a person who signs a Direct Debit Agreement. By signing the Direct Debit Agreement, the account holder agrees to these Terms and Conditions.

### In these terms and conditions:

'Direct Debit Agreement' is the authorisation form completed by the account holder.

'Business day' is a day on which the ASX (Australian Stock Exchange) is open.

'DDR services' are the services under this DDR Agreement.

'Nominated account' is the account with the financial institution that you nominate for drawings on the authorisation form or subsequently notified by you in writing.

'Nominated party' is the client identified as such on the authorisation form.

'Nominated financial institution' is the financial institution at which the nominated account is held.

'We/us' are Patersons Securities Limited (ABN 69 008 896 311).

'You/your' are the holder of the nominated account.

### Our rights and obligations

You authorise us to draw on the nominated account for all amounts, which you must pay to us under any agreement we have with you to settle amounts owed by a client of Patersons.

We will draw on the nominated account on the day monies are due to Patersons. If the drawing is unsuccessful or the amount is due on a non-business day, Patersons will re-draw at such time as determined by Patersons.

We may cancel this agreement if there are more than three drawing, which are returned unpaid by your nominated financial institution.

You and the nominated party acknowledge and agree that:

- we will not be liable for any DDR transaction which is not processed, or which is not processed correctly, for any reason unless due to our neglect or default under any agreement we have with you and the nominated party. We will use reasonable efforts to advise you as soon as possible if we become aware that a transaction may not be able to be processed using the DDR.
- a failure to make the DDR services available to you or a failure of a DDR transaction to be processed for any reason, does not limit or impact upon your obligations under any other agreement with us.
- if a third party processes a DDR transaction incorrectly or refuses to process a DDR transaction, we will liaise with you to try to resolve the problem.

Information collected under this agreement may be disclosed to third parties (including financial institutions, brokers, trading parties, regulatory bodies, government agencies and legal and financial advisers) for the primary purposes of processing transactions using the DDR services. In particular, our financial institution may require such information to be provided if a claim is made in relation to an alleged incorrect or wrongful debit. You and the nominated party agree that we may disclose to each of you, details of all transactions conducted on the nominated drawings account and all personal information, including correspondence that transpires between you, the nominated party and us in relation to this agreement. If the personal information we hold about you needs correcting/altering, please contact our Customer Services Representative on 08 9263 1111.

### Your rights

You may defer, cancel or alter the withdrawal of funds from your nominated account by advising us in writing no later than 3pm (WST) the day before an amount is due for settlement. You acknowledge that if notification is received after this time then the process may not be able to be stopped.

You may terminate this agreement by giving us at least five business days' prior written notice.

If you believe that a transaction has been made incorrectly, you should raise the concern with us immediately by contacting our Compliance Manager in writing, Patersons Securities Limited, GPO W2024, Perth WA 6846.

### Your responsibilities

You and the nominated party acknowledge that you:

- will ensure that cleared funds are available in your nominated drawings account by the specified day. Should any drawing be dishonoured, you and the nominated party acknowledge that we shall be entitled to debit your account with the charges;
- have confirmed with your financial institution that they will accept DDRs;
- have given us full and correct drawing account details and that the signatures appearing on the Direct Debit Agreement are the same as those held by the financial institution where the nominated drawing account is held;
- will advise us immediately if the nominated drawing account is closed, transferred or becomes incapable of processing DDR transactions.

You and the nominated party understand that, in the first instance, any claim over a debit will be made direct to us and we will respond to you within three business days. Should a claim be lodged with your financial institution directly, you and the nominated party understand that we must respond to the financial institution within three business days and you will be guaranteed a response within seven business days.

### Release

You acknowledge and agree that any drawing made from the nominated drawing account is made upon your direction and that such drawing will be in complete discharge and satisfaction of all our obligations to you in relation to that drawing.

You and the nominated party acknowledge and agree to the terms set out in this agreement, the transactions contemplated by it, and the liabilities and obligations arising under it.

You and the nominated party confirm that your identity has been correctly recorded on this agreement form and that all persons with a proprietary interest in the nominated drawings account have signed the Direct Debit Agreement.

### Variations

We acknowledge that if there are any changes or variations of the terms in this agreement, then we will provide you and the nominated party with fourteen days notice.





## SECTION 15: EXECUTION OF AGREEMENT – TO BE COMPLETED BY ALL ACCOUNT APPLICANTS

### IMPORTANT NOTE

Applicants as listed in Section 2 of the application (or their duly appointed attorney) must sign the execution of agreement at the bottom of this page, and have provided acceptable identification as per Section 1.

### Agreement and Acknowledgement

In signing this form each applicant (including Authorised Agents) declares, agrees and acknowledges that they have understood and agree to the terms and conditions accompanying this application form as amended from time to time and notified to me/us in writing, including:

1. Patersons Share Trading Terms and Conditions;
2. Sponsorship agreement (where applicable)

I/We acknowledge that I/we have received a copy of Patersons Financial Services Guide.

### Tax File Numbers

I/We give permission for my/our tax file number(s) or exemption code, as provided in Section 7, to be kept on file and forwarded to financial institutions as requested or as necessary.

### Investor Profile

I/We hereby declare that the information set out in this document is true and correct to the best of my/our knowledge. I/We are not aware of any other information that I/we have not disclosed to the person to whom this document is given which would be relevant to the advice given by an investment adviser. I/We give permission for this information to be used for the preparation of my/our financial advice and I/we understand that the advice will be based solely on the information supplied by us. I/We acknowledge that Patersons does not have any liability for advice given to the extent that the information I/we have provided to Patersons is incomplete or inaccurate and that it may result in investment decisions which are not suitable to my/our personal circumstances.

If there is a material change in my/our current financial position, I/we will advise Patersons of the change so that you can reassess any advice based on the information I/we have supplied to you.

### CHES Sponsorship

Where I/we have so indicated in Section 14, I/we confirm that we have read the Sponsorship Agreement included within this application and confirm my/our intention to be CHES sponsored through Patersons.

### Confirmations

I/We authorise ALL confirmations for this account to be forwarded as directed in Section 8. If not indicated in Section 8, I/we understand that these will be mailed to my/our preferred postal address.

### Bankwest Money Market Account (if applicable)

Subject to my/our nomination of the establishment of a Bankwest Money Market Account as my preferred Cash Settlement Option in Section 13, I/we authorise Patersons Securities Limited as my agent to:

1. Open, operate, close or make any arrangements in relation to a money market account in my/our name with Bankwest;
2. Deposit credit balances on my/our trading account(s) held with Patersons to my/our Bankwest account or make withdrawals to settle debit balances on my/our trading account(s) or otherwise deposit or withdraw monies as instructed by me/us via the Patersons trust account.
3. Disclose to Bankwest any personal information in order to open and administer the account. I/We acknowledge that I/we may request access to that personal information from Bankwest;
4. Receive a commission of 0.25% p.a. from Bankwest, or such other amount as agreed from time to time between Bankwest and Patersons and disclosed to me/us;
5. Be the authorised operator of the account for issue of instructions to Bankwest.

If the account is opened with a foreign address or the account is not held by an Australian resident, I instruct Bankwest to deduct any applicable withholding tax from the interest payable on the account.

### Trusts, Associations and Co-operatives

By providing an extract from the trust deed, constitution or rules of the trust association/co-operative or minutes of a meeting of the association/co-operative, I/we acknowledge that Patersons is not reviewing these documents to determine whether the trust, association or co-operative is entitled to enter into an agreement with Patersons.

### Limited Power of Attorney

I/We, unless I/we have an address in Tasmania or have indicated otherwise in Section 5 of the Individual/Joint Account Application Form, appoint Patersons Securities Limited ('Patersons') and each person appointed by Patersons severally (each referred to as 'Attorney') as my/our Attorney to do in the name of me/us on my/our behalf everything necessary or expedient to:

- execute and deliver any document necessary to ensure that the registration details of securities or investments of me/us contains my/our true name, registration address and other necessary personal information as set out in Section 2 or Sections 3, 4 & 5 of the Private Client Application Form and Agreement; and
- appoint one or more substitute Attorneys to exercise one or more powers given to the Attorneys and to revoke any of those appointments. I/We indemnify the Attorney against liability, loss, cost, charges or expenses arising from the exercise in good faith of powers granted under this Limited Power of Attorney.

## SIGNATURES TO BE COMPLETED BY ALL ACCOUNT APPLICANTS

### Signature Applicant #1

### Print Name

### Date Signed

### Signature Applicant #2

### Print Name

### Date Signed

### Signature Applicant #3

### Print Name

### Date Signed

**COMPANY, ASSOCIATION & CO-OPERATIVE ACCOUNTS MUST COMPLETE AND SIGN SECTION 16 – PAGE 21.**

*This page has been left blank intentionally.*

## SECTION 16: GUARANTOR UNDERTAKING AND INDEMNITY

### IMPORTANT NOTE

**This section is mandatory for private companies, associations and co-operatives.**

The Guarantor (generally a director of the Company) must sign the Guarantor Undertaking and Indemnity and their signature must be witnessed by an independent person. The person who signs the Guarantor Undertaking and Indemnity is then personally liable for any amounts outstanding to Patersons Securities Limited by the company which opened the account.

### Guarantor's Address Details

Title:  Given name(s) *(do not use initials)*:

Surname:

Address:

Suburb:

State:  Postcode:

Country:   
 (if not Australia)

### Terms

In consideration of Patersons Securities Limited ABN 69 008 896 311 ('Patersons') entering into an agreement ('Agreement') with the entity specified in Section 3 of this Application Form, as applicable, ('the Client'), the Guarantor:

1. unconditionally and irrevocably:
  - (a) guarantees to Patersons the due and punctual performance and observance by the Client of all of the obligations contained in or implied under the Agreement that must be performed and observed by the Client ('Guaranteed Obligations'); and
  - (b) indemnifies Patersons against all losses, damages, costs and expenses which Patersons may now or in the future suffer or incur consequent on or arising directly or indirectly out of any breach or non-observance by the Client of a Guaranteed Obligation;
2. agrees that Patersons may enforce this Guarantee and Indemnity against the Guarantor without first having to resort to another security interest relating to the Guaranteed Obligations and further agrees that each and every amount payable under this Guarantee and Indemnity is payable to Patersons on its written demand;
3. agrees this Guarantee and Indemnity remains unaffected despite:
  - (a) an amendment of the Agreement, whether with or without the Guarantor's knowledge or consent; or
  - (b) a rule of law or equity to the contrary; or
  - (c) an insolvency event affecting a person or the death of a person; or
  - (d) a change in the constitution, membership, or partnership of a person; or
- (e) the partial performance of the Guaranteed Obligations; or
- (f) the Guaranteed Obligations not being enforceable at any time, for whatever reason, against the Client; or
- (g) Patersons granting any time or other concession to, compounding or compromising with, or wholly or partially releasing the Client or the Guarantor of an obligation; or
- (h) another thing happening that might otherwise release or affect the obligations of the Guarantor under this Guarantee and Indemnity;
4. agrees this Guarantee and Indemnity is:
  - (a) a principal obligation and is not to be treated as ancillary or collateral to another right or obligation; and
  - (b) independent of and not in substitution for or affected by another security interest or other agreement which Patersons or another person may hold concerning the Guaranteed Obligations;
5. agrees that this Guarantee and Indemnity is governed by the laws applicable in Western Australia and submits to the non-exclusive jurisdiction of the courts of Western Australia.

Signed as a deed poll.

### SIGNATURES

Signature Guarantor	Print Name	Date Signed
<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Signature Witness	Print Name	Date Signed
<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

SIGN HERE

## RECITALS

- A. In its capacity as a Clearing and Settlement Facility under the Corporations Act, ASX Settlement Pty Limited ABN 49 008 504 532 will operate a Clearing House Electronic Subregister System ('CHESS').
- B. CHESS allows Participant Sponsored Holders to hold Financial Products in an uncertificated form in holdings sponsored by the Participant.
- C. The Sponsoring Participant and the Participant Sponsored Holder have agreed to enter into this Sponsorship Agreement to allow the Participant Sponsored Holder(s) to participate, or to continue to participate, as a Participant Sponsored Holder in CHESS.

## AGREEMENT

### Definitions

In this agreement:

'ASX Clear' means ASX Clear Pty Ltd – ABN 48 001 314 503';

'ASX Settlement' – ASX Settlement Pty Ltd in its capacity as licensee of a clearing and settlement facility under the Corporations Act;

'ASX Settlement Operating Rules' means the rules made by ASX Settlement as in force from time to time;

'Business Day' is a day other than:

- (a) a Saturday, Sunday, New Year's Day, Good Friday, Easter Monday, Christmas Day, Boxing Day; and
- (b) any other day which the ASX shall declare and publish is not a business day.

'CHESS' means the Clearing House Electronic Sub-register System and means the system established and operated by ASX Settlement for:

- (a) the clearing and settlement of transactions in CHESS Approved Financial Products;
- (b) the transfer of Financial Products; and
- (c) the registration of transfers

'CHESS Approved Financial Products' means Financial Products approved by ASX Settlement in accordance with Section 3 of the ASX Settlement Operating Rules;

'CHESS Holding' means an uncertificated holding of Financial Products on a Sub-register for that class of Financial Products maintained by ASX Settlement;

'CHESS Participant Sponsored Holding' means a holding of Financial Products on the CHESS Sub-register;

'HIN' stands for Holder Identification Number and means a number used to:

- (a) identify a Holder of Financial Products on the CHESS Sub-register; and
- (b) link the Holding details maintained on the CHESS Sub-register with the Holder's Registration Details;

'Participant Sponsored Holdings' means the CHESS Holdings of the Participant Sponsored Holder;

'ASX Settlement Rules' means these ASX Settlement Rules being the 'settlement operating rules' of the Exchange;

'Subposition' means a facility in CHESS by which:

- (a) activity in relation to Financial Products held in a CHESS Holding may be restricted; and
- (b) access to those Financial Products for limited purposes may be given to a Participant other than the Controlling Participant;

'Withdrawal Instructions' means written or oral instructions from the Participant Sponsored Holder to the Sponsoring Participant for the withdrawal of Financial Products from a Participant Sponsored Holding and includes instructions:

- (a) to convert Financial Products in a Participant Sponsored Holding to any other mode of Holding;

- (b) to initiate a change of sponsorship for the Financial Products;
- (c) to endorse or initiate an off market transfer of Financial Products; or
- (d) to accept a takeover offer for Financial Products on behalf of the Participant Sponsored Holder.

### 1 Interpretations

- 1.1 Any term used in this Sponsorship Agreement which is defined in the ASX Settlement Operating Rules has the meaning given in the Rules. (Should you require a copy of these definitions please contact the Sponsoring Participant).

### 2 Participant's Rights

- 2.1 Where the Participant Sponsored Holder authorises the Sponsoring Participant to buy Financial Products, the Participant Sponsored Holder will pay for those Financial Products within three (3) Business Days of the date of purchase.
- 2.2 Subject to clause 2.3, the Sponsoring Participant is not obliged to Transfer Financial Products into the Participant Sponsored Holding, where payment for those Financial Products has not been received, until payment is received.
- 2.3 Where a contract for the purchase of Financial Products remains unpaid, after the Sponsoring Participant has made a demand of the Participant Sponsored Holder to pay for the Financial Products, the Sponsoring Participant may sell those Financial Products that are the subject of that contract at the Participant Sponsored Holder's risk and expense, and that expense shall include brokerage and stamp duty.
- 2.4 Where the Sponsoring Participant claims that an amount lawfully owed to it has not been paid by the Participant Sponsored Holder, the Sponsoring Participant has the right to refuse to comply with the Participant Sponsored Holder's Withdrawal Instructions, but only to the extent necessary to retain Financial Products of the minimum value held in a Participant Sponsored Holding (where the minimum value is equal to 120% of the current market value of the amount claimed).

### 3 Participant Sponsored Holder's Rights

- 3.1 Subject to the clauses 2.3 and 2.4, the Sponsoring Participant will initiate any Transfer, Conversion or other action necessary to give effect to Withdrawal Instructions within two Business Days of the date of the receipt of the Withdrawal Instructions.
- 3.2 The Sponsoring Participant will not initiate any Transfer or Conversion into or out of a Participant Sponsored Holding without the express authority of the Participant Sponsored Holder.
- 3.3 The regulatory regime which applies to the Sponsoring Participant is the ASX Settlement Business Rules of ASX Limited and the Corporations Act as regulated by the Australian Securities and Investments Commission.
- 3.4 The Participant Sponsored Holder may lodge a complaint against the Sponsoring Participant or any claim for compensation with the Financial Ombudsman Service Limited, GPO Box 3, Melbourne VIC 3001.

#### **4 Other Rights and Duties**

##### **4.1 Supply of Information**

The Participant Sponsored Holder will supply all information and supporting documentation which is reasonably required to permit the Sponsoring Participant to comply with the registration requirements, as are in force from time to time, under the ASX Settlement Operating Rules.

#### **5 Exchange Traded Options, Pledging and Sub-Positions**

5.1 Where the Participant Sponsored Holder arranges with ASX Clear to lodge Financial Products in a Participant Sponsored Holding as cover for written positions in the Australian Options Market, and informs the Sponsoring Participant of the arrangement, the Participant Sponsored Holder authorises the Sponsoring Participant to take whatever action is reasonably required by ASX Clear in accordance with the Rules to give effect to that arrangement.

5.2 Where the Participant Sponsored Holder arranges with any person to give a charge or any other interest in Financial Products in a Participant Sponsored Holding, the Participant Sponsored Holder authorises the Sponsoring Participant to take whatever action is reasonably required by the person in accordance with the Rules to give effect to that arrangement.

5.3 The Participant Sponsored Holder acknowledges that where, in accordance with this Agreement and/or the Participant Sponsored Holder's instructions, the Sponsoring Participant initiates any action which has the effect of creating a sub-position over Financial Products in a Participant Sponsored Holding, the right of the Participant Sponsored Holder to Transfer, Convert or otherwise deal with those Financial Products is restricted in accordance with the terms of the Rules relating to sub-positions.

5.4 Nothing in this Agreement operates to override any interest of ASX Clear in the Financial Products.

#### **6 Fees**

6.1 The Participant Sponsored Holder shall pay all Participant fees and associated transactional costs within the period prescribed by the Sponsoring Participant.

#### **7 Mandatory Notifications and Acknowledgments**

7.1 The Participant Sponsored Holder acknowledges that if the Sponsoring Participant is not a Market Participant of ASX, neither ASX nor any Related Party of ASX has any responsibility for supervising or regulating the relationship between the Participant Sponsored Holder and the Sponsoring Participant, other than in relation to the Rules relating to Sponsorship Agreements.

7.2 The Participant Sponsored Holder acknowledges that if a Transfer is taken to be effected by the Sponsoring Participant under Section 9 of the ASX Settlement Operating Rules and the Source Holding for the Transfer is a Participant Sponsored Holding under the Sponsorship Agreement, then:

- (a) The Participant Sponsored Holder may not assert or claim against ASX Settlement or the relevant Issuer that the Transfer was not effected by the Sponsoring Participant or that the Sponsoring Participant was not authorised by the Participant Sponsored Holder to effect the Transfer; and
- (b) Unless the Transfer is also taken to have been effected by a Market Participant of ASX or a Clearing Participant of ASX Clear, the Participant Sponsored Holder has no claim arising out of the Transfer against the National Guarantee Fund under Part 7.5, Division 4 of the Corporations Regulations.

7.3 In the event that the Sponsoring Participant breaches any of the provisions of this Agreement, the Participant Sponsored Holder may refer that breach to any regulatory authority, including ASX Settlement.

7.4 In the event that the Sponsoring Participant is suspended from CHESSE participation, subject to the assertion of an interest in Financial Products controlled by the Sponsoring Participant, by the liquidator, receiver, administrator or trustee of the Sponsoring Participant:

- (a) the Participant Sponsored Holder has the right, within 20 Business Days of ASX Settlement giving Notice of Suspension, to give notice to ASX Settlement requesting that any Participant Sponsored Holdings be removed either:
  - (i) from the CHESSE Sub-register; or
  - (ii) from the control of the suspended Participant to the control of another Participant with whom they have concluded a valid Sponsorship Agreement pursuant to Rule 12.19.10; or
- (b) where the Participant Sponsored Holder does not give notice under clause 7.4(a), ASX Settlement may effect a change of Controlling Participant under rule 12.19.11 and the Participant Sponsored Holder will be deemed to have entered into a new Sponsorship Agreement with that substitute Participant on the same terms as the existing Sponsorship Agreement. Where a Participant Sponsored Holder is deemed to have entered into a Sponsorship Agreement, the new Participant must enter into a Sponsorship Agreement with the Participant Sponsored Holder within 10 Business Days of the change of Controlling Participant.

7.5 The Participant Sponsored Holder acknowledges that before the Participant Sponsored Holder executed the Sponsorship Agreement, the Sponsoring Participant provided the Participant Sponsored Holder with an explanation of the effect of the Sponsorship Agreement and that the Participant Sponsored Holder understood the effect of the Sponsorship Agreement.

7.6 The Participant Sponsored Holder acknowledges that in the event of death or bankruptcy of the Participant Sponsored Holder, a Holder Record Lock will be applied to all Participant Sponsored Holdings in accordance with the ASX Settlement Operating Rules, unless the Participant Sponsored Holder's legally appointed representative or trustee elects to remove the Participant Sponsored Holdings from the CHESSE Sub-register.

7.7 The Participant Sponsored Holder acknowledges that in the event of the death of the Participant Sponsored Holder, this Sponsorship Agreement is deemed to remain in operation, in respect of the legally appointed representative authorised to administer the Participant Sponsored Holder's estate, subject to the consent of the legally appointed representative, for a period of up to 3 calendar months after the removal of a Holder Record Lock applied pursuant to clause 7.6.

#### **8 For Joint Holdings Only**

8.1 The Participant Sponsored Holder acknowledges that in the event of death of one of the Participant Sponsored Holders, the Sponsoring Participant shall transfer all Holdings under the joint Holder Record into new Holdings under a new Holder Record in the name of the surviving Participant Sponsored Holder, and that this Sponsorship Agreement will remain valid for the new Holdings under the new Holder Record.

8.2 The Participant Sponsored Holder acknowledges that, in the event of bankruptcy of one of the Participant Sponsored Holders, the Sponsoring Participant will:

- (a) unless the legally appointed representative of the bankrupt Participant Sponsored Holder elects to remove the Participant Sponsored Holdings from the CHESSE Sub-register, establish a new Holder Record in the name of the bankrupt Participant Sponsored Holder, transfer the interest of the bankrupt

Participant Sponsored Holder into new Holdings under the new Holder Record and request that ASX Settlement apply a Holder Record Lock to all Holdings under that Holder Record; and

- (b) establish a new Holder Record in the names of the remaining Participant Sponsored Holder/s and Transfer the interest of the remaining Participant Sponsored Holder/s into new Holdings under the new Holder Record.

## **9 Change of Controlling Participant**

- 9.1 If the Participant Sponsored Holder receives a Participant Change Notice from the Controlling Participant of the Participant Sponsored Holding and the Sponsoring Participant Change Notice was received at least 20 Business Days prior to the date proposed in the Sponsoring Participant Change Notice for the change of Controlling Participant, the Participant Sponsored Holder is under no obligation to agree to the change of Controlling Participant, and may choose to do any of the things set out in clauses 9.2 or 9.3.
- 9.2 The Participant Sponsored Holder may choose to terminate the Agreement by giving Withdrawal Instructions under the ASX Settlement Operating Rules to the Controlling Participant, indicating whether the Participant Sponsored Holder wishes to:
  - (a) transfer its Participant Sponsored Holding to another Controlling Participant; or
  - (b) transfer its Participant Sponsored Holding to one or more Issuer Sponsored Holdings.
- 9.3 If the Participant Sponsored Holder does not take action to terminate the agreement in accordance with 9.2 above, and does not give any instructions to the Controlling Participant which would indicate that the Participant Sponsored Holder does not agree to the change of Controlling Participant then, on the Effective Date, the Agreement will have been taken to be novated to the New Controlling Participant and will be binding on all parties as if, on the Effective Date:
  - (a) the New Controlling Participant is a party to the Agreement in substitution for the Existing Controlling Participant;
  - (b) any rights of the Existing Controlling Participant are transferred to the new Controlling Participant; and
  - (c) the Existing Controlling Participant is released by the Participant Sponsored Holder from any obligations arising on or after the Effective Date.
- 9.4 The novation in clause 9.3 will not take effect until the Participant Sponsored Holder has received a notice from the New Controlling Participant confirming that the New Controlling Participant consents to acting as the Controlling Participant Sponsored Holder. The Effective Date may as a result be later than the due date set out in the Sponsoring Participant Change Notice.
- 9.5 The Participant Sponsored Holder will be taken to have consented to the events referred to in clause 9.4 by the doing of any act which is consistent with the novation of the Agreement to the New Controlling Participant (for example by giving an instruction to the New Controlling Participant), on or after the Effective Date, and such consent will be taken to be given as of the Effective Date.
- 9.6 The Agreement continues for the benefit of the Existing Controlling Participant in respect of any rights and obligations accruing before the Effective Date and, to the extent that any law or provision of any agreement makes the novation in clause 9.3 not binding on the Existing Controlling Participant until such time as the novation is effective, and the existing Controlling Participant will hold the benefit of the Agreement for the New Controlling Participant.

- 9.7 Nothing in this clause 9 will prevent the completion of CHESS transactions by the Existing Controlling Participant where the obligation to complete those transactions arises before the Effective Date and the Agreement will continue to apply to the completion of those transactions, notwithstanding the novation of the Agreement to the New Controlling Participant under this clause 9.

## **10 Claims for Compensation**

- 10.1 No compensation arrangements apply to the Participant Sponsored Holder.
- 10.2 If the Sponsoring Participant breaches a provision of this Agreement and the Participant Sponsored Holder makes a claim for compensation pursuant to the breach, the ability of the Sponsoring Participant to satisfy that claim will depend on the financial circumstances of the Sponsoring Participant.
- 10.3 If a breach by a Participant of a provision of this Agreement falls within the circumstances specified under Part 7.5, Division 4 of the Corporations Regulations, a Participant Sponsored Holder may make a claim on the National Guarantee Fund for compensation.

## **11 Termination**

- 11.1 Subject to the ASX Settlement Operating Rules, this Agreement will be terminated upon the occurrence of any of the following events:
  - (a) by notice in writing from either the Participant Sponsored Holder or the Sponsoring Participant to the other party to the Agreement;
  - (b) upon the Sponsoring Participant becoming insolvent;
  - (c) upon the termination or suspension of the Sponsoring Participant; or
  - (d) upon giving of Withdrawal Instructions by a Participant Sponsored Holder to a Controlling Participant in accordance with Rule 7.1.10(c).
- 11.2 Termination under clause 11.1(a) will be effective upon receipt of Notice by the other party to the Sponsorship Agreement.

## **12 Variation**

- 12.1 Should any of these provisions in this Agreement be inconsistent with the provision in the ASX Settlement Operating Rules, the Sponsoring Participant shall, by giving the Sponsoring Participant Sponsored Holder not less than 7 business days' written Notice, vary the Agreement to the extent to which in the Sponsoring Participant's reasonable opinion is necessary to remove any inconsistency.

## ADDENDUM B: IDENTIFICATION REQUIREMENTS

### 1. ORIGINAL CERTIFIED DOCUMENTS

**Original Certified Copy:** A copy of a document that has been certified as a true copy of an original document by a person whom is authorised by law to do so.

The person must sight both the original and the copy that they are certifying. Photocopies or facsimiles of original certified documents will not be accepted. A list of authorised persons is set out below. Each page must be certified if the document consists of more than one page. Note: an applicant, authorised agent or power of attorney on this account may not certify documents for the account.

### 2. WHO IS AUTHORISED TO CERTIFY DOCUMENTS? (DOMESTIC ACCOUNTS ONLY)

This list only applies to domestic clients. For a list of certifiers applicable to overseas clients, please refer to the Overseas Supplement.

1. The client's Private Client Adviser – where the Private Client Adviser has two (2) or more continuous years of service with one or more financial institutions as set out in the Statutory Declarations Regulations;
2. Chiropractor;
3. Dentist;
4. Legal practitioner;
5. Medical practitioner;
6. Nurse;
7. Optometrist;
8. Pharmacist;
9. Physiotherapist;
10. Veterinary surgeon;
11. Bank officer with 2 or more continuous years of service;
12. Justice of the Peace;
13. Magistrate;
14. Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants;
15. Notary Public;
16. Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
17. Permanent employee of:
  - a) the Commonwealth or a Commonwealth authority; or
  - b) a State or Territory or a State or Territory authority; or
  - c) a local government authority; with 2 or more years of continuous service who is not specified in another item in this Part
18. Police Officer;
19. Teacher employed on a full-time basis at a school or tertiary education institution;
20. Member of the Australasian Institute of Mining and Metallurgy.

### 3. HOW TO CERTIFY A DOCUMENT

We can only accept the certification of a document when it is set out as below with the following information:

- Name of the Certifier;
- Signature of Certifier;
- Qualification of Certifier; and
- Date of Certification.

Example:

I certify that this is a true copy of the original, which I have sighted Signed: _____ Date: ____/____/_____ Full Name: _____ Qualification: _____
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### 4. ACCEPTABLE TYPES OF IDENTIFICATION

#### SECTION A: PRIMARY PHOTOGRAPHIC IDENTIFICATION

- Passport issued by the Commonwealth that contains a photograph and the signature of the person whose name the document is issued; and has not expired in the preceding two years.
- Valid passport for the purposes of international travel that: contains a photograph; is issued by a foreign government or the United Nations; and is in English or is accompanied by an English translation prepared by an accredited translator.
- Valid driver's licence that contains a photograph.
- Valid proof of age card that contains a photograph.
- Valid national identity card that: contains a photograph; issued by a foreign government or the United Nations; and is in English or is accompanied by an English translation prepared by an accredited translator.

#### SECTION B: PRIMARY NON-PHOTOGRAPHIC IDENTIFICATION

- Birth certificate or birth extract issued by a State or Territory.
  - Accompanied by a Marriage Certificate or Name Change Certificate if the first name or surname has been changed.
- Birth certificate issued by a foreign government or the United Nations that is in English or is accompanied by an English translation prepared by an accredited translator.
- Citizenship certificate issued by the Commonwealth.
- Citizenship certificate issued by a foreign government that is in English or is accompanied by an English translation prepared by an accredited translator.
- Valid pension card issued by Centrelink.

#### SECTION C: SECONDARY IDENTIFICATION

- Australian Taxation Office notice issued within the preceding 12 months (must show full name AND residential address).
- Financial benefits notice issued by Commonwealth, State or Territory issued within the preceding 12 months (must show full name AND residential address).
- Council rates invoice issued by local government body within the preceding 3 months (must show full name AND residential address).
- Utilities invoice issued by utilities provider (e.g. gas, electricity, water, phone) within the preceding 3 months (must show full name AND residential address).
- Letter from a registered aged care facility issued within the preceding 3 months, which, carries the name of the client, the address of the facility and the registration number of the facility confirming they are a registered aged care provider.

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Participant of ASX Group; Participant of NSX; Stockbrokers Association of Australia Principal Member; Financial Planning Association Principal Member

Effective Date: 17 November 2010