

Application form

Individual or 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.

Apply online today at nabtrade.com.au in less than 10 minutes, and log in to experience nabtrade. Or continue completing this application form.

Before you start

- You should read the nabtrade Client Agreement, nabtrade Financial Services Guide and the nabtrade Best Execution and nabtrade Research policies before completing this form.
- Please use a black or blue pen and write in CAPITALS.
- All fields marked with * are **mandatory**.
- Please ensure you complete and return **all** pages in this application.

*Please select which type of account you would like to open:



Individual

- Select this option if you would like to **trade in your own name** eg John 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

- Applicant must complete:
Sections 2, 3, 4 and 7
- Review and complete (if applicable):
Sections 5 and 6
- For existing NAB customers: ensure you provide your nabtrade username or NAB Identification Number (NIN) in **Section 3**, or
- For 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



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, please contact us on **13 13 80** between 8 am and 8 pm (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). NAB doesn't guarantee it's subsidiaries' obligations or performance, or the products or services its subsidiaries offer. © National Australia Bank Limited.

Section 1


Identification

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 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.

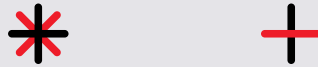
Which documents can you use?

You can use either:



Two primary
identification documents

or



One primary + One secondary
identification document



Primary documents

- Australian driver's licence containing a photograph of the person
- Passport or other international travel document¹, including non Australian passports:
 - must have photo, can be expired within the preceding two years but not cancelled (Australian passports only)
 - international travel documents must contain the applicant's photograph and signature
- Card issued under a State or Territory for the purpose of proving a person's age and containing a photograph of the person
- Australian birth certificate or birth certificate issued by a foreign government¹
- Australian citizenship certificate or citizenship certificate issued by a foreign government¹



Secondary documents

- Medicare card issued by the Australian Government
- Australian Taxation Office notice (issued within the preceding 12 months that contains the individual's name and residential address)
- Identity card from a tertiary institution
- Identity card or permit issued by the Australian Government
- Identity card issued by a foreign government¹
- Other licence issued by a foreign government¹
- Paper licence issued by the Australian Government
- Rates notice / Utility bill (issued within the preceding three months, and must contain the individual's name and residential address)
- Abstudy or Austudy receipt
- 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
- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits and contains the individual's name and residential address
- Letter of reference or equivalent originating from Aboriginal / Torres Strait Islanders community leaders

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

Application form

Individual or joint account



Section 1

Identification (cont.)

Who's an approved certifier?

An approved certifier must be an Australian citizen or permanent resident and can be any of the following:

- A judge of a court
- A magistrate
- A chief executive officer of a Commonwealth court
- A registrar or deputy registrar of a court
- A notary public (for the purposes of the Statutory Declaration Regulations 1993)
- 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 Australia Post (with two or more years of continuous service)
- A finance company officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declarations Regulations 1993)
- An officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
- A Justice of the Peace
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees
- An accountant with at least two years of continuous service (who's also a member of the Australian Institute of Chartered Accountants, CPA Australia, or the National Institute of Accountants)
- A licensed legal practitioner
- A NAB Branch Manager

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

Please provide your Facility account number.

New NAB Equity Lending margin loan

Please download and complete the NAB Equity Lending application at nab.com.au/equitylending

Application form

Individual or joint account



Section 3

Personal details – Applicant one

1

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. Please ensure you provide certified copies of your identification as per Section 1.

Yes. Please 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

- a. *Title

Mr Mrs Miss Ms Other

- b. *Given name(s)

- c. Middle name(s)

- d. *Family name

- e. *Date of birth (you must be over 18 years of age)

- f. *Gender

Male Female

- g. *Are you an Australian resident for tax purposes?

Yes

No. If **no**, please supply country of residence

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

nabtrade is authorised under the Income Tax Assessment Act 1936 to ask for your TFN. You're not required to provide your TFN and it's not an offence if you decide not to. However, if you don't provide it, any withholding tax required by law to be deducted, will be deducted at the highest marginal rate. If you provide your TFN, you authorise disclosure of it to third parties, where doing so is in accordance with taxation law.

- i. *Are you a U.S. Citizen or Resident of the U.S. for tax purposes?

Yes

If yes, please provide your Taxpayer Identification Number (TIN)

No

3. Employment details

- a. Occupation

- b. Employer name

Application form

Individual or joint account



Section 3

Personal details – Applicant one (cont.)

4. *Contact details

Please provide your mobile number if you would like to take advantage of SMS security notifications and cash transfer features.

Please tick **one** preferred method for us to contact you.

Mobile (Australian only)

Home phone

Business phone

Fax

*Email address

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

6. 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

(eg What's your grandmother's maiden name?)

b. *Security answer

c. How would you like us to deliver your secure PIN and password information?

You won't be able to start trading until you have received this information – **select SMS for instant access.**

Via SMS (no charge)

Post to mailing address

7. 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.

Application form

Individual or joint account



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. Please ensure you provide certified copies of your identification as per Section 1.

Yes. Please 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

- a. *Title

Mr Mrs Miss Ms Other

- b. *Given name(s)

- c. Middle name(s)

- d. *Family name

- e. *Date of birth (you must be over 18 years of age)

- f. *Gender

Male Female

- g. *Are you an Australian resident for tax purposes?

Yes

No. If **no**, please supply country of residence

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

nabtrade is authorised under the Income Tax Assessment Act 1936 to ask for your TFN. You're not required to provide your TFN and it's not an offence if you decide not to. However, if you don't provide it, any withholding tax required by law to be deducted, will be deducted at the highest marginal rate. If you provide your TFN, you authorise disclosure of it to third parties, where doing so is in accordance with taxation law.

- i. *Are you a U.S. Citizen or Resident of the U.S. for tax purposes?

Yes

If yes, please provide your Taxpayer Identification Number (TIN)

No

3. Employment details

- a. Occupation

- b. Employer name

Application form

Individual or joint account



Section 3

Personal details – Applicant two (cont.)

4. *Contact details

Please provide your mobile number if you would like to take advantage of SMS security notifications and cash transfer features.

Please tick **one** preferred method for us to contact you.

Mobile (Australian only)

Home phone

Business phone

Fax

*Email address

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

6. 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

(eg What's your grandmother's maiden name?)

b. *Security answer

c. How would you like us to deliver your secure PIN and password information?

You won't be able to start trading until you have received this information – **select SMS for instant access.**

Via SMS (no charge)

Post to mailing address

7. 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.

Application form

Individual or joint account



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. Please ensure you provide certified copies of your identification as per Section 1.

Yes. Please 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

- a. *Title

Mr Mrs Miss Ms Other

- b. *Given name(s)

- c. Middle name(s)

- d. *Family name

- e. *Date of birth (you must be over 18 years of age)

- f. *Gender

Male Female

- g. *Are you an Australian resident for tax purposes?

Yes

No. If **no**, please supply country of residence

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

nabtrade is authorised under the Income Tax Assessment Act 1936 to ask for your TFN. You're not required to provide your TFN and it's not an offence if you decide not to. However, if you don't provide it, any withholding tax required by law to be deducted, will be deducted at the highest marginal rate. If you provide your TFN, you authorise disclosure of it to third parties, where doing so is in accordance with taxation law.

- i. *Are you a U.S. Citizen or Resident of the U.S. for tax purposes?

Yes

If yes, please provide your Taxpayer Identification Number (TIN)

No

3. Employment details

- a. Occupation

- b. Employer name

Application form

Individual or joint account



Section 3

Personal details – Applicant three (cont.)

4. *Contact details

Please provide your mobile number if you would like to take advantage of SMS security notifications and cash transfer features.

Please tick **one** preferred method for us to contact you.

Mobile (Australian only)

Home phone

Business phone

Fax

*Email address

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

6. 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

(eg What's your grandmother's maiden name?)

b. *Security answer

c. How would you like us to deliver your secure PIN and password information?

You won't be able to start trading until you have received this information – **select SMS for instant access.**

Via SMS (no charge)

Post to mailing address

7. 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.

Application form

Individual or joint account



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?

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

- A new Holder Identification Number (HIN) will be created on your account and you can begin trading.
- Please note that by choosing this option you will not be able to transfer an existing HIN to this account.

Yes. Please 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 please contact them to arrange transfer.
- Please provide the same details (name, address and designation) that are registered on your current CHESS Holding Statement(s).
- For this transfer request to be successful, the CHESS registration details (name and address) at your existing broker must exactly match the CHESS 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. Please 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
CHESS Holding
Statement(s)

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

| |
|--|
| |
| |
| |

b. Account designation (if applicable), eg < X and Y Superfund A/C>

| |
|--|
| |
|--|

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

| |
|--|
| |
| |
| |
| |
| |
| |
| |
| |

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

| |
|--|
| |
|--|

e. Account number

| |
|--|
| |
|--|

f. Holder Identification Number (HIN)

| |
|--|
| |
|--|

g. CHESS 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. **Please go to Section 7.**

Please note that by choosing this option you will not be able to trade until we receive your HIN from your existing broker.

OR

Please transfer only the specified holdings listed below.

A new HIN will be created on your account and you can begin trading. Please 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.

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

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

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

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

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

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

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

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

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

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

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

Application form

Individual or joint account



Section 7

Signatures

By completing and signing this application, the Applicant(s) agree that:

1. 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 and the nabtrade Client Agreement comprising:
 - Parts A to E and G – the agreement between you and WealthHub Securities.
 - Parts F and G – the agreement between you and NAB in relation to the nabtrade Cash Products issued by NAB.
 - Part G – defines the terms in the nabtrade Client Agreement.
 - Part H – contains the NAB Privacy Notification.
2. 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.

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.

Promotion

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

1 Applicant one

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

Signature

 Date / /

2 Applicant two

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

Signature

 Date / /

3 Applicant three

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

Signature

 Date / /

Checklist

Please 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 please 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

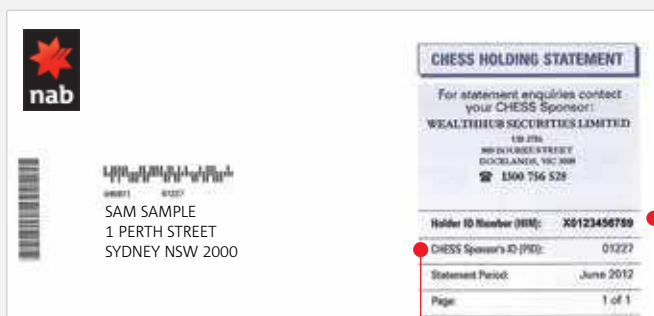
| Your CHESS Statement has | nabtrade account has | Scenario | What you need to do |
|---|--|---|--|
| Mr John Smith and Mrs Mary Smith 1 Perth Street Sydney NSW 2000 | Mr John Smith 1 Perth Street Sydney NSW 2000 | Account with other Broker is in a joint holding, nabtrade account is not. | Open an account 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 Andrew Smith 1 Perth Street Sydney NSW 2000 | Mr John Smith 1 Perth Street Sydney NSW 2000 | Account with other Broker has a middle name, nabtrade account does not. | 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.