

# New account application pack

*Individual or Joint Applicant*





**ACCOUNT OPENING FORM**

<b>Applicant 2—(Full Name) #</b>			
<b>Alternate / Previous Name</b>			
<b>Applicant details</b> (Please complete at least 1 contact detail) #		<b>Residential Address #</b> (cannot be a PO Box address)	
Date of Birth #		Address Line 1	
Gender #		Address Line 2	
Tax File Number		Address Line 3	
		Suburb	State
		Post Code	Country
<b>Contact Details</b> (Please complete at least 1 contact detail) #		<b>Supplementary Details</b> (Please provide at least 1 contact detail)	
Home Phone #		Source of Wealth # (One option only)	<input type="checkbox"/> Employment <input type="checkbox"/> Inheritance <input type="checkbox"/> Investments (Overseas) <input type="checkbox"/> Investments (Domestic) <input type="checkbox"/> Savings <input type="checkbox"/> Gift / Windfall
Work Phone		Nationality #	
Mobile Phone #		Occupation #	
Fax Number		Govt. ID Type #	ID number #
Email address		Australian tax resident?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Second Email address			
Is the Applicant an employee, consultant, director, partner, affiliate or responsible executive of another Participant of ASX Group? #			
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	

**ACCOUNT OPENING FORM**

<b>Applicant 3—(Full Name) #</b>			
<b>Alternate / Previous Name</b>			
<b>Applicant details</b> (Please complete at least 1 contact detail) #		<b>Residential Address #</b> (cannot be a PO Box address)	
Date of Birth #		Address Line 1	
Gender #		Address Line 2	
Tax File Number		Address Line 3	
		Suburb	State
		Post Code	Country
<b>Contact Details</b> (Please complete at least 1 contact detail) #		<b>Supplementary Details</b> (Please provide at least 1 contact detail)	
Home Phone #		Source of Wealth # (One option only)	<input type="checkbox"/> Employment <input type="checkbox"/> Inheritance <input type="checkbox"/> Investments (Overseas) <input type="checkbox"/> Investments (Domestic) <input type="checkbox"/> Savings <input type="checkbox"/> Gift / Windfall
Work Phone		Nationality #	
Mobile Phone #		Occupation #	
Fax Number		Govt. ID Type #	ID number #
Email address		Australian tax resident?    Yes <input type="checkbox"/> No <input type="checkbox"/>	
Second Email address			
Is the Applicant an employee, consultant, director, partner, affiliate or responsible executive of another Participant of ASX Group? #			
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	
No <input type="checkbox"/>	Yes <input type="checkbox"/>	Description	







**ACCOUNT OPENING FORM**

9. Execution (this section is mandatory)

**Executed by the Applicant(s)**

**Applicant 1**

Signature	Name
Signature of Witness	Name of Witness
	Date

**Applicant 2**

Signature	Name
Signature of Witness	Name of Witness
	Date

**Applicant 3**

Signature	Name
Signature of Witness	Name of Witness
	Date

**Please return all pages of this Application Form to**

**Office use only**

UBSSA agrees to be bound by the following documentation:

- |  |  |
|--|--|
| (a) General Terms                          | (d) Warrant Client Agreement (if applicable) |
| (b) Direct Debit Request Service Agreement | (e) UBSSA Best Execution Arrangements        |
| (c) Sponsorship Terms                      |  |

**EXECUTED** by an authorised signatory of  
as an authorised signatory for UBS SECURITIES AUSTRALIA LIMITED in the presence of: \_\_\_\_\_

Signature of Officer	Signature of Witness	CHESS Sponsorship
Name of Officer (print)	Name of Witness (print)	Holder Identification Number (HIN)
<b>Authorised Signatory</b>		
Office Held	Date	

UBS Securities Australia Limited is not an Authorised Deposit-Taking Institutions under the Banking Act 1959 (Cth). The obligations of UBS Securities Australia Limited do not represent deposits or other liabilities of UBS AG, and UBS AG does not stand behind, support or guarantee UBS Securities Australia Limited in any way.



**ACKNOWLEDGEMENT FORM**

## Acknowledgement to UBS Securities Australia Limited

Account type			
Individual Applicant	Sole Trader	Joint Applicant	
Trust (individual Trustees) Company (Foreign)	Trust (Corporate Trustees) Partnership	Company (Domestic)	
Co-operative <input type="checkbox"/>	Government Body <input type="checkbox"/>	Association <input type="checkbox"/>	
		Deceased Estate <input type="checkbox"/>	
Account Name			
Account Designation			
< _____ >			
Name of Applicant 1			
Name of Applicant 2			
Name of Applicant 3			
Acknowledgements			
Relevant only where the residential address of one or more Applicants is in the following jurisdictions – <b>UK, Hong Kong, South Africa, Switzerland, or Germany:</b>			
I / we confirm that the intermediary did not actively market the services mentioned in this application form to me / us in the jurisdiction of my residential address (e.g. I / we contacted the Intermediary regarding the provision of these services)			
CONFIRMED <input type="checkbox"/>	UNABLE TO CONFIRM <input type="checkbox"/>		
Relevant only where the residential address of one or more Applicants is in <b>Singapore:</b>			
I / we confirm that:			
<ul style="list-style-type: none"> <li>• I / we had an existing business relationship with the Intermediary which was established when I / we was / were not a resident of Singapore; and</li> <li>• I / we confirm that the intermediary did not actively market the services mentioned in this application form to me / us in Singapore (e.g. I / we contacted the Intermediary regarding the provision of these services).</li> </ul>			
CONFIRMED <input type="checkbox"/>	UNABLE TO CONFIRM <input type="checkbox"/>		
By signing this form you acknowledge that you have received, read, understood and agree to be bound by the following documents:			
1	UBS Securities Australia Limited Financial Services Guide	5	General Terms
2	ASX Explanatory Booklet on warrants (if applicable)	6	Direct Debit Request Service Agreement
3	UBSSA Best Execution Arrangements	7	Warrant Client Agreement (if applicable)
4	Explanation of CHESS Sponsorship Agreement	8	Sponsorship Terms
<p>By signing this form you acknowledge that, under the General Terms, you have appointed Jarden Securities Limited as your agent to open an account in its name for the purposes of placing Orders with UBS Securities Australia Ltd to purchase, sell, subscribe for or otherwise deal in Financial Products and have authorised Jarden to communicate your Orders and other instructions and information to UBS Securities Australia Ltd for execution clearance and settlement by UBS Securities Australia Limited (including in respect of financial products in held in your Holding under the Sponsorship Terms).</p>			



**ACKNOWLEDGEMENT FORM**

Executed by the Applicant		
<b>Applicant 1</b>		
Name	Signature	Date
<b>Applicant 2</b>		
Name	Signature	Date
<b>Applicant 3</b>		
Name	Signature	Date

Please return this Acknowledgment Form to

Jarden use only	
By signing this form Jarden Securities Limited represents and warrants to UBS Securities Australia that Jarden has complied with its obligations under the Execution, Clearing and Settlement Agreement in respect of this Applicant:	
Executed for	by an authorized officer in the presence of:
Signature of Officer	Signature of Witness
Name of Officer (print)	Name of Witness (print)
<b>Authorised Officer</b>	
Office Held	Date

UBS Securities Australia Limited is not an Authorised Deposit-Taking Institutions under the Banking Act 1959 (Cth). The obligations of UBS Securities Australia Limited do not represent deposits or other liabilities of UBS AG, and UBS AG does not stand behind, support or guarantee UBS Securities Australia Limited in any way.



**DIRECT DEBIT REQUEST FORM**

Direct Debit Request Form			
Account Type			
Individual	<input type="checkbox"/>	a trust or superannuation fund with individual trustee(s)	<input type="checkbox"/>
Joint	<input type="checkbox"/>	a trust or superannuation fund with corporate trustee	<input type="checkbox"/>
Company	<input type="checkbox"/>		
Account Name			
Account Designation			
< _____ >			
TFN		ACN/ABN/ARBN (of company if applicable)	
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>	
Name(s) of trustee/owner (if applicable)			
<input style="width: 100%;" type="text"/>			
TFN of trustee/owner (if applicable)		ACN/ABN/ARBN of trustee (of company if applicable)	
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>	
<b>Direct debit request</b>			
Do you request UBSSA to directly debit from your bank (or other financial institution) account listed below any amount required to settle any transactions executed for you? The account must be with an Australian Authorised Deposit-taking Institution or an Australian branch of a Foreign Authorised Deposit-taking Institution.			
			Yes <input type="checkbox"/> No <input type="checkbox"/>
Account name			
<input style="width: 100%;" type="text"/>		BSB	Account number (last 9 digits only)
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<b>Acknowledgements</b>			
By signing this form you acknowledge that you have received, read, understood and agree to be bound by the following document:			
1. Direct Debit Request Service Agreement			
<b>Executed by the Applicant</b>			
Applicant 1			
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Name		Signature	Date
Applicant 2			
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Name		Signature	Date
Applicant 3			
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Name		Signature	Date

Please return this Direct Debit Request Form to



**DIRECT DEBIT REQUEST FORM**

**Office use only**

UBSSA agrees to be bound by the following documentation:

- (a) UBSSA Direct Debit Request Service Agreement

**EXECUTED by UBS SECURITIES AUSTRALIA LIMITED**

Signed for UBS Securities Australia Limited by an authorised officer in the presence of:

Signature of Officer

Signature of Witness

Name of Officer (print)

Name of Witness (print)

**Authorised Officer**

Office Held

Dated this  day of  20



**CHESS SPONSORSHIP TRANSFER**

## CHESS Sponsorship Transfer

If you wish to transfer your existing Broker sponsored or Issuer (Company) sponsored holdings to or from your UBS Securities Australia Limited account, please complete this form and return it to your adviser.

If you are transferring securities from more than one broker, please use a separate form for each broker

<b>Section A</b>	For Broker Sponsored Holdings:	
<b>1.</b>	Name of New Sponsoring Broker:	PID
<b>2.</b>	Name of Existing Sponsoring Broker:	
<b>3.</b>	Name of Intermediary:	
<b>4.</b>	Holder Identification Number (HIN):	PID
<b>5.</b>	Account Name:	
	Account Designation:	<b>A/C &gt;</b>
	Registration Address:	
	UBS Account Number:	
<b>6.</b>	Holdings to be Transferred <b>(Please ✓ one)</b>	
<input type="checkbox"/>	All Holdings => Please complete Section C	<input type="checkbox"/> Selected Holdings => Please complete Section B, C and D if additional space required
<p>If "All Holdings" is ticked, your HIN will be transferred from your existing broker together with all your sponsored holdings. If you tick selected holdings, then UBS Securities Australia Limited will issue you a new HIN and the holdings listed below will be transferred onto your new HIN.</p>		

## CHESS SPONSORSHIP TRANSFER

### Section B

For Issuer Sponsored or Partial Broker Transfers:

1 Securities to be Transferred. Please attach a copy of your latest Issuer or Broker sponsored statement(s).

ASX Code	Security Name and Description	SRN Number	No of Securities	Cost Price

### Section C

Client Authorisation:

1. I/We authorise and direct my sponsoring broker to transfer my/our shareholdings in accordance with the Exchange Rules to UBS Securities Australia Limited—CHESS PID 01505

Client Signature

Client Signature

Name (Please print)

Date

Name (Please print)

Date

**IMPORTANT—Please remember to attach a copy of your latest Issuer or Broker sponsored statement(s)**





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UBS Securities Australia Limited is a subsidiary of UBS AG  
A participant of ASX Group