

# Authorised Person Form

## International Trading Account

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

GPO Box 4545  
 Melbourne VIC  
 3001

Telephone 13 13 80  
 nabtrade.com.au

Please complete this form if you'd like to give access to someone else to trade and/or transact on, and/or view your International Trading Account on your behalf. 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. **This form overrides Part G, clause 28.1 of the nabtrade Client Agreement which states that Authorised Persons can't access your International Trading Account.**

Please use black or blue pen and write in CAPITALS. If you need help completing this form, please call **13 13 80** between 8am and 6pm (AEDT/AEST), Monday to Friday.

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 International Trading Account below. Please note that this form only applies to the International Trading Account listed below. A separate form will need to be completed if you wish to give access in relation to any other trading account (e.g. your domestic trading account).

International Trading Account number

NT

Name(s) in which your International 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 International 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 International Trading Account, according to the terms and conditions of the nabtrade Client Agreement.

### Section 2

### Authorised Person details

1. \*Are you an existing NAB client?

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

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

### Section 2

### Authorised Person details (cont.)

2. Personal details

It is an AML 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. Any other name

e. \*Family name(s)

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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# Authorised Person Form

## International Trading Account



### Section 2

### Authorised Person details (cont.)

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

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

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

Yes  No If **yes**, download the supplementary form from [nabtrade.com.au/supform](http://nabtrade.com.au/supform) and fill out section 1.

k. \*Occupation

Employer name

#### 3. Contact Details

Please tick the one you'd prefer us to contact you on. Mobile is mandatory so you can take advantage of SMS security notifications.

\*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 (please supply previous residential address below)

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

### Section 2

### Authorised Person details (cont.)

#### 5. Security details

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

b. \*Security answer

c. \* Delivery method (password and PIN related information will be sent as per your election below)

By default, this option will be set to Via SMS if a mobile number is provided unless otherwise stated

Send an SMS (please ensure you have provided your mobile number)

Send to mailing address

#### 6. Relationship to account holder

#### 7. 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.

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

### Section 3

### Signatures

1. I have accessed the following documents at [nabtrade.com.au](http://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 am applying for a International 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:

# Authorised Person Form

## International Trading Account



### Section 3

### Signatures (cont.)

- 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.

2. 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.

Printed copies of the nabtrade Financial Services Guide and the nabtrade Client Agreement are available by contacting nabtrade on 13 13 80 between 8 am and 8 pm (AEST), Monday to Friday.

#### Authorised Person

Given name(s) / Family name (PLEASE PRINT)

Signature

Date

Please provide signatures of all account holder/s that operate the International Trading Account.

#### Account Holder:

Given name(s) / Family name (PLEASE PRINT)

Signature

#### Account Holder:

Given name(s) / Family name (PLEASE PRINT)

Signature

### Section 3

### Signatures (cont.)

#### Account Holder:

Given name(s) / Family name (PLEASE PRINT)

Signature

### 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.

**Please ensure you provide your current Australian Passport or Australian drivers' licence as at least one of your primary documents.**

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.

Please 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
- 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>
- 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>

#### 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

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

#### 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 Defense Force photo identification card
- Australian firearms license 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

#### Who's an approved certifier?

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

- A judge
  - A chief executive officer of a Commonwealth court
  - A notary public
  - An agent of the Australian Postal Corporation who is in charge of supplying postal services to the public
  - 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 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 2 or more years of continuous service
  - A Justice of the Peace
  - 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
- 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 license, having 2 or more years of continuous service with one or more licensees
  - A person in a foreign country who is authorized by law in that jurisdiction to administer oaths or affirmations or to authenticate documents.

## Section 4

### Identification (applicable only for the Authorised Person) (cont.)

#### 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

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

**Post**

GPO Box 4545, Melbourne VIC 3001