morgans

Stockbroking | Wealth Management | Corporate Advice

Share Account Application

Office/Adviser use only

Client name:	Account number:
Adviser:	Date (DD/MM/YYYY):

Contents

Account types

If you have any questions in relation to the completion of this form please ask your adviser for assistance.
Note: you will need to complete a separate application form for each different account type. Refer to the following table for which section to complete for the different types of accounts.

Select one	Account type	Sections to complete	Identification required – not fully inclusive	Acceptable account examples
	Individual	Section 1.1, section 2, section 3 if personal advice required, section 4	Driver's Licence, Passport, Birth Certificate, Pension Card, Citizenship Certificate	Mr John Richard Jones
	Joint	Sections 1.1 – 1.4, section 2, section 3 if personal advice required, section 4	As above	Mr John Richard Jones & Mrs Jean Mary Jones
	Minor (under 18 years of age)	Sections 1.1, 1.2, section 2, section 3 if personal advice required, section 4	As above, for responsible adult and ID for the minor (birth certificate)	Mr John Richard Jones <Jeffrey Jones a/c>
	Deceased estate	Sections 1.1, 1.2, section 2, section 3 if personal advice required, section 4	Executor ID and Certified copy of Grant of Probate (including will)	Mr John Richard Jones & Mrs Jean Mary Jones <EST James Frank a/c>
	Company	Sections 1.1 – 1.5, section 2, section 3 if personal advice required, section 4	Verification of full company name, ACN/ABN and certified ID for all Directors and those who hold 25% or more of the company	Jones Holdings Pty Ltd
	Superannuation fund	Sections 1.1 – 1.4, section 1.5 if company is trustee, section 1.6, section 2, section 3 if personal advice required, section 4	Original/Certified copy of the Trust Deed and ID of all the Trustees and Beneficial Owners who have 25% or more interest	Mr John Richard Jones & Mrs Jean Mary Jones <Jones Super Fund a/c or Jones Holdings Pty Ltd <Jones Super Fund a/c>
	Trust	Sections 1.1 – 1.4, section 1.5 if company is trustee, section 1.6, section 2, section 3 if personal advice required, section 4	Original/Certified copy of the trust deed or extract confirming details of Trust and Trustees and verified ID of all the Trustees. ID for Beneficial Owners who have 25% or more interest	Mr John Richard Jones & Mrs Jean Mary Jones <Jones Family Fund a/c> or Jones Holdings Pty Ltd <Jones Family a/c>
	Partnership	Sections 1.1 – 1.5, section 2, section 3 if personal advice required, section 4	ID for all the Partners and Beneficial owners who have a 25% or more interest	Mr John Richard Jones & Mrs Jean Mary Jones <Jones & Son a/c>
	Government/ Charitable body	Sections 1.1 – 1.5, section 2, section 3 if personal advice required, section 4	Constitution, Certificate of Incorporation and list of Office Bearers and Signatories	The Cancer Council

Note: refer to separate Account Terms and Conditions (latest copy available at morgans.com.au), for full details of account names, required signing authorities and Anti Money Laundering (AML) and Counter Terrorism Financing (CTF) Identification requirements. Extra details may be required for overseas clients, entities and Politically Exposed Persons (PEPs).

Basic account information

1

1.1 Client details – Applicant 1

Primary contact

Individual 1 **Director 1** **Trustee 1** **Officer 1**

Title Given names Surname

Preferred name/greeting (if different to given name) Date of birth (DD/MM/YYYY) Gender

Male Female

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes No

If yes, please select one of the following: Australian PEP Foreign PEP International Organisation PEP

Postal address

Street/PO box

Suburb/Town/City State Postcode Country

Residential address

Same as: Postal address

Street

Suburb/Town/City State Postcode Country

Additional information

Home phone Business phone Mobile Facsimile

Email

Occupation Work status (e.g. full-time) Employer

1.2 Account designation (if applicable)

Refer to the account type table on page 2 for acceptable account examples.

Account designation (24 characters max.)

< A/C>

Office/Adviser use only

Identification Provided Driver's licence Passport Birth Certificate Other

(ID must include recent certified photo, confirmation of DOB and current residential address. Refer to Account Terms and Conditions)

Reference

Basic account information

1.3 Client details – Applicant 2

Primary contact

Individual 2 Director 2 Trustee 2 Officer 2

Title

Given names

Surname

Preferred name/greeting (if different to given name)

Date of birth (DD/MM/YYYY)

Gender

Male Female

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes No

If yes, please select one of the following: Australian PEP Foreign PEP International Organisation PEP

Postal address

Same as: Applicant 1

Street/PO box

Suburb/Town/City

State

Postcode

Country

Residential address

Same as: Postal address Applicant 1

Street

Suburb/Town/City

State

Postcode

Country

Additional information

Same as: Applicant 1 (unless specified below)

Home phone

Business phone

Mobile

Facsimile

Email

Occupation

Work status (e.g. full-time)

Employer

Office/Adviser use only

Identification Provided Driver's licence Passport Birth Certificate Other

(ID must include recent certified photo, confirmation of DOB and current residential address. Refer to Account Terms and Conditions)

Reference

Basic account information

1.4 Client details – Applicant 3

Primary contact

Individual 3 **Director 3** **Trustee 3** **Officer 3**

Title

Given names

Surname

Preferred name/greeting (if different to given name)

Date of birth (DD/MM/YYYY)

Gender Male Female

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes No

If yes, please select one of the following: Australian PEP Foreign PEP International Organisation PEP

Postal address

Same as: Applicant 1 Applicant 2

Street/PO box

Suburb/Town/City

State

Postcode

Country

Residential address

Same as: Postal address Applicant 1 Applicant 2

Street

Suburb/Town/City

State

Postcode

Country

Additional information

Same as: Applicant 1 Applicant 2 (unless specified below)

Home phone

Business phone

Mobile

Facsimile

Email

Occupation

Work status (e.g. full-time)

Employer

Office/Adviser use only

Identification Provided Driver's licence Passport Birth Certificate Other

(ID must include recent certified photo, confirmation of DOB and current residential address. Refer to Account Terms and Conditions)

Reference

Basic account information

1

1.5 Incorporated or other entities (if applicable)

Name of company/association/registered co-operative/government body

The company is

Private Public (proprietary) Partnership Association or registered co-operative

Government body Foreign (refer adviser)

ABN ACN

Full address of registered office Same as Director 1 Director 2 Director 3

Street Postal address or Residential address

Suburb/Town/City State Postcode Country

Full address of principal place of business Same as Director 1 Director 2 Director 3

Street Postal address or Residential address

Suburb/Town/City State Postcode Country

Full name, address and relevant ID of each Beneficial Owner if different to Directors (Beneficial Owner is anyone who owns and/or controls 25% or more of the shareholding)

Given names Surname Date of birth (DD/MM/YYYY)

Address

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes No

If yes, please select one of the following: Australian PEP Foreign PEP International Organisation PEP

Given names Surname Date of birth (DD/MM/YYYY)

Address

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes No

If yes, please select one of the following: Australian PEP Foreign PEP International Organisation PEP

Office/Adviser use only

Copy of Trust Deed provided Super Fund Investment Strategy requested

Basic account information

1

1.6 Trust/Super fund details

Type: ☐ **Superannuation fund** ☐ **Family trust** ☐ **Unit trust** ☐ **Other**

Trustees: ☐ Applicant 1 ☐ Applicant 2 ☐ Applicant 3 ☐ Company

Full name of trust/super fund

Full business name (if any) of the Trustee

Full name, address and relevant ID of each Beneficial Owner if different to Directors (Beneficial Owner is anyone who owns and/or controls 25% or more of the shareholding)

Given names | Surname | Date of birth (DD/MM/YYYY)

Address

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes ☐ No ☐

If yes, please select one of the following: Australian PEP ☐ Foreign PEP ☐ International Organisation PEP ☐

Given names | Surname | Date of birth (DD/MM/YYYY)

Address

Are you a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes ☐ No ☐

If yes, please select one of the following: Australian PEP ☐ Foreign PEP ☐ International Organisation PEP ☐

1.7 Account setup details

Office/Adviser use only

Account designation (if applicable, refer to page 2 for acceptable account examples – 24 characters max.)

< A/C>

Registration address Same as ☐ Applicant 1 ☐ Applicant 2 ☐ Applicant 3 ☐ Company

(If PO box, complete street address below)

Street/PO box ☐ Postal address or ☐ Residential address

Suburb/Town/City | State | Postcode | Country

Street address (not a PO box) Same as ☐ Applicant 1 ☐ Applicant 2 ☐ Applicant 3 ☐ Company

Street ☐ Postal address or ☐ Residential address

Suburb/Town/City | State | Postcode | Country

Level of advice

2

2.1 Advice type

The level of information we require from you depends on the level of service you are seeking. Please indicate the level of advice you require.

Personal advice
I/We wish my/our personal circumstances and objectives to be considered in the advice provided by my/our adviser and agree to provide the required information in Section 3.

General advice
I/We only wish to receive general advice about investments and the markets. I/We will determine for myself/ourselves if these investments are suitable for me/us. Skip to Section 4.

Execution only
I/We do not wish to receive any advice. I/We require an execution only service. Skip to Section 4.

Detailed account information

3

Complete this section with your adviser if you require personal advice

Your Morgans adviser needs to understand the level of service you are seeking, your investment objectives, financial situation and particular needs to give you appropriate financial advice. By completing this section, we understand that you are potentially seeking advice on a range of investment products including equities, income products (e.g. term deposits, cash management trusts, unsecured notes, bonds) and hybrid securities (debt and equity). To assist you and your adviser in determining your investment objectives and investment risk tolerance, please answer the following questions to the best of your ability.

Note: should you decide not to answer all or some of the questions, you need to be aware that your adviser's recommendations and obligations will be limited accordingly and advice may be based on the investment alone rather than taking into account your personal circumstances. In this instance, it will be up to you to determine the appropriateness of any advice before making an investment decision. It is important that you keep your Morgans adviser informed of any material change to your financial or personal situation.

3.1 Describe in your own words your goals and objectives for this account

Detailed account information

3.2 Your investment experience

How long have you been investing?

	Applicant 1	Applicant 2	Applicant 3
This is my first investment experience			
Up to 3 years			
3 years or more			

What level of experience do you have with these products?

	Applicant 1			Applicant 2			Applicant 3		
	Nil	Moderate	Extensive	Nil	Moderate	Extensive	Nil	Moderate	Extensive
Listed shares									
Hybrid equities									
Fixed interest									
Options									
Warrants									

3.3 Retirement status

	Applicant 1				Applicant 2				Applicant 3		
	Retired		Plan to retire		Retired		Plan to retire		Retired		Plan to retire
Age		or		Age		or		Age		or	

3.4 Investment timeframes for this account

Note: you should carefully consider your investment alternatives and objectives in the context of your time horizon.

How long would you invest the majority of your money before you think you would need access to it?
(Assuming you already have plans in place to meet short term cashflow and/or emergencies)

- In 2 years or less (Note: if your timeframe is less than 18 months, then stock market investments may not be appropriate and you should consider restricting your investments to interest rate products alone.
- Within 2 - 5 years
- > 5 years

3.5 Your reliance on equities and/or fixed interest investment income

	Applicant 1	Applicant 2	Applicant 3
Entirely			
Substantially			
Partially			
Not at all			

Detailed account information

3.6 Your assets and liabilities

Include your most significant assets and liabilities in the following table. Indicate the estimated value and relevant owner for each item (eg. John, Marie, Joint). Items in this table are:

☐ Overall ☐ Specific to this account only

Personal assets (e.g. cash, home, car)	Owner	$ (approx)	Investment	Owner	$ (approx)

Superannuation	Owner	$ (approx)	Liabilities	Owner	$ (approx)

3.7 Assets from above that you wish to allocate to this account

	Owner	$ (approx)
	Total amount	

3.8 Are you using borrowed funds for this account?

Do you intend to use borrowed funds to invest in this account? ☐ Yes ☐ No
If yes, please identify proposed funds below.

	Owner	$ (approx)
	Total amount	

3.9 Income (if relevant to this account)

	Owner	$ (approx)
	Total amount	

3.10 Important information about investment risks

Your attitude to risk for this account

There is a direct relationship between risk and investment return. Generally the higher the return you require, the higher risk you need to assume and therefore a greater chance your investments will not return/grow as you anticipated.

Equities investment risks

1. **Market risk –** the price of all equities can fluctuate for a variety of reasons, not all of which are logical or predictable. There can be periods where the prices of securities go beyond the underlying fundamentals, both above and beyond a 'fair value'. This is particularly so in the short term.
2. **Economic cycle risk –** there are times where the economy (internationally or domestically) is growing faster than normal, slowing down, or stagnating. Some companies are tied to these cycles (cyclical stocks), while others have the ability to grow independently of the economy cycle (growth stocks).
3. **Timing risk –** this is the risk of buying and selling investments at the wrong time, particularly when there is a major change in investing conditions and markets. Timing risk is greater when you have a shorter time frame and market conditions may not always coincide with your investment needs.
4. **Sector specific risk –** each industry sector has unique features in terms of the exposure to the economic cycle, input material prices, competition, new technology, capital requirements, currency moves, government regulation, etc. This can make each sector more or less attractive at different stages of market and economic conditions.
5. **Company specific risk –** there are many factors that influence the performance of a company within an overall market and sector. These include management quality, competition in their field, their level of debt, business mix, location, etc. This can lead to much higher or lower risk and return than other similar companies.
6. **Liquidity risk –** this is a risk of not being able to sell your investments at a time and price of your choosing. Smaller stocks may not have the consistent trade volume to enable to transact easily and this may not coincide with your specific capital needs.
7. **Speculative share risk –** speculative companies are new or start-up companies that do not have a history of profitability, or are engaged in new ventures where success cannot be guaranteed. They typically consume capital and may often seek additional capital from their shareholders or the broader market. If they are successful they can deliver very high returns, but their risk of failure and capital loss is much higher than more established companies.

Fixed interest investment risks

Fixed interest is the common name applied to an asset class of securities which focus on income and includes investment types such as term deposits, bonds, preference shares, hybrid securities and debt securities. Despite the name 'fixed' interest, this asset class can have income returns which change with market conditions.

1. **Unique features –** this is the risk of not understanding the different types of fixed interest investments; no two fixed interest products are the same. Be very careful that you understand all of the features of each fixed income product.
2. **Credit risk –** this is the risk that the underlying company issuing the income security may fail to meet income payments, or return capital to the investor in accordance with the agreed terms and conditions. The investment return required from a security issuer should recognise the risks involved in investing in them.
3. **Interest rates –** this is the risk that rising or falling interest rates may impact your fixed interest investments. Holding fixed interest investments may result in negative returns when interest rates are rising and the income is insufficient to offset capital losses.
4. **Duration risk –** this is the risk that the investment timeframe does not match your personal timeframe. Some securities have specific end dates, while others may have no end date (perpetual securities). This can have an impact on the market price of the security.
5. **Liquidity risk –** if a market is illiquid it will be very difficult to buy or sell the security without adjusting the capital price paid or received for the security significantly, creating a wide bid-offer spread.

3.11 Your investment objectives

Which of the following categories do you consider to be the most relevant to your needs and objectives?

Please indicate your preferred investment objective/risk weightings for this account. Ensure total equals 100%.
IMPORTANT: The investment objectives you choose need to be in line with the risk that you are prepared to accept.
Please consult with your adviser to make sure they are appropriate for you.

Investment/Risk Profile — Weighting %

Low Risk

Capital preservation
In order to protect my capital value, I accept a lower return on my portfolio. I require an ongoing, low risk income stream and understand that the after tax returns may be low and may not keep pace with inflation. My portfolio is unlikely to include many listed equities.

Income – below average appetite for capital risk
I mainly want to receive income from my share portfolio and would like a higher income return than offered by cash and term deposits. I want to use fixed interest securities and shares to boost the income return of my portfolio and I accept that they increase the capital risk in order to do so. My portfolio is likely to include fixed income products, hybrid equities and equities in market leaders with a record of paying regular, reliable dividends.

Income and growth – medium risk appetite
I want both income and growth. I understand that growth assets will always form part of the portfolio and I am prepared to accept some capital risk. I am looking for a diversified portfolio of both equities and fixed interest investments.

Medium Risk

Growth – above average risk appetite
I want to grow the value of my portfolio over the medium and long term and am willing to take on additional investment risk to do so. I understand returns in the short-term may be volatile. My portfolio will have a stronger skew to growth investments looking for higher capital growth.

High growth – high risk appetite
I want better than market growth and am prepared to take on greater investment risk and return in order to achieve this. I am prepared to sacrifice portfolio balance to achieve this and understand my portfolio may include less liquid small stocks, cyclical stocks and stocks that have had volatile historical returns. Security of capital is secondary to the potential for wealth creation.

Short term trading – very high risk appetite with a short-term view
I want to invest for the short-term in order to make capital gains on undervalued opportunities or market movements. I expect to buy and sell more frequently than longer term investors, and am willing to take on increased capital and timing risk to do so.

High Risk

Speculation – extremely high risk appetite
I want to invest in speculative companies that have little track record or profitability, for the purpose of making significant potential capital gains. I understand investing in these products may pose a high risk to my investment capital. Investments may also include the use of warrants and other listed derivatives.

Leverage – varying levels of risk depending on purpose and instrument. Generally higher risk
Leverage provides the potential to make higher returns from a smaller initial outlay. Leverage significantly increases risk. Leverage instruments include options, warrants or margin lending facilities. Only suitable for experienced investors who fully understand the risks, rewards and obligations attached to particular leverage instruments.

Total 100%

Detailed account information

3.12 Your particular investment preferences (optional)

Some sectors and companies have different risk and reward profiles. These may hold special interest for some investors, while others may wish to avoid them. Please indicate your preferences below.

Note: only select the boxes below if you have a special interest or wish to avoid any of the following investments.

Investment	Special interest	or	Wish to avoid	Comment
Sectors				
Mining and energy				
Communication and technology				
Health and biotechnology				
Gambling, alcohol and tobacco				
Listed property trusts				
Company Type				
Smaller companies – with track record and profitability				
Speculative companies – no track record and profitability				
New listings (floats)				
Profitable established companies				
Developing, not yet profitable companies				
Fixed interest				
Preference shares				
Hybrid securities				
Debt securities				
Listed government bonds				
Derivatives (requires separate agreement)				
Options				
Warrants				

3.13 Your other preferences/notes

Office/Adviser use only

Based on the personal details provided, do you believe this client meets the criteria to become a Sophisticated Investor?

☐ Yes ☐ No

If so, discuss with clients and provide relevant details and application form.

Dealing with Morgans

There are a range of details and preferences we need to collect in order to set-up and operate your account and provide the type of service that meets your specific requirements.

4.1 Trade settlement (buys and sells)

☐ Trade settlement via a Cash Management Account (CMA) is recommended. Your adviser will be able to provide you with a list of CMA providers. [Please complete the relevant section of your chosen provider's application form and return together with this application.]

Note: should alternate settlement arrangements be required, please refer to page 23 and complete the appropriate bank account details.

4.2 Trade confirmations (contract notes)

Unless otherwise advised, we will send you trade confirmation and any applicable monthly statements electronically. (Please see Account Terms and Conditions).

Send contract notes to email address of: ☐ Applicant 1 ☐ Applicant 2 ☐ Applicant 3

Send additional contract notes to the following email address

☐ Hard copy only (Address as per Primary Contact)

Third party confirmation

Under ASIC rules, please note that you cannot request your trade confirmation be delivered to a third party only, however a third party can be provided with a copy of your trade confirmation. If you would like this to occur, please provide the relevant email address below.

Additional email address for trade confirmations (e.g. Accountant)

4.3 Contact preferences

How do you prefer to be contacted by your adviser?

☐ Email ☐ Mobile ☐ Home Phone ☐ In person ☐ Not at all

Trading and portfolio reports

If you would like to be emailed regular reports, please indicate below the desired report and frequency from the available options below:

Outstanding orders	☐ Daily	☐ Weekly	
Statement of account		☐ Weekly	☐ Monthly
CHESS portfolio holdings		☐ Weekly	☐ Monthly

Note: reports will be sent to the email address of the nominated Primary Contact for this account.

Web access and subscriptions

Client website/mobile login (provides access to your portfolios, research, watchlists, contract notes etc. via the website or smartphone app)

Note: if you already have a web login and you wish to view this account, please provide username/s below.
Email address to be used for web login username.

Same as: ☐ Applicant 1 OR Nominate email for Applicant 1 ____________

Same as: ☐ Applicant 2 OR Nominate email for Applicant 2 ____________

Same as: ☐ Applicant 3 OR Nominate email for Applicant 3 ____________

Research subscriptions	Applicant 1 email	Applicant 2 email	Applicant 3 email	Hard copy
Monthly research Equities focused product which includes updated economic views and investment strategy as well as company updates. Also includes our current high conviction stock picks.	☐	☐	☐	☐
Quarterly research Outlines our current views on the stock market and key investment thematics as well as domestic and international economic commentary. Analysts also provide updated sector commentary and preferred stock picks.	☐	☐	☐	☐
Bi-annual research A financial planning based publication designed to educate and update clients on the current thematics.	☐	☐	☐	☐
Special bulletins Company, sector or market related reports produced from time to time.	☐	☐	☐	☐

4.4 Authorise another person to operate this account

If you wish to authorise somebody else (e.g. spouse, accountant, Power of Attorney, financial planner, etc.) to act on your account, please complete this section of the document. This authority may only be revoked by written notice from the client to Morgans and will take effect at the commencement of the business day following the date of receipt of the notice of revocation by Morgans (see Account Terms and Conditions for further details). Relevant ID is also required in accordance with Morgans AML/CTF requirements.

Full name of authorised person

Relationship

Organisation (if applicable)

Address (PO box not to be used)

Home phone

Work phone

Mobile

Email

Date of birth (DD/MM/YYYY)

☐ Please tick if you would like the authorised person to receive a copy of your trade confirmations

Is this person a Politically Exposed Person? (Refer section 5 of the Account Terms and Conditions booklet) Yes ☐ No ☐

If yes, please select one of the following: Australian PEP ☐ Foreign PEP ☐ International Organisation PEP ☐

4.5 Other related contacts

Occasionally, you may require your adviser to contact other parties in relation to your account (e.g. accountant). If so, please provide details below (we will not contact them without your prior consent).

Name

Role/Relationship

Organisation

Telephone

Mobile

Address (PO box not to be used)

Email

Name

Role/Relationship

Organisation

Telephone

Mobile

Address (PO box not to be used)

Email

Office/Adviser use only

Identification provided ☐ Driver's licence ☐ Passport ☐ Birth certificate ☐ Other

(ID must include recent certified photo, confirmation of DOB and current residential address. Refer to Account Terms and Conditions)

Reference

4.6 Tax File Number | Australian Business Number

Morgans advise that we are authorised to collect TFNs for the purposes of registration of your current and new CHESS Sponsored Holdings in accordance with either or all of the Taxation Administration Act 1953 (TAA), the Tax File Number Guidelines 2011 (TFN Guidelines), Superannuation Industry (Supervision) Act 1993 (SIS Act) and the Privacy Act 1988 (Privacy Act). Morgans will record the information and destroy the notice in compliance with privacy regulations and tax laws. Your TFN will be electronically provided to the share registries of the ASX CHESS Sponsored investments you purchase.

It is not an offence to withhold your TFN or, where the securities are held for a business purpose, your ABN. However, if you do not provide your TFN or ABN, witholding tax may be deducted from payments of interest and the unfranked portion or dividends at the highest marginal tax rate.

Are you an Australian resident for tax purposes?

☐ Yes ☐ No*

If no, please state country of residence for tax purposes

Applicant 1

Name

TFN or exemption

TFN – –

Applicant 2

Name

TFN – –

Applicant 3

Name

TFN – –

Legal entities

☐ Company ☐ Trust ☐ Partnership ☐ Superannuation

Name

TFN – –

ABN

ACN

*Note: if you are not a resident of Australia for tax purposes, it is a shareholder's responsibility to notify in writing, the relevant share registries of your country of residence.

Office/Adviser use only

Morgans account number

Date (DD/MM/YYYY)

This page has been left blank intentionally

4.7 Signing and acknowledgement

Level of service

By signing below I/we acknowledge and agree (select one as appropriate):

- [ ] Personal advice profile – that the information provided in sections 2 and 3 is an accurate representation of my/our financial position and requirements at this time. I/We have considered and taken into account the investment risks outlined in section 3.10. I/We also acknowledge that any investment recommendations provided by my/our adviser will be based on the information contained therein. If any of the relevant information provided changes, I am/we are obliged to notify Morgans and/or my/our adviser as soon as possible. Any failure by me/us to provide updated information to Morgans and/or my/our adviser may result in advice being provided that may no longer be suitable to current personal circumstances.

or

- [ ] General advice/execution only – that my/our adviser has asked about my/our personal circumstances, goals and objectives and I/we have chosen not to provide this detailed information. I/We will make my/our own investment decisions and understand that my/our adviser will not provide advice tailored to my/our personal circumstances.

Execution of agreement

- [ ] I/We have been provided with and agree to be bound by the following (latest version available at morgans.com.au under Terms and Conditions):
  - Financial Services Guide
  - Account Terms and Conditions
  - Morgans Privacy Policy
  - Anti-Money Laundering and Counter Terrorism Financing Terms
- [ ] I/We have provided identification as per the requirements of the Anti-Money Laundering and Counter Terrorism Financing terms (refer to the Morgans Share Account Terms and Conditions).
- [ ] **Privacy consent** – I/we consent to the use or the disclosure of our personal information only in the manner indicated in the Privacy Policy (please see Morgans Share Account Terms and Conditions).
  Note: by withholding consent Morgans will not be able to provide you with the requested account, facility or investment product.
  Note: you can withdraw your consent at any time in the future, without any charge, by contacting us.

☐ Individual 1 ☐ Director 1 ☐ Trustee 1	☐ Individual 2 ☐ Director 2 ☐ Trustee 2	☐ Individual 3 ☐ Director 3 ☐ Trustee 3
Name	Name	Name
Signature	Signature	Signature
Date (DD/MM/YYYY)	Date (DD/MM/YYYY)	Date (DD/MM/YYYY)

Office/Adviser use only

As adviser, I confirm that

- [ ] I have requested the information detailed in this document
- [ ] Personal advice – I have requested the relevant information from the client and made best endeavours to confirm the clients understanding.
- [ ] If appropriate, I have issued a warning to the client that the advice to be provided is general advice at best, as personal information has not been provided by the client.
- [ ] I confirm that this account is to be conducted on an execution only/nil advice basis
- [ ] One-off trade only

Signed	Adviser name	Branch
Date (DD/MM/YYYY)	Adviser number	Brokerage rate

This page has been left blank intentionally

4.8 CHESS Sponsorship

Between

Morgans Financial Limited ABN 49 010 669 726 AFSL 235410 (‘Participant’) GPO Box 202, Brisbane QLD 4001.
A Participant of ASX Group. A Particpant Member of NXSA.

and

Client details

Title | Given names | Surname

Title | Given names | Surname

Title | Given names | Surname

Company name

Designation (if applicable, refer to acceptable account examples on page 2)

Registration address

Street/PO box

Suburb/Town/City | State | Postcode | Country

Morgans CHESS Sponsorship

☐ I/We instruct Morgans to act as our CHESS sponsoring broker. By doing so I/we acknowledge that I/we have been provided with, and agree to be bound by the CHESS Broker Sponsorship Terms in the Account Terms and Conditions.

Please select one of the following:

☐ New CHESS Sponsorship

☐ Transfer CHESS Sponsorship from another broker (please complete section A, on reverse)

☐ Transfer of holdings ONLY from another broker (please complete section B on reverse)

☐ Convert Issuer Sponsored Holdings (please complete section C on reverse)

☐ Individual 1 ☐ Director 1 ☐ Trustee 1 ☐ Individual 2 ☐ Director 2 ☐ Trustee 2 ☐ Individual 3 ☐ Director 3 ☐ Trustee 3

Signature | Signature | Signature

Date (DD/MM/YYYY) | Date (DD/MM/YYYY) | Date (DD/MM/YYYY)

Morgans confirms its agreement to the Account Terms and Conditions and the execution of the CHESS Sponsorship Agreement by allocating a Holder Identification Number (HIN) to the applicant(s). If you would like a copy of your CHESS Sponsorship Agreement, please contact your adviser.

Office/Adviser use only

Account number | HIN

Date of execution (DD/MM/YYYY) | Authorised Morgans officer

4.8 CHESS Sponsorship – transfer your holdings

Note: registration details at your existing participant must be identical to your Morgans registration details. If they are not the same please discuss this with your adviser.

Section A

Transfer all of my/our CHESS Shareholding(s) and Holder Identification Number (HIN) from another broker.

Name of current sponsoring broker

HIN details with other broker

X

Existing account name

Section B

Transfer the CHESS Shareholding(s) listed below from my current sponsoring broker.

Name of current sponsoring broker

HIN details with other broker

X

Existing account name

☐ Copies of statements provided or ☐ Listed below or ☐ All holdings

Company name	ASX code	Quantity

Section C

Issuer Sponsored Holdings

Convert the below issuer sponsored holdings to my Morgans CHESS Sponsorship.

☐ Copies of statements provided or ☐ Listed below

Company name	ASX code	Quantity	SRN

4.9 Banking details

Cash Management Account

I/We will be using a Cash Management Account (CMA) (Skip to Section 4.10)

CMA Provider

Morgans account name

Direct credit

I/We authorise Morgans to **credit** the bank account specified below any monies due relating to the settlement (sale) of securities transactions.

Bank account name as shown on your bank statement (please do not use credit card number)

Name of Australian bank or financial institution

BSB number

Account number

Direct debit

I/We authorise Morgans to **debit** the bank account specified below any monies due relating to the settlement (purchase) of securities transactions.
Direct debit will be processed the busines day prior to the settlement date. (Please refer to Account Terms and Conditions for further information).

Please insert bank details below if they differ from your direct credit instruction.
Bank account name as shown on your bank statement (please do not use credit card number)

Name of Australian bank or financial institution

BSB number

Account number

This direct debit arrangement is governed by the terms of the Direct Debit Service Agreement provided to me/us by Morgans Financial Limited – Debit User Number 216859. The authority commencement date is the date of signing. The amount and frequency of the drawings will vary to coincide with dealings with Morgans Financial Limited. Please ensure cleared funds are available in the account upon settlement and that the bank account provided allows direct debit.

4.10 Dividends/income payments for Morgans CHESS Sponsored Holdings

I/We authorise Morgans Financial Limited to provide my/our bank details above or our CMA details via the CHESS system to the relevant Issuers' share registries for **dividend payments** applicable to stock held under our Holder Identification Number (HIN). Details provided on this form will override any previous instructions and will be applied to all current and future stock sponsored by Morgans in CHESS.

Please use CMA Direct credit account Direct debit account Other (complete separate form)

Please note

- Completion of this form cannot be used to change your participation in an existing Dividend Reinvestment Plan (DRP).
- This authorisation must be signed by each named Morgans account holder(s) and by each account holder(s) with the financial institution for your instructions to be executed.

Individual 1 Director 1 Trustee 1	Individual 2 Director 2 Trustee 2	Individual 3 Director 3 Trustee 3
Name	Name	Name
Signature	Signature	Signature
Date (DD/MM/YYYY)	Date (DD/MM/YYYY)	Date (DD/MM/YYYY)

Office/Adviser use only

Morgans account number

Date (DD/MM/YYYY)

Stockbroking | Wealth Management | Corporate Advice

Queensland

Brisbane Stockbroking, Corporate Advice, Wealth Management	+61 7 3334 4888
Brisbane Edward Street	+61 7 3121 5677
Brisbane Tynan Partners	+61 7 3152 0600
Brisbane North Quay	+61 7 3245 5466
Bundaberg	+61 7 4153 1050
Cairns	+61 7 4222 0555
Gladstone	+61 7 4972 8000
Gold Coast	+61 7 5581 5777
Mackay	+61 7 4957 3033
Milton	+61 7 3114 8600
Newstead	+61 7 3151 4151
Noosa	+61 7 5449 9511
Redcliffe	+61 7 3897 3999
Rockhampton	+61 7 4922 5855
Springfield-Ipswich	+61 7 3202 3995
Spring Hill	+61 7 3833 9333
Sunshine Coast	+61 7 5479 2757
Toowoomba Chalk Capital	+61 7 4639 1277
Townsville	+61 7 4725 5787
West End	+61 7 3151 8300

Northern Territory

Darwin	+61 8 8981 9555

New South Wales

Sydney Stockbroking, Corporate Advice, Wealth Management	+61 2 9043 7900
Sydney Margaret Street	+61 2 8215 5000
Sydney Reynolds Securities	+61 2 9373 4452
Sydney Currency House	+61 2 8216 5111
Armidale	+61 2 6770 3300
Ballina	+61 2 6686 4144
Balmain	+61 2 8755 3333
Bowral	+61 2 4851 5555
Chatswood	+61 2 8116 1700
Coffs Harbour	+61 2 6651 5700
Cronulla	+61 2 8215 5079
Gosford	+61 2 4325 0884
Merimbula	+61 2 6495 2869
Mona Vale	+61 2 9998 4200
Neutral Bay	+61 2 8969 7500
Newcastle	+61 2 4926 4044
Orange	+61 2 6361 9166
Port Macquarie	+61 2 6583 1735
Scone	+61 2 6544 3144
Wollongong	+61 2 4227 3022

Australian Capital Territory

Canberra	+61 2 6232 4999

Victoria

Melbourne Stockbroking, Corporate Advice, Wealth Management	+61 3 9947 4111
Brighton	+61 3 9519 3555
Domain	+61 3 9066 3200
Geelong	+61 3 5222 5128
Hawthorn	+61 1300 382 075
South Yarra	+61 3 9006 9955
Southbank	+61 3 9037 9444
Traralgon	+61 3 5176 6055
Warrnambool	+61 3 5559 1500

Western Australia

West Perth Stockbroking, Corporate Advice, Wealth Management	+61 8 6160 8700
Perth	+61 8 6462 1999

South Australia

Adelaide Stockbroking, Corporate Advice, Wealth Management	+61 8 8464 5000
Exchange Place	+61 8 7325 9200
Norwood	+61 8 8461 2800
Unley	+61 8 8155 4300

Tasmania

Hobart	+61 3 6236 9000

1800 777 946
info@morgans.com.au

morgans.com.au