UBS Account Application Guide

Please use this guide to assist you in completing the enclosed UBS new account application pack, which includes an Account Opening Form and an Acknowledgment Form ('UBS Pack').

What do you need to do?

1. Review and complete the mandatory sections:

Please complete all questions in the Account Opening Form marked as mandatory ('**#**') within the following sections:

A) Section 1 *(refer to the Additional Information on Section 1 on the next page);*

B) Section 2: Account and Registration Details

You do not need to complete or make corrections to the following sections:

- Section 3: Banking Information
- Section 4: Confirmations
- Section 5 Additional Products Traded
- Section 6: Customer Verification Requirements

2. Sign the Forms:

Once you are satisfied that the mandatory contents of the UBS Pack are correct, please review the Acknowledgements in Section 5 and complete and sign each of:

A) Section 7: Execution

B) The Acknowledgement Form (the Account Designation field can be left blank)

3. Return the forms to Direct Broking:

Please scan and e-mail the forms to clientaccounts@directbroking.co.nz

You can mail the original to:

Direct Broking
PO Box 1118
Wellington 6140
New Zealand.

If you have any questions about completing the UBS Pack, please contact Direct Broking on 0800 805 777 or +64 4 499 6655.

Section 1 Additional Information:

Please review the following information to assist you in completing Section 1.

1. Each Applicant (i.e. Individual, Director or Beneficial Owner) within Section 1 has a *Supplementary Details* section.

   A. ***Source of Wealth****:* If you select '*Gift / Windfall*' as your Source of Wealth, please state who provided you the gift or windfall.

   B. ***Occupation:*** - If your occupation is:

      - *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.

   C. You may leave the ***Govt. ID Type*** and ***ID number*** fields blank.

Supplementary Details (Please provide at least 1 contact detail)

Source of Wealth # **(One option only)**	☐ Employment ☐ Investments (Overseas) ☐ Savings		☐ Inheritance ☐ Investments (Domestic) A ☐ Gift / Windfall
Nationality #			
B Occupation #			
C Govt. ID Type #		ID number #	
Australian tax resident?	Yes ☐ No ☐		

2. If you need to add a new Applicant within Section 1 (a new Individual, Director or Beneficial Owner of the account) you will need to provide certified or verified proof of the person's legal name, date of birth and residential address.
   Please contact Direct Broking on 0800 805 777 if you have any questions.