



## Account Opening Form

### SECTION 1 - ACCOUNT DETAILS

Type

#### SMSF DETAILS

Legal Entity

ACN/ABN

TFN

Contact Name

Contact Email

Contact Phone

Street Address

Postcode  Country

Country of Establishment

Business Name of Trustee  If any

Type of Trustee (select one)

- Registered managed investment scheme
- Regulated Trust (e.g. SMSF)
- Govt superannuation fund
- Unregistered managed investment scheme with only wholesale clients which does not make small scale offerings under section 1012E of the Corporations Act 2001 (Cth)
- Other (please specify eg/ Family, Unit, Charitable, Estate)

## APPOINTEE &amp; SETTLOR DETAILS - UNREGULATED AUSTRALIAN TRUST

## Appointee Details

Given Names	<input type="text"/>	Surname	<input type="text"/>
Address	<input type="text"/>		
State	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

## Settlor Details

NOTE: The Settlor details are not required if the material asset contribution to the trust by the settlor at the time the trust is established is less than \$10,000

Given Names	<input type="text"/>	Surname	<input type="text"/>
Address	<input type="text"/>		
State	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

NOTE: FinEx (and its related bodies corporate and affiliates) only recognises the Trustee(s) as the investor and not the beneficiary, therefore the trustee(s) details must be given in 2A, B, or C above as appropriate. However, FinEx (and its related bodies corporate and affiliates) is also required to record the individual beneficiary details if you have ticked "Other" in the section "Type of Trust" above.

Beneficiary 1	<input type="text"/>	Date of Birth/ABN	<input type="text"/>
Beneficiary 2	<input type="text"/>	Date of Birth/ABN	<input type="text"/>
Beneficiary 3	<input type="text"/>	Date of Birth/ABN	<input type="text"/>

NOTE: ABN only applicable if Beneficiary is a Company

## CLIENT 1

Type of Applicant	<input type="text"/>		
Salutation	<input type="text"/>		
Given Names	<input type="text"/>		
Surname	<input type="text"/>		
Date of Birth	<input type="text"/>	Country of Birth	<input type="text"/>
Tax File Number	<input type="text"/>		
Email	<input type="text"/>		
Phone	<input type="text"/>	Work	<input type="text"/>
		Mobile	<input type="text"/>
Occupation	<input type="text"/>		
Street Address	<input type="text"/>		
	<input type="text"/>		
Postcode	<input type="text"/>	Country	<input type="text"/>
Postal Address (if different)	<input type="text"/>		
	<input type="text"/>		
Postcode	<input type="text"/>	Country	<input type="text"/>
Are you a resident of Australia for tax purposes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If no, please specify the country of tax residence	<input type="text"/>		

## CLIENT 2

Type of Applicant Salutation Given Names Surname Date of Birth  Country of Birth Tax File Number Email Phone  Work  Mobile Occupation Street Address Postcode  Country Postal Address (if different) Postcode  Country Are you a resident of Australia for tax purposes?  Yes  NoIf no, please specify the country of tax residence

**SECTION 2 - CHESS REGISTRATION**

Account Name

Designation

Address

Postcode

Before completing this section you should refer to the Explanation of CHESS Sponsorship in FinEx's CHESS Sponsorship Agreement (contained in Part B of the FinEx Terms of Trade)

Select on of the following options:

NEW CHESS SPONSORSHIP

Tick this box if you would like FinClear Execution Ltd (FinEx) to establish a new SPONSORED HIN and act as your CHESS sponsoring broker.

TRANSFER YOUR EXISTING CHESS SPONSORSHIP FROM ANOTHER BROKER

By ticking this box, you appoint FinClear Execution Ltd to act as your agent to transfer your existing CHESS sponsored HIN to FinClear Execution Ltd.

Name of existing Broker

PID  HIN

Account Name

Designation <  >

Street Address

State  Postcode  Country

DVP - Link an existing Margin Loan account

Name of Margin Lender

PID  HIN/Account No

INDIVIDUAL: FULL NAME	SIGNATURE	DATE
<input type="text"/>	<input type="text"/>	<input type="text"/>
INDIVIDUAL (2): FULL NAME	SIGNATURE	DATE
<input type="text"/>	<input type="text"/>	<input type="text"/>
INDIVIDUAL (3): FULL NAME	SIGNATURE	DATE
<input type="text"/>	<input type="text"/>	<input type="text"/>

**SECTION 3 - CASH SETTLEMENT**

**A. Default/Nominated Bank Account**

Settlement Type

CMT Fund

Account Name

BSB  Account Number

Pay Gen Method

Rec Gen Method

Direct Debit Authority     Default Payment     Default Receipt     Auto Contra

**B. Non Default Bank Account (only complete if required for Dividend purposes)**

Financial Institution

Account Name

BSB  Account Number

**C. Non Default Bank Account (only complete if required for Dividend purposes)**

I/we request that FinEx provide the Non Default Bank Account (as specified in section 3B above) to all share registries where available, for the purposes of dividends.

INDIVIDUAL/DIRECTOR (1): FULL NAME	SIGNATURE	DATE
<input style="width: 100%; height: 30px;" type="text"/>	<input style="width: 100%; height: 30px;" type="text"/>	<input style="width: 100%; height: 30px;" type="text"/>
INDIVIDUAL/DIRECTOR (2): FULL NAME	SIGNATURE	DATE
<input style="width: 100%; height: 30px;" type="text"/>	<input style="width: 100%; height: 30px;" type="text"/>	<input style="width: 100%; height: 30px;" type="text"/>

**Declaration**

If you have elected to authorise FinEx's Third Party Clearer to direct debit your Nominated Bank Account and by signing this Direct Debit / Credit Authority Form, you agree to be bound by the Third Party Clearer's Direct Debit Terms and Conditions and the Direct Debit Request Service Agreement.

Please return the completed and signed form to [accounts@thinkmarkets.com](mailto:accounts@thinkmarkets.com)

## SECTION 4 - CLIENT ACKNOWLEDGEMENT & AGREEMENT

The Client acknowledges that it has received, read and understood the following documentation:

- a) FinEx's Explanation of CHESS Sponsorship Agreement [Part B of the FinEx Terms of Trade]
- b) FinEx's Financial Services Guide [Part E of the FinEx Terms of Trade]
- c) FinClear's Financial Services Guide [Part F of the FinEx Terms of Trade]

By signing the below, the Client acknowledges that they have received and read, and the Applicant agrees to be bound by, the following documentation:

- a) FinEx Equities Terms and Conditions [Part A of the FinEx Terms of Trade]
- b) FinClear's Disclosure Statement [Part C of the FinEx Terms of Trade]
- c) (if CHESS sponsored by FinEx) FinEx's CHESS Sponsorship Agreement [Part B of the FinEx Terms of Trade]
- d) (if using the Direct Debit facility) FinClear's Direct Debit Request Service Agreement [Part D of the FinEx Terms of Trade]

Quotation of your Australian tax file number(s) (TFN) is optional.

FinEx is authorised by law to request your TFN. You are not required to provide your TFN and failing to provide your TFN to FinEx is not an offence. If FinEx is unable to quote your tax file number or exemption to registries, you may be taxed at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled. Accordingly, failing to provide your TFN or not permitting FinEx to quote it in relation to an investment may have taxation consequences. By providing a TFN and signing this Application Form you:

- a) appoint FinEx as your agent and request and authorise FinEx to;
  - i) provide your TFN to all investment bodies with whom FinEx acts on your behalf;
  - ii) apply your TFN to any investment or account which you may in future make or open with or through FinEx (and their related bodies corporate) to which your TFN may lawfully be applied; and
- b) acknowledge that this authority will apply until such time as it is revoked in writing to FinEx.

By signing the below, the Client acknowledges and that they have provided the FSP with all relevant customer identification documents that are required to positively identify them.

**SECTION 4 - CLIENT ACKNOWLEDGEMENT & AGREEMENT**

I/We consent to the provision of the **Terms and Conditions, Financial Services Guide (FSG) Full Risk Warning and Complaints Policy** by way of [click here](#) and I hereby confirm that I have read, understood that the Company agrees to be bound by the terms of these documents. I also acknowledge ThinkMarkets' Privacy Policy and Cookie Declaration.

## INDIVIDUAL CLIENTS TO COMPLETE

INDIVIDUAL (1): FULL NAME

SIGNATURE

DATE

INDIVIDUAL (2): FULL NAME

SIGNATURE

DATE

INDIVIDUAL (3): FULL NAME

SIGNATURE

DATE

## CORPORATE / COMPANY CLIENTS TO COMPLETE

(Please note that two Directors or a director and a Secretary must sign. Indicate if the Company is a Sole Director/Sole Secretary Company.)

DIRECTOR: FULL NAME

SIGNATURE

DATE

DIRECTOR/SECRETARY: FULL NAME

SIGNATURE

DATE

## DECLARATION

By signing this application form, you agree, represent and warrant that you:

- Agree to be bound by the terms and conditions contained within the application.
- Are over the age of 18 years and not of any legal disability.

**Please return the completed and signed form to [accounts@thinkmarkets.com](mailto:accounts@thinkmarkets.com)**