

Authorised Person Form

WealthHub Securities Limited
ABN 83 089 718 249
AFSL No. 230704

nabtrade
Reply Paid 87762
Melbourne VIC 8060

Telephone 13 13 80
nabtrade.com.au

Complete this form if you'd like to give access to someone else to trade and/or transact on, and/or view your Domestic Trading Account on your behalf (subject to the restrictions outlined in the nabtrade Client Agreement). An Authorised Person will be able to see the balance of your Cash Products but won't be able to transact on your Cash Products. Access to Global Trading Account/s are not available for an Authorised Person.

Authorised Persons on your Trading Account will not be able to trade, transact on, or view your nabtrade Global Market Trading Account, therefore this form is not applicable to the nabtrade Global Market Trading service.

Use black or blue pen and write in CAPITALS. If you need help completing this form, call us on 13 13 80. All fields marked with an * are mandatory.

Section 1

Your account details

The Authorised Person outlined in Section Two will act in connection with the Trading Account below.

Trading Account Number

Name(s) in which your Trading Account is held

Please select the level of access you'd like to give the Authorised Person outlined in Section Two.

Trading access: Authorise another person or company director to have trading access over my/our Domestic Trading Account, according to the terms and conditions of the nabtrade Client Agreement.

or

View only access: Authorise another person or company director to have view only access over my/our Trading Account, according to the terms and conditions of the nabtrade Client Agreement.

Section 2

Authorised Person details

1. *Are you an existing NAB or nabtrade client?

Yes No Please ensure you provide certified copies of your identification as per Section 4

If **yes**, supply your NAB Identification Number or nabtrade username

2. Personal details

It is a legal requirement for you to provide your full legal name.

a. *Title Mr Mrs Miss Ms Other

b. *Given name(s)

c. Middle name(s)

d. *Family name(s)

e. *Date of birth (you must be over 18 years of age)

f. *Gender

Male Female

Section 2**Authorised Person details** (continued)

g. *Are you an Australian resident for tax purposes?

Yes No

If **no**, supply country of residence

h. Are you a tax resident of a country other than Australia?

Yes No

If **yes**, download the supplementary form from www.nabtrade.com.au/SupForm and fill out section 1.

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship or residency.

3. Contact Details

*You must provide at least one contact number and an email address to set up the account.

Australian Mobile

Home phone

 ()

Business phone

 ()

*Email address

4. Address Details

a. *Residential Address (not a PO Box)

b. *How long have you been at the above address?

More than 3 years Less than 3 years (supply previous residential address below)

c. *Mailing Address (if different from 4a. Can be a PO Box)

5. Employment details

a. *Occupation

b. Employer name

6. Security details

a. *Security question (eg. What's your Grandmother's maiden name?)

b. *Security answer

7. Relationship to account holder

Section 2

Authorised Person details (continued)

8. Client communications

I agree to receive information about products and services from the NAB Group, including promotions and other opportunities nabtrade thinks I may be interested in.

Yes No

If you don't tick any box, it will be assumed you want to receive information about these products, services and other opportunities.

Section 3

Signatures

By completing and signing this application, the Authorised Person agrees that:

- I/We have accessed the following documents at nabtrade.com.au and have read, understand and agree to the nabtrade Best Execution Policy, the nabtrade Financial Services Guide, NAB Financial Services Guide, nabtrade Global Market Trading Product Disclosure Statement and the nabtrade Client Agreement comprising:
 - Parts A to E and G to H – the agreement between you and WealthHub Securities.
 - Parts F and H – the agreement between you and NAB in relation to the nabtrade Cash Products issued by NAB.
 - Part G - contains the nabtrade Global Market Trading service terms.
 - Part H – defines the terms in the nabtrade Client Agreement.
 - Part I – contains the NAB Privacy Notification.
- I consent to the following:
 - receiving all further information (including terms and conditions, statements, notices and information about fees) by it being made available at nabtrade.com.au
 - NAB and WealthHub Securities advising me via the nominated electronic address(es) (including email and SMS), that information is available at nabtrade.com.au
 - that I may not receive paper documents. I understand I need to check my accounts regularly for electronic communications and that I can change my nominated electronic address or withdraw my consent.
- I confirm that I am 18 years of age or over, and as far as I am aware, everything I have provided in this application form and identification form (where applicable), is true and complete. If there are any changes to this information in the future, I will advise nabtrade as soon as possible.

Printed copies of the nabtrade Financial Services Guide and the nabtrade Client Agreement are available by contacting nabtrade on 13 13 80.

Authorised Person	Signature
Given name(s) / Family name (PRINT)	

Provide signatures of all account holder/s that operate the Trading Account.

Account Holder 1:

Given name(s) / Family name (PRINT)

Signature

X	Date / /
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Account Holder 2:

Given name(s) / Family name (PRINT)

Signature

X	Date / /
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Account Holder 3:

Given name(s) / Family name (PRINT)

Signature

X	Date / /
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Section 4

Identification (applicable only for the Authorised Person)

The Authorised Person needs to provide certified copies of identification documents. A certified copy is a document that has been certified as a true copy of an original document by an approved certifier. Original identification documents and photocopies of them will need to be shown to an approved certifier.

Which documents can be used?

You can use either:

- two primary identification documents, or
- one primary document and one secondary document.

You need to provide certified copies of two identification documents for each person applying for a nabtrade account. A certified copy is a document that has been certified as a true copy of an original document by an approved certifier.

Make sure all of your identification documents are current and contain your full name. You'll need to show your original identification documents and photocopies of them to an approved certifier.

Primary documents

- Australian driver's licence containing a photograph of the person
- Passport or other international travel document¹ (must have photo, be Australian issued and can be expired within the preceding two years but not cancelled. International travel documents must contain the applicant's photograph and signature)
- Card issued under a State or Territory for the purpose of proving a person's age and containing a photograph of the person
- Australian birth certificate or birth certificate issued by a foreign government¹
- Australian citizenship certificate or citizenship certificate issued by a foreign government¹

¹ Documents written in a language other than English must be accompanied by an English translation prepared by an accredited translator.

Secondary documents

- Medicare card issued by the Australian Government
- Australian Taxation Office notice (issued within the preceding 12 months which contains the individual's name and residential address)
- Identity card from a tertiary institution
- Identity card or permit issued by the Australian Government
- Identity card issued by a foreign government¹
- Other licence issued by a foreign government¹
- Paper licence issued by the Australian government
- Rates notice/Utility bill (issued within the preceding three months, and must contain the individual's name and residential address)
- Abstudy or Austudy receipt
- Foreign driver's licence that contains a photograph of the person in whose name that it's issued and the individual's date of birth¹
- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits and contains the individual's name and residential address
- Letter of reference or equivalent originating from Aboriginal/Torres Strait Islanders community leaders

Who's an approved certifier?

An approved certifier must be an Australian citizen or permanent resident and can be any of the following:

- A judge of a court
- A chief executive officer of a Commonwealth court
- A notary public (for the purposes of the Statutory Declaration Regulations 1993)
- An agent of the Australian Postal Corporation who is in charge of supplying postal services to the public
- A permanent employee of Australia Post (with two or more years of continuous service)
- An officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees
- A licensed legal practitioner
- A magistrate
- A registrar or deputy registrar of a court
- A police officer
- An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- A finance company officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declarations Regulations 1993)
- A Justice of the Peace
- An accountant with at least two years of continuous service (who's also a member of the Australian Institute of Chartered Accountants, CPA Australia, or the National Institute of Accountants)
- A NAB Branch Manager

What does an approved certifier need to do?

On each page of the **photocopy**, the approved certifier needs to:

- write the text, 'This is to certify that this is a true copy of the original document which I have sighted'
- write the date on which the document was certified
- sign the copy
- print their full name and full address
- note the position that allows them to certify the document; for example, 'police officer', and
- write their registration number (if applicable).

Section 5

Next Steps

Complete and return this form and certified identification documents (copies or faxes won't be accepted) for the Authorised Person by **post** to:

Post:
nabtrade
Reply Paid 87762
Melbourne VIC 8060

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