

## amscotOnline Application Form

Before completing this Account Application Form, please ensure you have read **amscot's** Financial Services Guide (FSG). If a FSG has not been provided to you, please visit **amscot's** website at [www.amscot.com.au](http://www.amscot.com.au). As per **amscot's** policy and the requirements of the law and the Australian Securities & Investment Commission ("ASIC"), you must provide certain information such as name, address and contact details. This Account Application Form collects such information.

**amscot** treats information provided in this Account Application Form as confidential.

### Section 1 Account Type

Select <b>one</b> account only	Explanation	Example of CHESS Registered Account Name
<input type="checkbox"/> Individual	Full name	Mr Jack Adam Jones
<input type="checkbox"/> Joint	Full names	Mr Jack Adam Jones + Mrs Jill Eve Jones
<input type="checkbox"/> Company	Company Name	Jones Enterprises Pty Ltd
<input type="checkbox"/> Minor	Name of custodian(s), then name of minor	Mr Jack Adam Jones <Betty Jane Jones A/C>
<input type="checkbox"/> Trust	Full company name or Trustee's personal name(s), then name of Trust	Jones Enterprises Pty Ltd <Jones Family A/C> or Mr Jack Jones + Mrs Jill Jones < Jones Family A/C>
<input type="checkbox"/> Superannuation Fund	Full company name or Trustee's personal name(s), then name of Fund	Jones Enterprises Pty Ltd <Jones Superfund A/C> or Mr Jack Jones + Mrs Jill Jones <Jones Superfund A/C>

### Section 2 Platform

Select <b>one</b> platform only	Explanation
<input type="checkbox"/> <b>amscot</b> htmlIress - \$15 per month (Live and Static)	Should you generate more than <b>\$80</b> brokerage during a calendar month, you will not be charged for this service
<input type="checkbox"/> <b>amscot</b> webIress - \$88 per month (Live and Dynamic)	Should you generate more than <b>\$220</b> brokerage during a calendar month, you will not be charged for this service

### Section 3 Brokerage

Select <b>one</b> brokerage only	Explanation
<input type="checkbox"/> <b>amscot</b> Online ValueRate	Trade from \$11.00**
<input type="checkbox"/> <b>amscot</b> Online TraderRate	Trade from \$33.00 up to \$50,000**

\*\* Please see our website or FSG for further information

### Section 4 Applicant(s) Details

#### Applicant 1 / Director

Mr / Mrs / Ms / Miss / Dr

For companies, you only need the company's TFN.  
Do not include the individual director's TFN.

For security purposes, please provide a keyword that will help us identify you over the phone. This is compulsory and must be 8 – 15 characters.

Contact Details

Email Address

**^To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder. If no email is provided, Confirmation Note will be mailed to the postal address as per Section 7.**

#### Applicant 2 / Director / Company Secretary

Mr / Mrs / Ms / Miss / Dr

For companies, you only need the company's TFN.  
Do not include the individual director's TFN.

For security purposes, please provide a keyword that will help us identify you over the phone. This is compulsory and must be 8 – 15 characters.

Contact Details

Email Address

**Applicant 3 / Director / Company Secretary**

Mr / Mrs / Ms / Miss / Dr

For companies, you only need the company's TFN.  
Do not include the individual director's TFN.For security purposes, please provide a keyword that  
will help us identify you over the phone. This is  
compulsory and must be 8 – 15 characters.

Contact Details

Email Address 

Tax File Number	Date of Birth DD / MM / YY	Primary Contact YES / NO
Security Keyword	Occupation	Employer
Home ( )	Work ( )	Mobile
Email Address <input type="checkbox"/>		

**Section 5 Third Party Authority** (if applicable)(Third Party / Power of Attorney **must not** certify Identification pertaining to this application)

To authorise an individual to operate your account as a Third Party, please complete this section with their details

Mr / Mrs / Ms / Miss / Dr

For security purposes, please provide a keyword that  
will help us identify you over the phone. This is  
compulsory and must be 8 – 15 characters.

Residential Address

Contact Details

Email Address 

Date of Birth DD / MM / YY	Relationship	Primary Contact YES / NO
Security Keyword	Occupation	Employer
Residential Address		
SUBURB	STATE	POSTCODE
Home ( )	Work ( )	Mobile
Email Address <input type="checkbox"/>		

**Section 6 Company, Superannuation Fund, Minor Account or Trust**

Name of Company

Name of Fund, Minor or Trust

Please attach a certified copy of the relevant pages  
of the Trust Deed which identifies name of Trust,  
Trustees, Beneficiaries, Date and Place of  
Establishment of Trust.

Partnership Name

Name of Company	
Name of Fund, Minor or Trust	
ABN / ACN	Tax File Number
Partnership Name	

**Section 7 Account Address Details** – All correspondence will be sent to postal address

Residential Address (compulsory)

NOT a P.O. Box

(must match address on ID document)

Postal Address

If same as residential, please write "as above"

If you require **amscot** to post your Confirmation Note, please tick the box accepting a charge of \$2.20 including GST per Confirmation Note posted within Australia.  
Overseas postage will be calculated based on country and current postal rates.Post Confirmation Note 

Residential Address (compulsory)		
SUBURB	STATE	POSTCODE
Postal Address		
SUBURB	STATE	POSTCODE

**Section 8 Bank Account Details** – This will be your nominated bank account for the withdrawal of funds from your CMAName of Account Holder(s) must be the same as registered **amscot** trading account.

Name of Account Holder(s)

Name of Account Holder(s)	
BSB	Account Number
Bank	Branch

## Section 9 Identification – Anti Money Laundering & Counter Terrorism Financing Requirements

Each Applicant, Third Party and Power of Attorney on this Account Application Form must ensure that they meet the identification requirements as outlined in the Anti Money Laundering and Counter Terrorism Financing Act ("AML/CTF"). Therefore each applicant in Section 4 (and 5 if Third Party Authority / Power of Attorney) is required to provide identification records as noted below.

We require you to provide an **original certified copy** of the documents listed below in order to meet our AML/ CTF obligations. Please do not send us your original documents such as your passport.

### A. PRIMARY IDENTIFICATION DOCUMENTS FOR INDIVIDUALS

- Current licence or permit issued (front and back) under a law of a State or Territory containing the full name, date of birth and current residential address of the applicant is sufficient on its own. Best example of this would be a Driver's Licence.

**If a Driver's Licence is not available, please provide identification as outlined below.**

### B. OTHER PRIMARY IDENTIFICATION DOCUMENTS plus one of the item in SECTION C below:

- Passport issued by the Commonwealth which may have expired within the previous 2 years
- International passport or Travel document which:
  - contains a photo and signature of the person in whose name the document is issued;
  - is issued by a foreign government, the United Nations or an agency of the United Nations; and
  - if written in a language not understood, accompanied by an English translation prepared by an accredited translator.
- Proof of Age Card (issued by an Australian State or Territory bearing the applicant's photograph, name and date of birth)
- A National Identity Card issued for the purpose of identity which:
  - contains a photograph and the signature of the person in whose name that document is issued;
  - issued by a foreign government, the United Nations or an agency of the United Nations; and
  - if written in a language not understood, accompanied by an English translation prepared by an accredited translator.
- Australian Birth Certificate or Birth Extract
- Australian Citizenship Certificate
- Pension card issued by Centrelink (front and back)

### C. SECONDARY IDENTIFICATION DOCUMENTS – showing your name and current residential address as shown on the application form

- Letter from Centrelink within the **last 12 months** regarding a government assistance payment; OR
- Utilities bill or local government notice issued within the **last three months**; OR
- Notice issued by the ATO within the **last 12 months**

### Additional Identification requirements for Non-Individual account types

#### Sole Trader

- Document(s) showing full business name (if any) and full address of the principal place of business (if any); and ABN (if any) e.g. Business Letterhead

#### Domestic Company

In addition to the Identification documents for each director/ secretary/ third party on the company account, please provide : -

- Document showing the full name of the company as registered by ASIC, the full address of the company's registered office in Australia, the full address of the company's principal place of business (if any); the ACN issued to the company e.g. Certificate of Incorporation and Company Letterhead

#### SMSF or Trust or Power of Attorney

In addition to the Identification documents for each Trustee(s)/ or Power of Attorney, please provide : -

- Document showing the type of trust and the country in which the trust was established and the full name of the trust e.g. trust deed or extract of the trust deed
- Enduring Power of Attorney document

#### Partnership or Other

In addition to the Identification documents for each Partner, please provide : -

- Document showing the full name of the partnership from an original partnership agreement; extract of the partnership agreement or extract of minutes of a partnership meeting
- Full registered business name and/ or trading name (if any) of the partnership from original letterhead
- The country in which the partnership was established
- If the partnership is regulated by a professional association, the name of the professional association and relevant membership details

### CERTIFIED COPY

Certified copy means a document that has been certified as a true copy of the original document by one of the person described below.

#### How should documents be certified?

The certified photocopy must include a statement "I certify that this is a true copy of the original document", (or similar wording). The certifier must include their **full name, address, phone number, original signature** (photocopied signatures are not accepted) and **qualification or occupation** which makes that eligible on the photocopied identification.

#### People who can certify documents or extracts are : -

1. A person who is enrolled on the roll of the Supreme Court of a State or Territory or the High Court of Australia as a legal practitioner (however described);
2. A Judge of a Court;
3. A Magistrate;
4. A Chief Executive Officer of a Commonwealth Court;
5. A Registrar or Deputy Registrar of a Court;
6. A Justice of the Peace;
7. A Notary Public (for the purposes of the Statutory Declaration Regulations 1993);
8. A Police Officer;
9. A Pharmacist;
10. An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
11. A permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
12. An Australian Consular officer or an Australian Diplomatic officer (within the meaning of the Consular Fees Act 1955);
13. An officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);
14. A finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993);
15. An officer with or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees;
16. A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

Please note that for the purposes of this application, **Applicant(s) and Third parties** cannot certify and/ or witness the Identification documents pertaining to this application.

## Section 10 Margin Lending (if applicable)

Margin Lender (ML)	Contact at ML
ML A/C Number	ML Phone Number

Note: Please notify your Margin Lender that **amscot** is your execution broker.

## Section 11 Derivatives (if applicable)

If you would like to deal in Warrants, please tick the box.

Warrants

Before you can deal in Warrants, you will need to:

- Read and agree to the Warrant Agreement contained in the Terms and Conditions available on our website and
- Read the ASX "Understanding trading and investment warrants" booklet available online at [www.asx.com.au/documents/resources/understandingwarrants.pdf](http://www.asx.com.au/documents/resources/understandingwarrants.pdf)
- Read the chi-x "INVESTING IN WARRANTS" booklet available online at <http://cmsau.chi-x.com/Portals/15/Docs/Chi-X%20Australia%20InvestingInWarrantsbooklet2015.pdf>

## Section 12 Contingent Orders (if applicable)

If you would like to use Contingent Orders, please tick the box.

Contingent Orders

Before you can use Contingent Orders, you will need to:

- Read and agree to the Contingent Orders Agreement contained in the Terms and Conditions available on our website; and
- Hereby declare:
  - a. That I/ we understand and agree to be bound by:
    - The Contingent Order Terms and Conditions;
    - The Contingent Order Disclosure Statement; and
    - By the **amscot** Client Agreement.
  - b. That I/ we understand and accept the risks associated with placing Contingent Orders; and
- That I/ we agree to only place our Contingent Orders directly through **amscot's** dealing desk and not by email or fax.

## Section 13 Partly Paid Shares (if applicable)

If you would like to trade in Partly Paid Shares, please tick the box.

Partly Paid Shares

Before you can deal in Partly Paid Shares, you will need to:

- Read and agree to the ASX Partly Paid Security Agreement contained in the Terms and Conditions available on our website

## Section 14 General

How were you introduced to **amscot**?

- ASX                       Friend / Family                       Google/Internet Search                       Newspaper  
 Share Registry                       Work                       Yellow Pages                       Other: \_\_\_\_\_  
*(please specify)*

## Section 15 Signing and Acknowledgement by Applicant(s)

Each Applicant (including any authorised Third Party) acknowledges by signing this Application that they have received, read on the date signed, understood and agree to be bound by the following documentation:

- a. Financial Services Guide available on the amscot website [www.amscot.com.au](http://www.amscot.com.au);
- b. Client Agreement which includes Online Trading Account - Terms and Conditions available on the amscot website;
- c. Participant Sponsorship Agreement (for CHESS) contained in the Terms and Conditions;
- d. Explanation of Participant Sponsorship Agreement (for CHESS) contained in the Terms and Conditions;
- e. Best Execution Policy, Privacy Policy and Dealing Policies which are available on the amscot website;
- f. Direct Debit Request Services Agreement (where applicable);
- g. CMA Application form (if applicable);
- h. Warrant Agreement (where applicable) contained in the Terms and Conditions;
- i. Warrants educational brochure "Understanding Trading and Investment Warrants" and "INVESTING IN WARRANTS" (where applicable).
- j. Contingent Orders Terms and Conditions (where applicable) as outlined in the Disclosure Statement; and
- k. ASX Partly Paid Security Agreement (where applicable) contained in the Terms and Conditions.
- l. Online Trading Market Integrity Agreement.

Each Applicant (including any authorised Third Party) by signing this Application agrees and / or confirms:

- a. That amscot may remit funds to your Nominated Bank Account on request;
- b. That confirmations and other trading information may be sent to you electronically;
- c. To be sponsored by State One under the terms of the Participant Sponsorship Agreement;
- d. To be bound by the actions of any Third Party authorised to give instructions in respect of this account;
- e. That true certified copies of original identification documents have been supplied (as outlined in Section 9); and
- f. That amscot provides an execution only service and as such is strictly non-advisory.

"Client" in the Client Agreement refers to the applicants in this Account Application Form.

	Name	Signature	Date
<b>Applicant 1 // Director</b> (If sole director, please tick box) <input type="checkbox"/>		X	DD / MM / YY
<b>Applicant 2 // Director</b> <b>// Company Secretary</b>		X	DD / MM / YY
<b>Applicant 3 // Director</b> <b>// Company Secretary</b>		X	DD / MM / YY
<b>Third Party // Power of Attorney</b>		X	DD / MM / YY

## Section 16 Online Trading Market Integrity Agreement (Compulsory)

amscot Stockbroking is a division of State One Stockbroking Ltd which, as a Market Participant of ASX, Chi-X and APX, has an obligation to comply strictly with the Corporations Act, the ASIC Market Integrity Rules, and the Operating Rules of ASX, Chi-X and APX.

**A key element of these Rules is the requirement to at all times avoid manipulative trading and to maintain the integrity of the markets. Failure to comply is a very serious matter. Whether intentional or not, it can lead to fines exceeding \$1,000,000 and a possible jail term.**

Every party placing orders directly into the ASX trading system, including each amscot Online client, is subject to these same requirements.

### **Summary of your Obligations**

#### **ASIC Market Integrity Rule 5.7.1 - False or Misleading Appearance**

In placing orders into the markets you must not intend to create:

- A false or misleading appearance of active trading in a product;
- A false or misleading appearance as to the market for a product; or
- A false or misleading appearance as to the price of a product.

#### **Corporations Act 2001 – Section 1041A**

You must not take part in, or carry out (whether directly or indirectly and whether in this jurisdiction or elsewhere) a transaction that has or is likely to have (or two or more transactions that have or are likely to have), the effect of:

- creating an artificial price for trading in financial products on a financial market operated in this jurisdiction; or
- maintaining at a level that is artificial (whether or not it was previously artificial) a price for trading in financial products on a financial market operated in this jurisdiction.

#### **ASX Operating Rules - Orderly Trading, Fair and Orderly Markets [3101]**

As a party entering orders into ASX, Chi-X or APX you must not:

- do anything which results in a Market for a Product not being both fair and orderly, or fail to do anything where failure has that effect;
- take advantage of a situation arising as a result of a breakdown or malfunction in ASX's procedure or systems or an error in any Trading Message submitted by ASX.

### **Market Manipulation**

A False or Misleading appearance is sometimes referred to as Market Manipulation. For your information, we outline below some of the activities which may be viewed by ASIC as Market Manipulation.

**Please note that this information below is provided for information purposes and may not be exhaustive.**

- **Fictitious Orders**  
This involves placing a large order or orders on one side of the market to create an illusion of depth and liquidity, to facilitate a designated trade on the other side of the market.
- **Layering**  
This occurs where multiple orders are entered for the same account at various price levels, with the orders representing a significant number of orders in the bid/ask schedule. Whilst in some cases this pattern of trading may be a legitimate strategy (for example when a client is looking to break up a large order), this will be viewed as creating a false and misleading market if each of these orders does not represent a genuine intention to trade.
- **Ramping**  
Where, during normal market hours, orders are placed in such a way as to suggest that there is a greater depth and volume of interest than there actually is.
- **Giving up Priority / Window Dressing**  
Where a bid and or ask order is entered for a significant quantity of stock at a price away from priority, which is cancelled as it gains in priority. This may be a legitimate strategy where for instance buy orders are cancelled in a falling market. However should such orders not reflect a true intention to trade, this practice will be regarded as creating a false market.
- **Spoofing**  
During the market auction periods, an order can be entered into the market with there being no immediate possibility of the order being executed. This provides the opportunity for the entry of fictitious orders, designed to mislead the market as to the depth and volume of interest, with the order/s being deleted shortly before trade commences.
- **No Change of Beneficial Ownership**  
A transaction involves no change in beneficial ownership if a person (or that person's associate/s), is on both sides of the transaction, (i.e. both the buyer and the seller).
- **Wash Sales**  
This involves buying and selling a share at the same price so as to significantly increase the trading volume in order to attract new buying interest.
- **Marking the Close**  
Where an order is placed in an attempt to artificially influence the closing price of the security, this may have an impact on the security during the subsequent trading day and as such can be regarded as manipulative trading
- **Pass the Parcel**  
Trading the same parcel of securities backwards and forwards to move the stock price or to create a false impression of volume
- **Bid Support**  
This involves multiple bids for small amounts of a particular stock being placed just below the highest bid price in order to prop up a company's stock price.
- **Price Driving**  
Placing bids/offers in the market to intentionally drive the price of a stock positively or negatively.

### **Monitoring by State One**

State One Stockbroking has in place a Market Surveillance Team dedicated to monitoring all trades entered into the market through State One. Any occurrences of suspicious or manipulative activity are immediately raised to the compliance team where further analysis is conducted. If we deem that you have participated in manipulative trading (whether intentional or not), we may decline to act on your behalf and report your trading activity to the Australian Securities and Investments Commission.

### **Amscot Client Agreement – Terms and Conditions:**

As per the Amscot Client Agreement:

32. *If we consider it is in our reasonable interest to do so and to the extent permitted by law, we may decline to act on Your behalf in relation to any particular dealings, without explanation or advance notice. Additionally, we may decline to act on Your behalf:*

- *where the original instruction is more than 9 weeks old and has not been reconfirmed;*
- *where the basis of quotation for the security has changed and the order has not been reconfirmed;*
- *where the security has been subject to a trading halt and the order has not been reconfirmed;*
- *where the ASX has purged the order from the trading platform;*
- *where we believe the transaction would result in no change of beneficial ownership;*
- *where we believe the transaction would have the effect, or is likely to have the effect of creating a false or misleading appearance of active trading in any securities or with respect to the market for, or the price of, any securities; or*
- *where we believe the instructions are ambiguous, incomplete or unclear.*

### **Agreement**

By signing this agreement you acknowledge that you have read and understood your obligations as an amscot online client to avoid manipulative trading and maintain the integrity of the markets.

	<b>Name</b>	<b>Signature</b>	<b>Date</b>
<b>Applicant 1 // Director</b>		X	DD / MM / YY
<b>Applicant 2 // Director // Company Secretary</b>		X	DD / MM / YY
<b>Applicant 3 // Director // Company Secretary</b>		X	DD / MM / YY
<b>Power of Attorney</b>		X	DD / MM / YY

## Section 17 CHESS Sponsorship

**amscot** requires all Clients to be CHESS Sponsored for transactions on the ASX.

For the purposes of CHESS Sponsorship and the Participant Sponsorship Agreement, the following terms apply:

- "Sponsoring Participant" – State One Stockbroking Ltd ("State One") AFSL 247100. **amscot** is a division of State One.
- "Participant Sponsored Holder(s)" – This is the collective applicant(s) in this Account Application Form.

Before proceeding, please ensure that you have read the Participant Sponsorship Agreement (for CHESS) contained in the Terms and Conditions.

Please note:

Broker to Broker – You must use the same registration details as per your CHESS Holding Statement held at your existing broker.

Issuer to CHESS – You must use the same registration details as per your current Issuer Sponsored Holdings Statement(s).

	Title	Given Name(s) or Company Name	Last Name
Applicant 1 / Director			
Applicant 2 / Director / Company Secretary			
Applicant 3 / Director / Company Secretary			
Account Designation (if applicable)	< >		

Existing Broker's Name	HIN	Broker's PID (if known)
	<b>X</b>	

Registration Address :		
SUBURB	STATE	POSTCODE

- Transfer HIN and Holdings from existing broker
  Transfer those holdings listed below from existing broker
  Transfer my Issuer Sponsored holdings to CHESS

Shareholder Reference Number (SRN)	ASX Code	Company Name (e.g. Telstra Limited)	Quantity

### Signing and Acknowledgement

By signing below, you authorise State One to execute the transfer detailed above into your **amscot** account.

Name	Signature	Date
Applicant 1 // Director	<b>X</b>	DD / MM / YY
Applicant 2 // Director // Company Secretary	<b>X</b>	DD / MM / YY
Applicant 3 // Director // Company Secretary	<b>X</b>	DD / MM / YY
Power of Attorney	<b>X</b>	DD / MM / YY

### CHECK LIST

Please send the following information to **amscot** by **POST** to the contact details provided:

- Completed Application Form
- Original Certified Identification (as outlined in Section 9)
- Completion of a Macquarie Cash Management Application form
- Completion of the appropriate **Supplementary Anti-Money Laundering form**

### POST TO:

**amscot** Stockbroking  
PO Box 7625  
Cloisters Square  
WA 6850

### OFFICE USE ONLY

Dealer	Dealer Number	A/C Number
BR	HIN	Date
CMA / DDR	Yes / No	AML L M H
Limit	ASX	GST
Sponsorship	Yes / No	ML
Incomplete	Yes / No	DFAT
Initials	Sign Off	Copy Confirmation
		Yes / No
		Approved on behalf of State One by
		Yes / No
		Approved on





