

# Application form

## Company/Trust account

**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

### Welcome to nabtrade.

We look forward to having you on board.

#### Before you start

- You should read the nabtrade Client Agreement, nabtrade Financial Services Guide, nabtrade Best Execution and nabtrade Research Policies, NAB Financial Services Guide and nabtrade Global Market Trading Product Disclosure Statement before completing this form.
- Use a black or blue pen and write in CAPITALS.
- All fields marked with \* are **mandatory**.
- Ensure you complete and return **all** pages in this application.
- Company accounts will be set up with a minimum of 2 applicants (except for when applicant 1 is a sole director and secretary).
- Additional director and shareholder information is collected for AML/FATCA/CRS requirements.

#### \*Select which type of account you would like to open:



##### Company

- ☐ Select this option if you would like to **trade on behalf of a company** eg. XYZ Pty Ltd
- ☐ All applicants must complete: **Sections 2, 3, 4, 5, 8, 9 and 11**
- ☐ Review and complete (if applicable): **Section 10**
- ☐ For existing NAB customers: ensure you provide your nabtrade username or NAB Identification Number (NIN) in **Section 4**, or
- ☐ For new customers: ensure you provide certified copies of your identification documents as per **Section 1**
- ☐ For international share trading: ensure the Primary Contact completes the U.S. Withholding Tax Treaty Statement in **Section 12**
- ☐ Post your completed Application Form and certified identification documents to:  
**nabtrade Reply Paid 87762  
Melbourne VIC 8060**



##### SMSF/Trust

- ☐ Select this option if you would like to **trade on behalf of a trust or Super Funds**
- Individual Trustee(s) and Corporate Trustee**
- ☐ All Applicants must complete: **Individual Trustee(s): Sections 2, 4, 6, 7, 8, 9, 11**
- ☐ Review and complete (if applicable): **Individual Trustee(s) Section 10  
Corporate Trustee Section 10**
- ☐ For all existing NAB customers: ensure you provide your nabtrade username or NAB Identification Number (NIN) in **Section 4**, or
- ☐ For any new customers: ensure you provide certified copies of your identification documents as per **Section 1** and **Section 6**
- ☐ For international share trading: ensure the Primary Contact completes the U.S. Withholding Tax Treaty Statement in **Section 12**
- ☐ Post your completed Application Form and certified identification documents to:  
**nabtrade Reply Paid 87762  
Melbourne VIC 8060**



**Need Help?** If you need any assistance with completing this form, contact us on **13 13 80** between 8am and 6pm (AEDT/AEST), Monday to Friday.

The nabtrade service (nabtrade) is provided by WealthHub Securities Limited ABN 83 089 718 249, AFSL No. 230 704. WealthHub Securities is a participant of the ASX Group and Chi-X (Australia) and a wholly owned subsidiary of the National Australia Bank ABN 12 004 044 937, AFSL No. 230 686 (NAB). The nabtrade Global Market Trading service is an international share trading, nominee and custody service provided by WealthHub Securities. NAB doesn't guarantee its subsidiaries' obligations or performance, or the products or services its subsidiaries offer.

## Section 1

## Identification

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 and at least one document contains your current address. You'll need to show your original identification documents and photocopies of them to an approved certifier.

### International share trading



To activate international share trading you must also complete the US Withholding Tax Treaty Statement

### Which documents can you use?

You can use either:



**One primary photographic**  
identification document

or



**One primary non-photographic + One secondary**  
identification document



#### Primary photographic document

- Australian driver's licence containing a photograph of the person
- Australian Passport (a passport that has expired within the preceding 2 years is acceptable)
- Government issued foreign passport<sup>1</sup> containing the applicant's photograph
- Identity card issued by a foreign government<sup>1</sup>
- Card issued under a State or Territory for the purpose of proving a person's age and containing a photograph of the person
- Foreign driver's licence that contains a photograph of the person in whose name that it's issued and the individual's date of birth<sup>1</sup>

#### Trust Document Requirements:

- Provide a certified copy of the Trust Deed or a certified copy of an extract showing: the name of the Trust or Fund, the names of the Trustees, the names or the class of beneficiaries, the date that the Trust was created, the country in which the Trust was established, and the execution page
- For complying SMSFs only, the deed extract can be emailed and does not need to be certified



#### Primary non-photographic documents

- Australian birth certificate or birth certificate issued by a foreign government<sup>1</sup>
- Australian citizenship certificate or citizenship certificate issued by a foreign government<sup>1</sup>
- Pension/Health Care/Seniors health care cards – Australian Government issue



#### Secondary documents

- Rates notice/Utility bill (issued with the preceding three months, and must contain the individual's name and residential address)
- Australian Taxation Office notice (issued within the preceding 12 months that contains the individual's name and residential address)
- Medicare card issued by the Australian Government
- Australian Defence Force photo identification card
- Australian firearms licence issued to an individual by a state or territory police force of Australia
- A notice issued to an individual by the Commonwealth, a State or Territory of Australia recording the provision of financial benefits to the individual under a law of the Commonwealth, State or Territory, issued within the preceding twelve months and containing the name of the individual and their Residential Address

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

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## Section 1

### Identification (cont.)

#### Who's an approved certifier?

A person listed in Part 1 or Part 2 of the Statutory Declarations Regulations 2018, including:

- A judge
- A magistrate
- A chief executive officer of a Commonwealth court
- A registrar or deputy registrar of a court
- A notary public
- A police officer
- An agent of the Australian Postal Corporation who is in charge of supplying postal services to the public
- An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- A permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office providing postal services to the public
- A finance company officer with 2 or more years of continuous service
- A Justice of the Peace
- An Accountant who is:
  - (a) fellow of the National Tax Accountants' Association; or
  - (b) a member of any of the following:
    - (i) Chartered Accountants Australia and New Zealand;
    - (ii) the Association of Taxation and Management Accountants;
    - (iii) CPA Australia;
    - (iv) the Institute of Public Accountants
- A legal practitioner

OR

- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees
- An officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees
- A person in a foreign country who is authorised by law in that jurisdiction to administer oaths or affirmations or to authenticate documents

#### What does an approved certifier need to do?

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

- 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 2

### Funding your nabtrade account

#### How would you like to pay for your trades?

☐

##### Cash Account

Select this option to settle your trades with cash.

#### Source of Funds

##### \*Sources/activities generating funds (select all that apply)

☐

Benefits, compensation or settlements

☐

Family - inheritance, spouse, trust, etc.

☐

Gift/donation or windfall

☐

Government grant

☐

Income (e.g. salary, redundancy)

☐

Income from Business

☐

Investment (e.g. property, shares, currencies)

☐

Assets (e.g. savings, sale of an asset)

☐

Investor/owner funds

☐

Loan

☐

Superannuation/pension

☐

Tax Refund

☐

Third Party

##### \*What country or countries are your funds expected from?


☐

##### Existing NAB Equity Lending margin loan

Provide your Facility account number.

☐

##### New NAB Equity Lending margin loan

Download and complete the NAB Equity Lending application at [nabmarginlending.com.au](http://nabmarginlending.com.au)

By default, a cash account will be established to settle your trades unless an alternative option is selected.

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## Section 3

## Company details

This section must be completed if you want to operate this Trading Account on behalf of a Company, Corporate or Trustee.

### 1. Number of directors?

- ☐ **One:** complete details for Applicant One only in Section 4.
- ☐ **Two:** complete details for Applicant One and Two only in Section 4.
- ☐ **Three or more:** complete details for a minimum of two Applicants in Section 4.

### 2. \*Type of company

- ☐ Corporate Trustee (ensure you complete Section 5 and 6)
- ☐ Company

If Corporate Trustee or Company is selected please complete Section 5.

### 3. \*Name of company

As registered by ASIC (e.g. XYZ Pty Ltd) or as per your ABN/ACN registration.

Full business name (if any)

### 4. \*Nature of Business/industry (Please specify all)


### 5. Nature and Purpose

(If you are Corporate Trustee, please proceed to Question 7)

**\*What is the intended nature of your banking relationship with NAB? (select all that apply)**

- ☐ To transact in financial instruments
- ☐ To build up savings and wealth
- ☐ To receive wages and/or investment income
- ☐ To pay for purchases, utilities, family and friends
- ☐ To cover short term cash flow shortfalls
- ☐ To borrow money for purchases or asset investment
- ☐ To borrow money for personal real estate
- ☐ To receive business earnings and make payments
- ☐ To pay for overseas purchases, family or friends
- ☐ To pay/receive money from trade (import/export)

### 6. Source of Wealth

**a. \*Sources/activities contributing to accumulated wealth (select all that apply)**

- ☐ Benefits, compensation or settlements
- ☐ Family - inheritance, spouse, trust, etc.
- ☐ Gift/donation or windfall
- ☐ Government grant
- ☐ Income (e.g. salary, redundancy)
- ☐ Income from Business
- ☐ Investment (e.g. property, shares, currencies)
- ☐ Assets (e.g. savings, sale of an asset)
- ☐ Investor/owner funds
- ☐ Loan
- ☐ Superannuation/pension
- ☐ Tax Refund
- ☐ Third Party

# Application form

Company/Trust account



## Section 3

### Company details (cont.)

- b. **\*What country or countries does your source of wealth originate from?**


7. **\*What is the Australian company type**

(select only one of the following categories)

☐ Public ☐ Proprietary

- a. **Australian Business Number (ABN)**

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- b. **\*Australian Company Number (ACN)**

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## 8. Tax Details

- a. **Tax File Number (TFN) or tax exemption code**

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nabtrade is authorised under the Income Tax Assessment Act 1936 to ask for your TFN. It's not compulsory for you to tell us your TFN, Australian Business Number (ABN), or exemption code (if you have one). However, if you don't provide these details, we may need to deduct Pay As You Go (PAYG) withholding tax at the maximum marginal tax rate (plus the Medicare levy) from any interest you earn on your Cash Products. Further, if you do not provide us these details, we will not be able to activate your international trading account. This requirement for activation does not apply to your domestic trading account. If you provide your TFN or other details mentioned above, they will apply to all your accounts with nabtrade and you authorise disclosure of your TFN to third parties, where doing so is in accordance with taxation law.

- b. **\*Is the Company a Financial Institution?**

A Financial Institution may be any of the following:

- Custodial Institution – that conducts a substantial business of holding financial assets for others;
- Depository Institution – a bank or similar business that accepts deposits in the ordinary course of a business;
- Investment Entity – that conducts (or is managed by) an entity that conducts;
  - a) money market trading,
  - b) portfolio management, or
  - c) investing, administering or managing funds or money, as a business on behalf of a customer. Examples include managed funds, professional fund managers;
- Specified Insurance Company – Issues a cash value insurance contract or annuity;

but excludes small passive investment vehicles, such as family trust and personal investment companies, that are not managed by professional trustees or fund managers.

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 2. Once completed, proceed to question 9

☐ No – (Go to Question 8c)

- c. **\*Is the company a Public Listed Company, Majority Owned Subsidiary of a Public Listed Company, Governmental Entity, International Organisation, Central Bank or an Australian Registered Charity?**

☐ Yes – (Go to Question 9)

☐ No – (Go to Question 8d)

- d. **\*Is the company a tax resident of a country other than Australia?**

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1. Once completed, proceed to question 8e.

☐ No – (Go to Question 8e)

# Application form

Company/Trust account



## Section 3

### Company details (cont.)

**e. \*Is the company a Foreign Charity or an Active Non-financial Entity?**

An Active Non-Financial Entity (NFE) includes those entities that, during the previous reporting period, have derived less than 50% of their gross income from passive income (eg. dividends, interests and royalties) and where less than 50% of their assets produced the passive income.

For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' ([www.oecd.org](http://www.oecd.org)).

☐ Yes – (Go to Question 9)

☐ No – (Go to Question 8f)

**f. \*Are any of the directors, partners, or beneficial owners foreign residents for tax purposes?**

☐ Yes

☐ No

### 9. Company address details

**a. \*Registered office address (not a PO Box)**


**b. \*Principal place of business (not a PO Box)**

☐ Same as registered office address above


**c. \*Mailing address (can be a PO Box)**

☐ Same as registered office address above

☐ Same as principal place of business address above


By default, your mailing address and principal place of business address will be set as the registered office address listed above unless otherwise stated.

## Section 4

### Applicant details – Applicant one

1

#### Applicant one

Will be listed as the Primary Contact for the account

#### 1. Are you an existing NAB customer?

You need to complete this section so that we can link your new nabtrade adviser account to any existing nabtrade account(s) and/or NAB Internet Banking (if applicable).

☐ No.

☐ Yes. Please provide the information below.

- a. nabtrade User ID (if you have an existing nabtrade account)

OR

- b. NAB Identification Number (NIN)

- if you use NAB Internet Banking, this is the number you enter to log in.
- if you're a NAB customer (and don't use NAB Internet Banking), this number can be found on the back of your credit card or debit card, above the magnetic strip.

#### 2. Personal details

- a. \*Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other ☐

- b. \*Given name(s)

- c. Middle name(s)

- d. Any other name

- e. \*Family name

- f. \*Date of birth (you must be over 18 years of age)

- g. \*Gender

☐ Male ☐ Female

- h. \*Country or countries of citizenship

  

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- i. \*Are you an Australian resident for tax purposes?

☐ Yes ☐ No. If **no**, supply country of residence

- j. \*Occupation

Employer name

# Application form

Company/Trust account



## Section 4

### Applicant details – Applicant one (cont.)

#### 3. Contact details

\*You must provide at least one contact number and an email address to set up the account. This must be the Applicant's email address.

If you don't provide us with a mobile number, you may experience delays in using the nabtrade service.

Tick **one** preferred method for us to contact you.

☐ Mobile (Australian only)

☐ Home phone

☐ Business phone

☐ \*Email address

**Note: ASX rules require that this email address cannot be an email address connected with your Adviser or their Licensee.**

#### 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. Security details

You must complete this section to assist us with verifying your identity when we talk to you about your account.

a. \*Security question

(eg. What's your grandmother's maiden name?)

b. \*Security answer

**Note:** Security answer is case sensitive and must contain a minimum of 5 characters



## Section 4

## Applicant details – Applicant two



### 2 Applicant two

#### 1. Are you an existing NAB customer?

You need to complete this section so that we can link your new nabtrade adviser account to any existing nabtrade account(s) and/or NAB Internet Banking (if applicable).

☐

**No.**

☐

**Yes.** Please provide the information below.

- a.** nabtrade User ID (if you have an existing nabtrade account)

**OR**

- b.** NAB Identification Number (NIN)

- if you use NAB Internet Banking, this is the number you enter to log in.
- if you're a NAB customer (and don't use NAB Internet Banking), this number can be found on the back of your credit card or debit card, above the magnetic strip.

#### 2. Personal details

- a.** \*Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other ☐

- b.** \*Given name(s)

- c.** Middle name(s)

- d.** Any other name

- e.** \*Family name

- f.** \*Date of birth (you must be over 18 years of age)

 /  / 

- g.** \*Gender

☐ Male ☐ Female

- h.** \*Country or countries of citizenship

  
  
  
  


- i.** \*Are you an Australian resident for tax purposes?

☐ Yes ☐ No. If **no**, supply country of residence

- j.** \*Occupation

Employer name

# Application form

Company/Trust account



## Section 4

### Applicant details – Applicant two (cont.)

#### 3. Contact details

\*You must provide at least one contact number and an email address to set up the account. This must be the Applicant's email address.

If you don't provide us with a mobile number, you may experience delays in using the nabtrade service.

Tick **one** preferred method for us to contact you.

☐ Mobile (Australian only)

☐ Home phone

☐ Business phone

☐ \*Email address

**Note: ASX rules require that this email address cannot be an email address connected with your Adviser or their Licensee.**

#### 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. Security details

You must complete this section to assist us with verifying your identity when we talk to you about your account.

a. \*Security question

(eg. What's your grandmother's maiden name?)

b. \*Security answer

**Note:** Security answer is case sensitive and must contain a minimum of 5 characters

## Section 4

## Applicant details – Applicant three

3

### Applicant three

#### 1. Are you an existing NAB customer?

You need to complete this section so that we can link your new nabtrade adviser account to any existing nabtrade account(s) and/or NAB Internet Banking (if applicable).

☐ **No.**

☐ **Yes.** Please provide the information below.

- a. nabtrade User ID (if you have an existing nabtrade account)

**OR**

- b. NAB Identification Number (NIN)

- if you use NAB Internet Banking, this is the number you enter to log in.
- if you're a NAB customer (and don't use NAB Internet Banking), this number can be found on the back of your credit card or debit card, above the magnetic strip.

#### 2. Personal details

- a. \*Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other ☐

- b. \*Given name(s)

- c. Middle name(s)

- d. Any other name

- e. \*Family name

- f. \*Date of birth (you must be over 18 years of age)

 /  / 

- g. \*Gender

☐ Male ☐ Female

- h. \*Country or countries of citizenship

  
  
  
  


- i. \*Are you an Australian resident for tax purposes?

☐ Yes ☐ No. If **no**, supply country of residence

- j. \*Occupation

Employer name

# Application form

Company/Trust account



## Section 4

### Applicant details – Applicant three (cont.)

#### 3. Contact details

\*You must provide at least one contact number and an email address to set up the account. This must be the Applicant's email address.

If you don't provide us with a mobile number, you may experience delays in using the nabtrade service.

Tick **one** preferred method for us to contact you.

☐ Mobile (Australian only)

☐ Home phone

☐ Business phone

☐ \*Email address

**Note:** ASX rules require that this email address cannot be an email address connected with your Adviser or their Licensee.

#### 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. Security details

You must complete this section to assist us with verifying your identity when we talk to you about your account.

a. \*Security question

(eg. What's your grandmother's maiden name?)

b. \*Security answer

**Note:** Security answer is case sensitive and must contain a minimum of 5 characters

# Application form

Company/Trust account



## Section 5

## Director information

Complete this section for companies and corporate trustees.

### \*Additional Director details

List the full names of all additional Directors that are not listed as Applicants 1, 2 or 3. If there are more than 3 additional Directors, photocopy this page and attach it to this application.

#### Additional Director 1

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Given name(s)

Family name

Residential address (not PO Box)


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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

#### Additional Director 2

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Given name(s)

Family name

Residential address (not PO Box)


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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

#### Additional Director 3

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Given name(s)

Family name

Residential address (not PO Box)


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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

# Application form

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## Section 6

## SMSF/Trust Account

This section must be completed if you want to operate this Trading Account on behalf of a Superannuation Fund, Trust.

### 1. \*Type of trust

- ☐ Self-Managed Super fund
- ☐ Family
- ☐ Charity
- ☐ Pension
- ☐ Professional Society
- ☐ Testamentary Trust
- ☐ Other (State below)

**Please note:**  
Refer to page 2 for  
trust document  
requirements

### 2. \*Regulatory status

- ☐ Regulated Trust eg. SMSF  
A Trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation Trust or an APRA-regulated superannuation fund.
- ☐ Unregulated Trust  
(eg. a Family Trust, Charitable Trust, or Testamentary Trust)

### 3. \*Registered in Australia

- ☐ Yes
- ☐ No. Provide country of registration below.

### 4. Trust Details

#### a. \*Full name of the Trust (if any)

#### b. \*Nature of Business/industry (Please specify all)

  
  
  
  
  

#### c. ABN of the Trust (if applicable)

#### d. Full business name (if any) associated with the trust ABN

#### e. \*Country in which the Trust was Established

#### f. \*Date of Establishment

 /  / 

#### g. Beneficiary Details

Complete the full name of the beneficiary and/or type of membership class in the Membership class section below.

Full name of Beneficiary/Entity 1

Full name of Beneficiary/Entity 2

Full name of Beneficiary/Entity 3

Full name of Beneficiary/Entity 4

Details of membership class/es (e.g. unit holders, family members of named person, charitable purpose etc.)

## Section 6

## SMSF/Trust Account (cont.)

### 5. Nature and Purpose

**\*What is the intended nature of your banking relationship with NAB? (select all that apply)**

- ☐ To transact in financial instruments
- ☐ To build up savings and wealth
- ☐ To receive wages and/or investment income
- ☐ To pay for purchases, utilities, family and friends
- ☐ To cover short term cash flow shortfalls
- ☐ To borrow money for purchases or asset investment
- ☐ To borrow money for personal real estate
- ☐ To receive business earnings and make payments
- ☐ To pay for overseas purchases, family or friends
- ☐ To pay/receive money from trade (import/export)

### 6. Source of Wealth

**a. \*Sources/activities contributing to accumulated wealth (select all that apply)**

- ☐ Benefits, compensation or settlements
- ☐ Family - inheritance, spouse, trust, etc.
- ☐ Gift/donation or windfall
- ☐ Government grant
- ☐ Income (e.g. salary, redundancy)
- ☐ Income from Business
- ☐ Investment (e.g. property, shares, currencies)
- ☐ Assets (e.g. savings, sale of an asset)
- ☐ Investor/owner funds
- ☐ Loan
- ☐ Superannuation/pension
- ☐ Tax Refund
- ☐ Third Party

**b. \*What country or countries does your source of wealth originate from?**


### 7 Tax Details

**a. Tax File Number (TFN) or tax exemption code**

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nabtrade is authorised under the Income Tax Assessment Act 1936 to ask for your TFN. It's not compulsory for you to tell us your TFN, Australian Business Number (ABN), or exemption code (if you have one). However, if you don't provide these details, we may need to deduct Pay As You Go (PAYG) withholding tax at the maximum marginal tax rate (plus the Medicare levy) from any interest you earn on your Cash Products. Further, if you do not provide us these details, we will not be able to activate your international Trading Account. This requirement for activation does not apply to your domestic Trading Account. If you provide your TFN or other details mentioned above, they will apply to all your accounts with nabtrade and you authorise disclosure of your TFN to third parties, where doing so is in accordance with taxation law.

**b. \*Is the Trust a compliant super-fund (this includes self-managed super funds, employer sponsored funds, industry funds and public funds)?**

- ☐ Yes – (Go to Question 8)
- ☐ No – (Go to Question 7c)

**c. \*Is the Trust a Financial Institution?**

- A Financial Institution may be any of the following:
- Custodial Institution – that conducts a substantial business of holding financial assets for others;
  - Depository Institution – a bank or similar business that accepts deposits in the ordinary course of a business;
  - Investment Entity – that conducts (or is managed by an entity that conducts;
    - a) money market trading,

## Section 6

## SMSF/Trust Account (cont.)

- b) portfolio management, or
- c) investing, administering or managing funds or money, as a business on behalf of a customer. Examples include managed funds, professional fund managers;
- Specified Insurance Company – Issues a cash value insurance contract or annuity;

but excludes small passive investment vehicles, such as family trust and personal investment companies, that are not managed by professional trustees or fund managers.

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 2. Once completed, proceed to question 8.

☐ No – (Go to Question 7d)

**d. \*Is the Trust an Australian Registered Charity or Deceased Estate?**

☐ Yes – (Go to Question 8)

☐ No – (Go to Question 7e)

**e. \*Is the trust a tax resident of a country other than Australia?**

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1. Once completed, proceed to question 7f.

☐ No – (Go to Question 7f)

**f. \*Is the trust a Foreign Charity or an Active Non-Financial Entity?**

An Active Non-Financial Entity (NFE) includes those entities that, during the previous reporting period, have derived less than 50% of their gross income from passive income (e.g. dividends, interests and royalties) and where less than 50% of their assets produced the passive income.

For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' ([www.oecd.org](http://www.oecd.org)):

☐ Yes – (Go to Question 8)

☐ No – (Go to Question 7g)

**g. \*Are any of the trustees, beneficiaries, associated parties (e.g. appointor/ settlor), directors, or beneficial owners of the incorporated trustee, foreign residents for tax purposes?**

Notes: if the trust deed held is out of date or incomplete you may be required to submit an additional copy. If you are unsure please attach a certified copy of your trust with this application.

☐ Yes

☐ No

## 8. Address details

**a. \*Trust address (not a PO Box)**


**b. \*Mailing address (can be a PO Box)**

☐ Same as above


**9. Does NAB hold an up to date, certified copy of your relevant trust deed documents (if applicable)?**

☐ No – Please ensure you attach a certified copy of your trust deed with this application.

☐ Yes – Please provide details of branch or banker.

--



# Application form

Company/Trust account



## Section 7

## Trustee and Beneficial Owner information

Complete this section for SMSF and trusts

### Additional Trustee details

List the full name and address for all additional Trustees that are not listed as Applicants 1, 2 or 3. If there are more than two additional Trustees, photocopy this page and attach it to this application

#### Trustee 1

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Given name

Middle name

Family name

Residential address


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

- ☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.
- ☐ No

#### Trustee 2

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Given name

Middle name

Family name

Residential address


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

- ☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.
- ☐ No

### Beneficial Owner Details

Please provide the names of any individuals who ultimately own or control (directly or indirectly) through one or more shareholdings 25% or more the Company or Corporate Trustee. If there are no such individuals, provide the details of anyone who controls (indirectly or directly) the Company or Trust.

#### Beneficial Owner 1

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Full Name

Date of birth

Residential address (not a PO Box)


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

- ☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.
- ☐ No

#### Beneficial Owner 2

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Full Name

Date of birth

# Application form

Company/Trust account



## Section 7

### Trustee and beneficiary information (cont.)

Residential address (not a PO Box)


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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

#### Beneficial Owner 3

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Full Name

--	--	--	--	--	--	--	--	--	--

Date of birth

	/		/	
--	---	--	---	--

Residential address (not a PO Box)


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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

#### Beneficial Owner 4

Title

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Full Name

--	--	--	--	--	--	--	--	--	--

Date of birth

	/		/	
--	---	--	---	--

Residential address (not a PO Box)


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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

#### Unit holder, appointor and/or settlor

If your trust has a settlor, unit holder and/or appointor" fill out the details as per trust deeds (refer to the schedule page). Attach a separate sheet if additional details need to be provided.

☐ Unit Holder ☐ Appointor ☐ Settlor

Title Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Full Name or Name of Company


Country of incorporation (for Company only)

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Residential/Registered Address (not a PO Box)


Is the settlor contribution over \$10,000?

☐ Yes (If Yes, please answer below)

Is the settlor alive?

☐ Yes (Please provide settlor name)

--	--	--	--	--	--	--	--	--	--

☐ No

☐ No

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

☐ Yes – Download the supplementary form, from [www.nabtrade.com.au/supform](http://www.nabtrade.com.au/supform) and fill out section 1.

☐ No

# Application form

Company/Trust account



## Section 8

### How would you like to receive confirmations?

Once your account has been set up, you can change your confirmation settings at any time online in your 'Personal Details' tab.

By default, this option will be set to 'via email' unless otherwise stated.

- ☐ Via email (no charge)
- ☐ By post (see the nabtrade Financial Services Guide for fees and charges)

Confirmations will be emailed or posted to the Primary Contact (Applicant one).

## Section 9

### CHESS details

To successfully transfer your holdings from Broker or Issuer Sponsored, the below registered CHESS details must match the registration details that are provided on your current holding statement(s).

You don't need to complete this section if you selected to open or have asked to link your NAB Equity Lending Margin Loan account. Section 9 does not apply to the nabtrade Global Market Trading service.

#### 1. \*Registered CHESS name and address details

By default, the CHESS address will be set to the primary contact's mailing address unless otherwise stated.

- ☐ Same as Primary Contact mailing address details (as per Section 4, Question 4)

OR

- ☐ As below

CHESS registered name (applicant names)


CHESS registered address


#### 2. State account designation for CHESS registration (up to 23 characters, including spaces) if applicable (eg. ABC Superfund A/C or ABC Family A/C)


A/C

## Section 10

## Transfer your holdings to your Trading Account

**Do you want to transfer holdings from your existing broker to your nabtrade Trading Account?**

Notes: Section 10 is not applicable to the nabtrade Global Market Trading service. You can't transfer International Securities into your nabtrade Global Market Trading Account.

**By transferring your HIN across from your existing broker, you will not need to update TFN, direct credit and distribution details, which you will be required to do if you later choose to transfer holdings in line by line. By transferring your HIN across, all that information is retained.**

By default, no transfer will be completed and a new HIN will be created on your account unless otherwise stated.

☐ **No**, I/we do not want to transfer my/our holdings. Proceed to **Section 11**.

- A new Holder Identification Number (HIN) will be created on your account and you can begin trading.
- Note that by choosing this option you will not be able to transfer an existing HIN to this account.

☐ **Yes**. Complete this section to transfer your existing Broker Sponsored holdings to your nabtrade Trading Account.

- If you selected to open or have asked to link your NAB Equity Lending margin loan contact them to arrange transfer.
- Provide the same details (name, address and designation) that are registered on your current CHESS Holding Statement(s).
- For this transfer request to be successful, the CHESS registration details (name and address) at your existing broker must exactly match the CHESS registration details provided in **Section 9**.
- If your details have changed, you'll need to advise the other broker of the changes before the transfer can be processed. Ensure that you have no open orders or unsettled trades for the investments you wish to transfer.

**Important**  
Please also  
attach copies  
of your latest  
CHESS Holding  
Statement(s)

**a.** Registered name as recorded on your latest CHESS Holding Statement(s)


**b.** Account designation (if applicable), eg. < X and Y Superfund A/C>

--

**c.** Registered address as recorded on your latest CHESS Holding Statement(s)


**d.** Name of existing sponsoring participant (broker's name)

--

**e.** Account number

--

**f.** Holder Identification Number (HIN)

--

**g.** CHESS Sponsor ID (PID)

--

## Section 10

## Transfer your holdings to your nabtrade Trading Account (cont.)

h. What would you like to transfer from your existing broker?

☐ I/We would like to transfer my/our HIN and all holdings. **Go to Section 11.**

Note that by choosing this option you will not be able to trade until we receive your HIN from your existing broker.

**OR**

☐ Transfer only the specified holdings listed below.

A new HIN will be created on your account and you can begin trading. Note that by choosing this option you will not be able to transfer an existing HIN to this account.

**Attach a separate sheet if you require additional securities to be transferred, and sign the attachment.**

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

Security name (eg. National Australia Bank)	
Security code	Quantity

► Refer to Section 12 for further assistance in completing this section.

# Application form

Company/Trust account



## Section 11

## Signatures

**By completing and signing this application, the Applicant(s) agree that:**

1. 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.
2. If I/We am applying for a nabtrade Global Market Trading Account, under penalties of perjury, for U.S. tax purposes, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:
  - I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
  - I am (or the beneficial owner is) not a U.S. person for U.S. Federal tax purposes; I am a resident of Australia within the meaning of the income tax treaty between the United States and that country; I am not a tax resident of another jurisdiction outside of Australia; and
  - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
3. I/We 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, and

- I/We may not receive paper documents. I/We understand we need to check our accounts regularly for electronic communications and that I/we can change my/our nominated electronic address or withdraw my/our consent.
4. I/We understand and agree that we will not be eligible to trade in any Available Exchange if we do not provide the necessary documentation to WealthHub Securities.
  5. I/We will be applying for a:
    - Trading Account
    - Cash Account, and
    - International Trading Account
  6. I/We 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**.

### Promotion

If you're opening this account as a result of a current promotion, provide the promotion code.



#### Applicant one

Director of Company, Company Secretary or Trustee

Given name(s) / Family name (PRINT)

Signature

	Date / /
--	----------



#### Checklist

Ensure you have completed the required sections as listed on page one of this form, and supplied the required supporting documentation.

## Section 11

## Signatures (cont.)

2

### Applicant two

Director of Company, Company Secretary or Trustee

Given name(s) / Family name (PRINT)

Signature

	Date    /    /
---	----------------

3

### Applicant three

Director of Company, Company Secretary or Trustee

Given name(s) / Family name (PRINT)

Signature

	Date    /    /
---	----------------

### Important note for SMSF and trust applicants:

If you are an existing NAB customer ensure the certified trust deed you have on file with the bank is up to date.

If you are not an existing NAB customer or if an up to date trust deed is not on file with NAB attach an original certified copy of your trust deed to this application before posting to us.

The Trust Deed or extract must include the following:

The name of the trust.

The names of the trustees.

The names of the members for a superannuation fund or the names of the beneficiaries for a family/unit trust.

The Execution page showing all signatories.

- 2 The name and registration that appear on your current registered holding **must** be in the same name and registration that appears on your nabtrade account. If this requirement is not met, your request to transfer holdings may be delayed or rejected. If your details have changed, you will need to advise your existing sponsoring participant (broker) of any changes before we can process this transfer.

## Section 12

### U.S. Withholding Tax Treaty Statement – International share trading



#### For international share trading:

Ensure the Primary Contact completes the U.S. Withholding Tax Treaty Statement

## Section 12

### Trading Account details

Full Name of the Primary Account Holder

*Meets all the provisions of the Treaty that are necessary to claim a reduced rate of withholding, including any limitation on benefits provision, and derives the income within the meaning of section 894 of the Code, and the regulations thereunder, as the beneficial owner.*

Given name(s) / Family name of Primary Account Holder  
(PRINT)

Signature

	Date   /   /
--	--------------

Account Title

nabtrade Global Market Trading Account Number

## Section 12

### Explanation of the Limitation on Benefits Article and Treaty Statement

**Note that this document/explanation is not intended for natural persons (individuals) resident in Australia, the Federal, Provincial or Municipal Government or any agency of any such government.**

**This explanation is meant to assist certain clients in obtaining only a general understanding of their requirements under the new withholding tax rules. It is not intended to be, nor should it be construed to be, legal or tax advice to any client, prospective or otherwise. Clients are encouraged to consult a registered tax agent for further clarification, if required.**

The changes impact certain clients that currently claim reduced rates of withholding tax on investment income earned on U.S. securities under the Australian-U.S. Income Tax Convention 2002, (herein after referred to as the "Treaty"). In order to continue enjoying the reduced Treaty rates of withholding tax on U.S. investment income received after January 1, 2001, certain clients must certify that they are eligible for Treaty Benefits. Failure to certify the Treaty Statement above would result in the application of non-treaty rate withholding (generally 30%) on the client's U.S. source investment income. This is in comparison to Treaty reduced rates of generally 15% on U.S. source dividends and 10% on U.S. source interest.

As part of the certification process, affected clients are asked to certify the TREATY STATEMENT above. *[Name of account holder] meets all the provisions of the Treaty that are necessary to claim a reduced rate of withholding, including any limitation on benefits provision, and derives the income within the meaning of section 894 of the Code, and the regulations thereunder, as the beneficial owner.*

The reference to section 894 of the Code and the regulations there under, refers to the Internal Revenue Service Income Tax Code and the related Income Tax Regulations.

The Limitation on Benefits ("LOB") Article, found in Article 16 of the Treaty defines who can sign the above statement. Certification of the above statement indicates that the recipient of U.S. source income meets the definition of a "qualifying person" as set forth in Article 16 of the Treaty. Treaty benefits may still be available to clients that are not "qualifying persons", if that person satisfies other tests stipulated in the Treaty.



## Section 12

### Explanation of the Limitation on Benefits Article and Treaty Statement (cont.)

#### Qualifying Persons

Listed below are various entities that could meet the definition of a “qualifying person” under Article 16 of the Treaty. These entities could continue to enjoy reduced withholding rates once they certify the LOB Treaty statement. **Note that there are various tests which must be met by each entity in order to be classified as a “qualified person. This is not intended to be an exhaustive list.**

1. Publicly Traded Companies or Trusts
2. Subsidiaries of Publicly Traded Companies or Trusts
3. Private Companies and Unlisted Trusts
4. Not-for-Profit Organizations
5. Complying Superannuation Entities etc.

#### Non-Qualifying Persons

A person that is a resident of Australia but does not fit into one of the categories for “qualifying persons”, listed above, may still be entitled to treaty benefits if it is engaged in the active conduct of a trade or business in Australia (as defined in Article 16(3) of the Treaty).

## Section 13

### Further instructions to transfer your holdings to your nabtrade Trading Account

#### 1. Checklist for completing this form

For your transfer to be processed without delay ensure:

- ☐ Name and address details listed on your current nabtrade account are the same as the details held with your other broker.<sup>2</sup>
- ☐ All security holders requesting the share transfer sign this document.
- ☐ For Company Accounts with two or more directors, either both directors sign, or one director and the company secretary sign.
- ☐ Lines are drawn through any mistakes on the form and initialled by all signatories on the account.
- ☐ You have no outstanding orders or pending trade settlements for the shares you wish to transfer.

#### Instruction for a successful transfer

Your CHES Statement has	nabtrade account has	Scenario	What you need to do
Mr J Smith Pty Ltd 1 Perth Street Sydney NSW 2000	Mr J Smith Pty Ltd <Smith Super Fund A/C> 1 Perth Street Sydney NSW 2000	Account with other Broker is in the name of the company, nabtrade account has the company as trustee for the Super Fund.	Open an account at nabtrade in the name of J Smith Pty Ltd or complete an Off Market Transfer form from the download centre at nabtrade.com.au
J Smith Pty Ltd 1 Adelaide Street Sydney NSW 2000	Mr John Smith 1 Adelaide Street Sydney NSW 2000	Account with other Broker is in the name of the company, nabtrade account is not.	Open an account at nabtrade in the name of J Smith Pty Ltd or complete an Off Market Transfer form from the download centre at nabtrade.com.au

- 2 The name and registration that appear on your current registered holding **must** be in the same name and registration that appears on your nabtrade account. If this requirement is not met, your request to transfer holdings may be delayed or rejected. If your details have changed, you will need to advise your existing sponsoring participant (broker) of any changes before we can process this transfer.

## Section 13

## Further instructions to transfer your holdings to your nabtrade Trading Account (cont.)

### Sample of a CHESS Holding Statement



The image shows a sample of a CHESS Holding Statement. On the left, there is a 'nab' logo and a barcode. To the right of the barcode, the text reads: '045871 01227', 'SAM SAMPLE', '1 PERTH STREET', 'SYDNEY NSW 2000'. On the right side of the statement, there is a table with the following information:

CHESS HOLDING STATEMENT	
For statement enquiries contact your CHESS Sponsor:	
WEALTHHUB SECURITIES LIMITED	
UB 3756	
800 BOURKE STREET	
DOCKLANDS, VIC 3008	
☎ 1300 756 528	
Holder ID Number (HIN):	X0123456789
CHESS Sponsor's ID (PID):	01227
Statement Period:	June 2012
Page:	1 of 1

#### Broker Sponsored Holdings

If your shares are Broker Sponsored, you will have a Holder Identification Number (HIN) allocated to your holding rather than a Shareholder Reference Number (SRN), which starts with an 'X'. You can be sponsored on CHESS by more than one broker or institution and you can even maintain holdings in the same security under different sponsorships.

#### PID

Is an acronym for Participant Identification Number. This is the Broker's identification number. Our PID is 1227.

#### Holder Identification Number (HIN)

HIN stands for Holder Identification Number. It's the number by which CHESS identifies and registers holdings. It also identifies the broker with which you hold financial products.

### Related definitions

**CHESS** stands for Clearing House Electronic Sub-register System. The CHESS Settlement Facility is a computerised share registry and settlement system operated by the ASX Settlement Pty Ltd (ASX Settlement), a subsidiary of the ASX. CHESS records an account's share ownership via the ASX's computer-based share and settlement transaction system. An account's security holdings are recorded against their HIN and a statement is sent out to their registered address.

**Issuer Sponsored Holdings** are maintained by the Share Registry on behalf of the Issuer of your shares.

**Shareholder Reference Number** is a unique number that identifies you as an Issuer Sponsored holder with a listed company. A SRN usually starts with the letter 'I' eg. I0012345678. If you hold shares in more than one company and choose to be Issuer Sponsored, you will have a different SRN for each shareholding.