



UBS Account Application Guide

- Section 1 – Please complete all mandatory sections as indicated with the # symbol.
Ensure you check the box for the **source of wealth** for each applicant, and provide the **occupation** as well as completing the remaining mandatory information on the page. (You do not need to provide tax information or Government ID type)
Accepted Occupation Examples:
 - Retiree: please state your last waged occupation;
 - Unwaged (e.g. mother, caregiver): please ensure your response to the
 - Source of Wealth question explains how you fund any investment; or
 - Self-employed: please provide further information detailing the activity which generates your income.
- Account & Registration Details Section – Please complete the account name, & address, registration details & registration address (do not complete the banking section)
- Execution Section - Sign & Date the **execution** in accordance with your account signing authority (You do not need a witness)
- Acknowledgement To UBS Securities Australia Limited: Please enter **account type** Individual/joint/Company/Trust, and the applicants names.
Please ensure all parties to the account sign and date the following page of the acknowledgement to confirm the acknowledgement being executed by the applicant/s.
- If you have existing ASX holdings - Enter your CHESS or SRN information only if applicable in the CHESS sponsorship section and sign the Client Authorisation. Please ensure you include copies of your issuer broker statement/s if your shares are held on SRN.

You can scan and return the completed pages to this email inbox – info@directbroking.co.nz