

Application form

Joint 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.



Joint

- Select this option if you would like to **trade in joint names** eg. John Smith and Mary Smith

Applicants must be over 18 years old and have a valid email address. To open a minor account, use the 'company, organisation, minor or trust account application form' available at nabtrade.com.au

- All Applicants must complete:
Sections 2, 3, 4 and 7
- Review and complete (if applicable):
Sections 5 and 6
- For all existing NAB customers: ensure you provide your nabtrade username or NAB Identification Number (NIN) in **Section 3**, or
- For any new customers: ensure you provide certified copies of your identification documents as per **Section 1**
- 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 one or 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.

Ensure 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.

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 passport¹ containing the applicant's photograph
- Identity card issued by a foreign government¹
- 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 birth¹

International share trading



To access international markets, ensure you provide your Tax File Number (TFN) or exemption code, and your current Australian Passport or Australian drivers' licence as at least one of your primary documents.



Primary non-photographic documents

- Australian birth certificate or birth certificate issued by a foreign government¹
- Australian citizenship certificate or citizenship certificate issued by a foreign government¹
- Pension/Health Care/Seniors health care cards – Australian Government issue



Secondary documents

- Medicare card issued by the Australian Government
- 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)
- 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

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

Section 1

Identification

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 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
- 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 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.

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.

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

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

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?**

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Section 3

Personal details – Applicant one

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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 account to any existing nabtrade account(s) and/or NAB Internet Banking (if applicable).

No. Ensure you provide certified copies of your identification as per Section 1.

Yes. Provide either of the following:

a. nabtrade username (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

It is a legal requirement for you to set this account up in 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

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. Tax File Number or tax exemption code

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.

Section 3

Personal details – Applicant one (cont.)

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

Yes – Download the supplementary form, from www.nabtrade.com.au/supform and fill out section 1.

No

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.

l. *Occupation

Employer name

3. Nature and Purpose

a. *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)

4. *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?

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Section 3

Personal details – Applicant one (cont.)

5. *Contact details

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

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

6. 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 5a). Can be a PO Box.

7. 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

(e.g. What's your grandmother's maiden name?)

b. *Security answer

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

8. Client communication

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

Personal 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 account to any existing nabtrade account(s) and/or NAB Internet Banking (if applicable).

No. Ensure you provide certified copies of your identification as per Section 1.

Yes. Provide either of the following:

- a. nabtrade username (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

It is a legal requirement for you to set this account up in 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

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

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.

Section 3

Personal details – Applicant two (cont.)

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

Yes – Download the supplementary form, from www.nabtrade.com.au/supform and fill out section 1.

No

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.

l. *Occupation

Employer name

3. Nature and Purpose

a. *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)

4. *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?

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Section 3

Personal details – Applicant two (cont.)

5. *Contact details

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

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

6. 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 5a). Can be a PO Box.

7. 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

(e.g. What's your grandmother's maiden name?)

b. *Security answer

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

8. Client communication

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

Personal 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 account to any existing nabtrade account(s) and/or NAB Internet Banking (if applicable).

No. Ensure you provide certified copies of your identification as per Section 1.

Yes. Provide either of the following:

a. nabtrade username (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

It is a legal requirement for you to set this account up in 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

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. Tax File Number (TFN) or tax exemption code

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.

Section 3

Personal details – Applicant three (cont.)

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

Yes – Download the supplementary form, from www.nabtrade.com.au/supform and fill out section 1.

No

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.

l. *Occupation

Employer name

3. Nature and Purpose

a. *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)

4. *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?

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Section 3

Personal details – Applicant three (cont.)

5. *Contact details

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

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

6. 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 5a). Can be a PO Box.

7. 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

(e.g. What's your grandmother's maiden name?)

b. *Security answer

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

8. Client communication

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 4

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' section.

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 5

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 5 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 in **Section 3**, question 5.

OR

- As below

CHESS registered name (applicant names)

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CHESS registered address

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Section 6

Transfer your holdings to your nabtrade Trading Account

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

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

Note: Section 6 is not applicable for 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.

No, I/we do not want to transfer my/our holdings. Proceed to **Section 7**.

- 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 CHES Holding Statement(s).
- For this transfer request to be successful, the CHES registration details (name and address) at your existing broker must exactly match the CHES registration details provided in **Section 5**.
- If your details have changed, you'll need to advise the other broker of the changes before the transfer can be processed. Make sure that you have no open orders or unsettled trades for the investments you wish to transfer.

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

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

b. Account designation (if applicable)

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

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

e. Account number

f. Holder Identification Number (HIN)

g. CHES Sponsor ID (PID)

Section 6

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. **Proceed to Section 7.**

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.

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

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

▶ Refer to Section 8 for further assistance in completing this section.

Section 7

Signatures

By completing and signing this application, the Applicant(s) agree 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.
- 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 authorised 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.
- 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.
- 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.

- I/We will be applying for a:
 - Trading Account
 - Cash Account, and
 - International Trading Account
- 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**.

Promotion

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

Applicant one

Given name(s) / Family name (PRINT)

Signature

 Date / /

Applicant two

Given name(s) / Family name (PRINT)

Signature

 Date / /

Applicant three

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 8

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.²
- All security holders requesting the share transfer sign this document.
- For Joint Accounts, both holders of the account 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

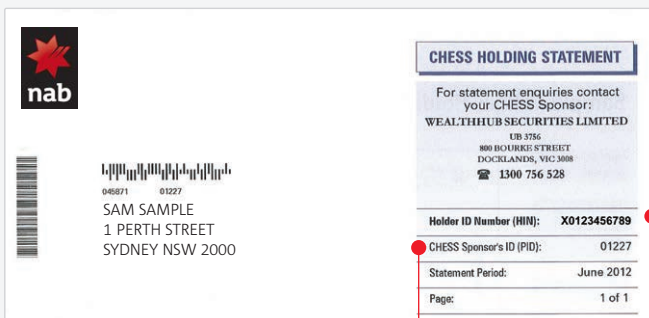
| Your CHESS Statement has | nabtrade account has | Scenario | What you need to do |
|---|---|---|--|
| Mr John Smith and Mrs Mary Smith 1 Perth Street Sydney NSW 2000 | Mr John Smith 1 Perth Street Sydney NSW 2000 | Account with other Broker is in a joint holding, nabtrade account is not. | Open an account at nabtrade in the name of Mr John Smith and Mrs Mary Smith or complete an Off Market Transfer form from the download centre at nabtrade.com.au |
| Mr John Smith and Mrs Mary Smith <Smith Super Fund A/C> 1 Perth Street Sydney NSW 2000 | Mr John Smith 1 Perth Street Sydney NSW 2000 | Account with other Broker is in the name of a superfund, nabtrade account is not. | Open an account at nabtrade in the name of Mr John Smith and Mrs Mary Smith <Smith Super Fund A/C> or complete an Off Market Transfer form from the download centre at nabtrade.com.au |
| Mr John Smith 1 Perth Street Sydney NSW 2000 | Mr John Andrew Smith 1 Perth Street Sydney NSW 2000 | Account with other Broker doesn't have your middle name, nabtrade account does | Contact your other Broker to amend your name. Your holding must have the same name as your nabtrade account. |

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 8

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

Sample of a CHESS Holding Statement



PID

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

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.

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.