

**Important Information**

- AUSIEX is authorised under the *Income Tax Assessment Act 1936 (Cth)* to ask for your Tax File Number (TFN). It's not compulsory for you to tell us your TFN, Australian Business Number (ABN), or exemption code (if you have one). However, if you don't provide these details, we may need to deduct withholding tax at the maximum marginal tax rate (plus the Medicare levy) from any interest you earn on your Cash Products. Further, if you do not provide us these details, we will not be able to activate your International Markets trading account. If you provide your TFN or the other details mentioned above, they will apply to all your accounts with AUSIEX and you authorise disclosure of your TFN to third parties, where doing so is in accordance with taxation law.
- We are unable to accept applications for clients that are US citizens or residents however this may be subject to change at any time.
- Customers are required by law to provide details of their country/ies of tax residency to AUSIEX as part of our legal obligations under the *Foreign Account Tax Compliance Act (FATCA)* and Common Reporting Standard (CRS).
- Each account holder is required to complete and sign a W-8BEN form which is valid for 3 years. Please note, we are unable to accept DocuSign signatures for W-8BEN forms. Please print and sign this form pen to paper.
- Refer to the end of this document for sample W-8BEN forms, submission instructions and explanatory notes.

**Client Checklist**

Please ensure all applicants:

- Read and understand the International Markets Trading Terms and Conditions, the International Markets Exchange Rules and Market Conduct Information, the Financial Services Guide, and the Privacy Policy.
- Complete all fields within the application form.
- Read 'Section 3 – Direct Debit and Payment Instructions' and 'Section 4 – Risk Disclosure Statement'.
- Read and sign 'Section 5 – Client Declaration and Signature/s'.
- Complete and sign the W-8BEN – see sample form on page 13 for instructions. All Applicants are required to complete a W-8BEN.

**Adviser Checklist**

- Read and understand the International Markets Trading Terms and Conditions, the International Markets Exchange Rules and Market Conduct Information, the Financial Services Guide, and the Privacy Policy.
- Read and sign 'Section 6 – Adviser Declaration and Signature'.

**Adviser Details**

Adviser code or username

Adviser name

Existing AUSIEX account number – *if applicable*

**Type of account**

- Individual account     Joint account

Note: For Company or Trust accounts, please use form 1039.

**1. Personal Details – Applicant 1**

Mr
  Ms
  Mrs
  Miss
  Dr
  Other

First name
  Middle name/s
  Surname
  /  /  Date of birth – DD/MM/YYYY

Other name/s commonly known by – *If applicable*
 Male
  Female

**Residential Address**

Street address – *Cannot be a PO Box*  
 Suburb
  State
  Postcode  
 Country – *If not Australia*

**Postal Address**

Same as residential address

Street address  
 Suburb
  State
  Postcode  
 Country – *If not Australia*

**Contact Details – Must be applicant’s details**

Email address – *Mandatory*

Mobile number – *Mandatory*

Trade Confirmations will be sent by email only.

Home number – *Optional*

Work number – *Optional*

**Identification – Complete this section if your client does **not** have an existing share trading account with AUSIEX. Please choose one of the options below.**

To meet our obligations with the *Anti Money Laundering/Counter-Terrorism Financing Act 2006*, we must identify customers before we provide a service. Please select one of the following:

- Option 1 – Existing customer**  
 If you are an existing customer, please provide your Username or share trading account number below.  
 Username/Share trading account number:
- Option 2 – New customer**  
 Please attach two copies of primary ID such as Australian Driver Licence (both the front and back of the card), and Passport or Medicare card. See the ‘Identification Documentation Requirements’ list available from our website for more information.  
 By selecting this option and providing copies of your ID, you consent to the electronic verification of your ID documents as outlined in the Declaration Section of this form.
- Option 3 – New customer**  
 If you do not meet the criteria for Option 1 or Option 2 or you do not consent to your ID being electronically verified, please refer to the ‘Identification Documentation Requirements’ list available from our website.  
 Please ensure the ID provided is **originally certified**.

**Online Access – Complete this section if your client does **not** have an existing share trading account with AUSIEX.**

You will need this the first time you log in. Your Username will be provided in a welcome email when the account has been established.

Temporary Login Password

**i** Your nominated temporary password:

- Must be between 6 and 16 characters long
- Is not case sensitive
- Must not contain spaces
- Can contain most characters except <=>^{}'
- Must not contain the word 'password'

**Tax Residency Information**

<b>1. Are you a tax resident of Australia? – Mandatory</b>	<input type="radio"/> Yes	<input type="radio"/> No
<b>2. Tax File Number or Exemption Code</b>		
<b>3. Are you a tax resident of another country outside of Australia? – Mandatory</b> If yes, please complete the Tax Residency table below.	<input type="radio"/> Yes	<input type="radio"/> No

**Instructions for completion:**

- List all of your other countries of tax residency and your TIN for that country or 'Reason Code' if no TIN is available.
- We are unable to accept applications for US citizens or residents however this may be subject to change at any time.

For further instructions on how to complete this section see [explanatory notes #2](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)						
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

**Job Category and Type**

Refer to the '[Job and Industry Classifications List](#)' available on our website.

Job Category	Job Type
<input type="text"/>	<input type="text"/>

**Source of Funds and Source of Wealth**

Refer to [explanatory note #3](#) at the end of this document.

Source of Funds	Source of Wealth
<input type="text"/>	<input type="text"/>

**Sole Trader Details – If applicable**

Full business name – If any	Australian Business Number (ABN)
<input type="text"/>	<input type="text"/>

**1. Personal Details – Applicant 2**

Mr   
  Ms   
  Mrs   
  Miss   
  Dr   
  Other   

First name    
 Middle name/s    
 Surname    
 Date of birth – DD/MM/YYYY  /  /

Other name/s commonly known by – *If applicable*    
  Male   
  Female

**Residential Address**     Same as Applicant 1

Street address – *Cannot be a PO Box*   
 Suburb    
 State    
 Postcode   
 Country – *If not Australia*

**Postal Address**     Same as Residential Address

Street address   
 Suburb    
 State    
 Postcode   
 Country – *If not Australia*

**Contact Details – Must be applicant’s details**

Email address – *Mandatory*

Mobile number – *Mandatory*

Trade Confirmations will be sent by email only.

Home number – *Optional*

Work number – *Optional*

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 If you are an existing customer, please provide your Username or share trading account number below.  
 Username/Share trading account number:
- Option 2 – New customer**  
 Please attach two copies of primary ID such as Australian Driver Licence (both the front and back of the card), and Passport or Medicare card. See the ‘[Identification Documentation Requirements](#)’ list available from our website for more information.  
 By selecting this option and providing copies of your ID, you consent to the electronic verification of your ID documents as outlined in the Declaration Section of this form.
- Option 3 – New customer**  
 If you do not meet the criteria for Option 1 or Option 2 or you do not consent to your ID being electronically verified, please refer to the ‘[Identification Documentation Requirements](#)’ list available from our website.  
 Please ensure the ID provided is **originally certified**.

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**Instructions for completion:**

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For further instructions on how to complete this section see [explanatory notes #2](#) at the end of this application.

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List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN				
1		TIN:		OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

**Job Category and Type**

Refer to the '[Job and Industry Classifications List](#)' available on our website.

Job Category	Job Type
<input type="text"/>	<input type="text"/>

**Source of Funds and Source of Wealth**

Refer to [explanatory note #3](#) at the end of this document.

Source of Funds	Source of Wealth
<input type="text"/>	<input type="text"/>

**Sole Trader Details – If applicable**

Full business name – If any	Australian Business Number (ABN)
<input type="text"/>	<input type="text"/>

**Additional Account Applicants**

Please copy and fill out the above section for each additional account applicant.

## 2. Settlement and Funding Options

Please nominate an Australian bank account and trade funding structure that you would like to use for trading and settlements.

### Existing Australian bank account to be used for funding/withdrawals

Account name	BSB	Account number
<input type="text"/>	<input type="text"/>	<input type="text"/>

- i** • If the linked bank account has one or more parties which are not the share trading account holders, you must provide identification of those parties with a signature and ensure they sign the Declaration & Signature/s section of this form.
- Please note that you are required to provide funds in advance in order to place a buy trade.

- Settle in Australian Dollars** (your payment for Buy trades will be automatically converted from Australian dollars to the applicable foreign currency; for Sell trades any proceeds paid to you will be converted from the applicable foreign currency to Australian dollars).

OR

- Settle to a Foreign Currency Account** (a foreign currency funding account will be opened on your behalf; Buy and Sell trades will settle in the applicable foreign currency of the market in which the trades occur, with conversions to Australian dollars being at your discretion).

- i** Different brokerage rates may apply depending on whether your account is set up to settle to Australian Dollars or a Foreign Currency Account. Please refer to the Financial Services Guide (FSG) for information regarding brokerage and fees.

## 3. Direct Debit and Payment Instructions

I/We authorise and request Australian Investment Exchange Limited (APCA User ID no. 093 992 – Debit and 093 993 – Credit) to arrange for funds to be debited from/credited to my/our accounts as specified in this Application through the Bulk Electronic Clearing System (BECS).

I/We acknowledge that this authority is governed by and will remain in force in accordance with the Direct Debit/Credit Request Service Agreement section of the International Markets Trading Terms and Conditions governing each product and financial service I/we are applying for.

### Payment Instructions

To fund your International Markets share trading account, and withdraw Australian dollars, you must nominate to do so through your nominated bank account. To fund/withdraw by direct debit/

credit, you need to provide your nominated bank account details in the Settlement and Funding Options in Section 2. Please ensure that your nominated bank account is in the same name as your International Markets Account Application Form.

I/We agree for AUSIEX to remit funds to my/our nominated bank account.

I/We authorise the following:

1. AUSIEX to verify the details of the bank account mentioned in this form with my/our Financial Institution;
2. The Financial Institution to release information allowing AUSIEX to verify the account details mentioned in this form.

#### 4. Risk Disclosure Statement

To invest in International Securities, you should be an experienced investor. The risks involved with investment in International Securities differ significantly from investment in securities quoted on the regulated stock exchange for Australian shares - the ASX Limited.

This Risk Disclosure Statement does not disclose all of the risks associated with investment in International Securities. It should not be relied upon as a complete explanation of the risks involved. If you need further explanation regarding investment in international markets, you should seek appropriate independent professional advice. Below is an example that seeks to demonstrate the share trading risks when trading in International Securities. This example is for illustrative purposes only and should not be considered advice.

##### Example: Foreign Currency Risk

Your International Securities will be denominated in a currency other than Australian dollars.

- You buy 100 shares at US\$50 per share for a total value of US\$5,000.
- You purchase US\$5,000 at the rate of A\$/US\$0.60 and your initial investment cost is A\$8,333.33.
- If the A\$/US\$ strengthens to the rate of A\$/US\$0.70, the value of your investment falls to A\$7,142.86 assuming no change in the price of the shares.
- If the A\$/US\$ weakens to the rate of A\$/US\$0.50, the value of your investment rises to A\$10,000 assuming no change in the price of the shares.

You can see from this example that as the A\$ strengthens against US\$, the A\$ value of your US shares will fall. Of course the reverse applies – as the A\$ weakens against US\$, the A\$ value of your US shares will rise. Please note that this example is exclusive of brokerage, exchange fees, and any other fees and charges that may apply.

##### International Custodian

Your International Securities will be held in the custody of an International Custodian, appointed by us as set out in the International Markets Trading Terms and Conditions. Securities in the custody of an International Custodian may be subject to risk arising from change to the political, legal, regulatory and/or the commercial environment of the country of the International Custodian or overseas stock exchange(s) that the securities are listed on.

Whilst we will use reasonable care in selecting International Custodians, we shall not be liable for any losses incurred by you by reason of any act, omission, fraud or negligence of any International Custodian in relation to the holding of or dealing with your International Securities.

##### POLITICAL AND REGULATORY RISK

Trading conditions and your ability to buy and sell securities in a foreign market may be affected by political risk and regulatory risk in the country in which the overseas market operates. Political risk may include sudden changes in laws and regulations imposed by the government, sometimes on short notice, and sometimes

on a temporary basis. Regulatory risk is the risk that standards of conduct in the overseas market may differ from standards of disclosure and conduct that apply to securities quoted on the Australian Securities Exchange. For example, risks will be generally higher where companies are able to list on a foreign market with less initial and ongoing regulatory requirements than on the ASX Limited. As a result, securities traded on such a foreign market may be susceptible to high volatility and there are no assurances that there will be a liquid market for your investments.

Australia, as a member state of the United Nations, is obliged to implement United Nations Security Council sanctions. Australia also may be required to implement other international sanctions and sometimes imposes unilateral sanctions. Sanctions can cover various subject matters including financial restrictions. Consequently, AUSIEX may be prohibited from dealing with certain persons or entities.

This means that if AUSIEX is aware that you are a Proscribed Person or entity, or associates of, then AUSIEX may be required to suspend, cancel or refuse you services or close or terminate any account, facility, transaction, arrangement or agreement with you. We may also be required to freeze your assets. You could incur significant costs as a result of these actions.

##### Taxation

AUSIEX does not provide taxation advice.

We recommend you obtain professional taxation advice to evaluate whether an investment in International Securities is appropriate to your particular financial circumstances and objectives.

##### In Summary

You and your advisers should be aware of the following additional acknowledgements you are making by signing this risk statement.

You acknowledge:

- a. that investing in International Securities carries risks, including but not limited to:
  - i. gains from security price movements can be more than off-set by adverse foreign exchange movements;
  - ii. intra-day price movements on international security and currency exchanges can be relatively volatile;
  - iii. strong past performances are not necessarily indicative of future performance;
  - iv. taxation implications can be different from investing in Australian securities and may vary depending on your individual circumstances;
- b. that you accept without limitations all risk associated with investing in International Securities and the holding of your International Securities by an International Custodian.
- c. that AUSIEX does not give financial advice, make personal securities recommendations or provide any foreign exchange or taxation advice, and that it is your own responsibility to assess and evaluate proposed transactions in International Securities in the light of your financial situation, investment objectives and particular needs; and
- d. that AUSIEX recommends you seek appropriate professional advice before investing in International Securities.

## 5. Client Declaration and Signature/s

All applicants and the adviser must sign this declaration.

### Applicant/s Declaration

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

I/We have been supplied with the following documents, available on the AUSIEX website prior to receiving any financial service from AUSIEX, and have read, understand and agree to be bound to the following:

- Financial Services Guide
- International Markets Exchange Rules and Market Conduct Information
- International Markets Trading Terms and Conditions
- Share Trading Terms and Conditions
- Privacy Policy

I/We acknowledge that AUSIEX does not give financial advice, make personal securities recommendations or provide any foreign exchange or taxation advice, and that it is my/our own responsibility to assess and evaluate proposed transactions in International Markets in the light of my/our financial situation, investment objectives and particular needs. I/We acknowledge that AUSIEX recommends that I/we seek professional advice before investing in International Markets.

I/We understand the law prohibits the use of false names, as well as the giving or use of false documents in connection with the provision of financial services and the making, possession or use of a false document in connection with an identification procedure. I am/We are not commonly known by any names different to those disclosed in this application form. The name of individual persons given in this application are true and correct and acknowledge that it will form part of the agreement with AUSIEX.

I/We declare that I/we are 18 years of age or over, the details as shown on this form are complete and correct. If there are any changes to this information in the future, I/we will advise AUSIEX as soon as possible.

I/We declare that I am/we are Australian resident(s) for taxation purposes.

### Declaration regarding the AUSIEX International Markets trading account

I/We acknowledge and agree that my/our AUSIEX International Markets trading account will not take effect until AUSIEX notifies me/us that the identification and verification process has been satisfied. Until that time, AUSIEX is not under any obligation to accept or act on any instructions in relation to this account.

My/Our International Securities will be held in the custody of an International Custodian, appointed by AUSIEX and I/we will retain beneficial ownership (but not legal ownership) of our International Securities. I/We understand that the name of the International Custodian will appear on the share registry as a legal owner rather than my/our own name/s.

I/We understand and agree that I/we will not be eligible to trade in any International Market Available Exchange if we do not provide the necessary documentation to AUSIEX.

I/We acknowledge that I/we have read the Risk Disclosure Statement above relating to the risks of investing in International Markets and that I/we have read and understood its contents.

I/We consent to the following:

- Receiving all further information (including Financial Services Guides, Terms and Conditions, statements, notices and information about fees) by it being made available on the AUSIEX website.
- AUSIEX advising me via the nominated electronic address(es) (including email and SMS), that information is available on the AUSIEX website.
- 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.
- I/We, the Applicant/s, acknowledge and agree that all confirmations are to be sent electronically.

### Privacy

I/We have read the notice regarding the collection, use and exchange of my/our personal information as set out in the International Markets Trading Terms and Conditions and Privacy Policy available on the AUSIEX website.

I/We have obtained the consent of any individual/s whose personal information is provided in this application. I/We acknowledge and consent to the collection, use or exchange of my/our personal information in accordance with the Privacy Policy.

### Declaration in respect of my/our adviser

I/We, the Applicant/s, authorise the adviser to open an AUSIEX International Markets trading account with AUSIEX and to give instruction to AUSIEX on this account on my/our behalf.

I/We authorise AUSIEX to accept instructions on my/our behalf from my/our adviser and confirm that my/our adviser has the power to do the following in my/our name and on my/our behalf from time to time:

1. to have access to, receive, and enquire about information pertaining to an account;
2. to acquire, buy, deal with and dispose of, or sell any financial products;
3. to provide authorisation to make and receive payment for any financial products, transactions and attendant expenses by any means whatsoever and to give a goods receipts and discharges for the proceeds and sales on financial products and other monies;
4. to execute all contracts and other documents necessary or proper for the custody, dealing and transfer of financial products and related matters;
5. to receive, hold, or arrange custody of evidence or title to financial products; and
6. to exercise all rights, obligations, duties, and privileges now and in the future with regard to transacting in financial products that pertain to me as the holder of financial products.



I/We accept that my/our adviser has access to all information relating to transactions undertaken in relation to dealings with AUSIEX.

I/We acknowledge that my/our adviser or the Adviser's named licensee may delegate the authorisation as noted in subclauses above to persons nominated by the Australian Financial Services Licence holder from time to time.

I/We, the Applicant/s, declare that I/we have the legal capacity to make these declarations, accept the conditions and enter into the agreements referred to in the points above.

**Applicant 1**

Full name  Date signed – DD/MM/YYYY  /  /

Signature – Must be signed pen to paper with the exception of using DocuSign

**For electronic signatures only**

- I/We agree that if I/we choose to execute this document which is required by the Participant, utilising DocuSign, I/we acknowledge that:
  - a. I/we are signing this application form electronically and that my/our electronic signature is equivalent to my/our 'wet ink' signature;
  - b. I/we are legally bound to the terms and conditions of this form; and
  - c. I/we confirm that my/our electronic signature is valid and that I/we are authorised to enter into the relevant agreement with the Participant as described in this form.

**Applicant 2 – If applicable**

Full name  Date signed – DD/MM/YYYY  /  /

Signature – Must be signed pen to paper with the exception of using DocuSign

 If there are more than 2 applicants, please photocopy this page and attach it to your application.

**6. Adviser Declaration and Signature**

1. As the adviser, I agree that the above client/s has/have been provided with the Financial Services Guide prior to receiving any financial service from AUSIEX and the client/s has/have also been supplied with the following documents, including but not limited to the:
  - International Markets Trading Terms and Conditions;
  - International Markets Exchange Rules and Market Conduct Information;
  - Share Trading Terms and Conditions;
  - Privacy Policy.
2. I have been appointed by the applicant/s as their client adviser and I have identified the applicant/s.
3. AUSIEX is authorised to take instruction/s from this client's adviser on behalf of the applicant/s.

**Adviser**

Full name  Date signed – DD/MM/YYYY  /  /

Signature – Must be signed pen to paper with the exception of using DocuSign

**For electronic signatures only**

- I/We agree that if I/we choose to execute this document which is required by the Participant, utilising DocuSign, I/we acknowledge that:
  - a. I/we are signing this application form electronically and that my/our electronic signature is equivalent to my/our 'wet ink' signature;
  - b. I/we are legally bound to the terms and conditions of this form; and
  - c. I/we confirm that my/our electronic signature is valid and that I/we are authorised to enter into the relevant agreement with the Participant as described in this form.

## Explanatory Notes

### 1. Australian Business Number (ABN), Tax File Number (TFN) or Exemption Code

Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy. If you quote your TFN or ABN, you authorise AUSIEX to disclose it to its related bodies corporate, ASX Settlement Corporation, the provider of your cash management account, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.

### 2. Tax Identification Number (TIN)

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries.

A compilation of links to information about TINs for many countries can be found here: <http://www.oecd.org/>

Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in United Kingdom, Permanent Account Number (PAN) in India, IRD Number in New Zealand, and Tax Reference Number (TRN) in Malaysia.

### 3. Source of Funds and Source of Wealth

#### Source of Funds:

The origin and the means of transfer of the funds to service the new product (e.g. salary/wages, business income)

- |                            |                         |  |
|----------------------------|-------------------------|--|
| • Salary/Wages             | • Loan                  | • Inheritance                          |
| • Commission               | • Insurance payment     | • Gift/Donation                        |
| • Bonus                    | • Compensation payment  | • Windfall                             |
| • Business income/earnings | • Government benefits   | • Tax refund                           |
| • Business Profits         | • Sales of an asset     | • Additional Sources (provide sources) |
| • Rental income            | • Liquidation of assets |  |
| • Superannuation/pension   | • Redundancy            |  |

#### Source of Wealth:

The origin of your financial standing or total net worth (e.g., how you have generated your wealth)

- |                              |                              |  |
|------------------------------|------------------------------|--|
| • Business income/earnings   | • Insurance payment          | • Sale of assets                       |
| • Business profits           | • Investment income/earnings | • Superannuation/pension               |
| • Compensation payment       | • Liquidation of assets      | • Windfall                             |
| • Employment income/earnings | • Owns real estate/property  | • Additional Sources (provide sources) |
| • Gift/Donation              | • Redundancy                 |  |
| • Government benefits        | • Refused to answer          |  |
| • Inheritance                | • Rental income              |  |

## 7. Complete your Form W-8BEN

### What is Form W-8BEN?

Form W-8BEN is a tax form required by the United States Internal Revenue Service (IRS).

### Who must complete Form W-8BEN?

Form W-8BEN must be completed by clients operating International Securities Trading Accounts. IRS regulations require a separate W-8BEN Form from each party to the joint account.

### Purpose of Form W-8BEN

Form W-8BEN establishes that you are not a U.S. person for tax purposes and, if applicable, allows you to claim a reduced rate of, or exemption from, U.S. withholding tax on income derived from U.S. shares.

### Expiration of Form W-8BEN

The W-8BEN will remain in effect for a period starting on the date the form is signed and ending on the last day of the third succeeding calendar year, unless a change of circumstances makes any information on the form incorrect.

**i** No alterations or liquid paper (correction fluid) on the W-8BEN-E Form. Crossing out or scribbling are NOT accepted and will lead to rejection of the form.

**DO NOT** complete this form if you are a U.S. citizen or green card holder.

We are unable to accept DocuSign signatures for W-8BEN forms. Please print and sign this form pen to paper.

Please note that you have obligations under U.S. tax laws to provide information necessary for U.S. tax withholding and reporting requirements. The information below has been provided to assist you with your obligations, however, you should ensure that you understand your obligations before completing and returning the forms to AUSIEX. AUSIEX is unable to provide you with advice in relation to your obligations or the U.S. tax consequences of your investment. For further advice contact the IRS or your U.S. tax adviser. **To view IRS instructions on completing these forms go to [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben).**

Sections to Complete	Guidelines on Completion
<p>REQUIRED:</p> <p>Part 1: 1, 2, 3, 6 &amp; 8 Part II. Sign Part III.</p>	<p>See SAMPLE form on page 13.</p> <ul style="list-style-type: none"> <li>• Question 1 - Your name must match the name on your ID &amp; the AUSIEX International Markets Account Application form (do not use initials or designation).</li> <li>• Question 2 - Enter country of citizenship as supported by your passport/ID.</li> <li>• Question 3 - Must be an Australian residential address &amp; match the residential address on your AUSIEX International Markets Account Application form, and ID.</li> <li>• Question 4 - Insert mailing address, (if address is not the same as the residential address).</li> <li>• Question 6 - If you are an Australian tax resident please complete 6b.</li> <li>• Question 8 - Date of Birth MUST be completed in U.S. date format (MM/DD/YYYY).</li> <li>• Part II: Enter Country of Residence</li> <li>• Sign Part III and date in U.S. format (MM/DD/YYYY). Print full name of signer.</li> </ul>

The AUSIEX International Markets service ("International Markets" or "International Trading") is an international share trading, nominee and custody service provided by Australian Investment Exchange Limited ("AUSIEX") ABN 71 076 515 930, AFSL 241400, a wholly owned subsidiary of Nomura Research Institute, Ltd. ("NRI").

## How to submit your documents

### Clients

Please provide your completed and signed form with relevant supporting documents to your adviser.

If you are required to send Original Certified Copies of documents please send via post to:

**AUSIEX, Locked Bag 3005, Australia Square NSW 1215**

1800 252 351 | [international@ausiex.com.au](mailto:international@ausiex.com.au) | [ausiex.com.au](http://ausiex.com.au)

### Advisers

Lodge this form and all supporting documents  
**[ausiex.com.au](http://ausiex.com.au) > Administration > eSubmit**



**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner <b>Jane Mary CITIZEN</b>	<b>2</b> Country of citizenship <b>AUSTRALIA</b>
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route) <b>1 SAMPLE STREET</b> City or town, state or province. Include postal code <b>KEW VIC 3101</b>	<b>Do not use a P.O. box or in-care-of address.</b> Country <b>AUSTRALIA</b>
<b>4</b> Mailing address (if different from above) <b>PO BOX 11</b> City or town, state or province. Include postal code where appropriate. <b>BONDI NSW 2026</b>	Country <b>AUSTRALIA</b>
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
<b>6a</b> Foreign tax identifying number (see instructions)	<b>6b</b> Check if FTIN not legally required <input type="checkbox"/>
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions) <b>07-29-1983</b>

Your name in Part 1 needs to match the application and your ID documents

As supported by your Passport/Drivers Licence

Residential address must match the application and your ID documents

For new accounts leave blank

**Part II Declaration of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

I, the beneficial owner, am a resident of **AUSTRALIA** in the meaning of the income tax treaty between the United States and that country.

**9** Enter **AUSTRALIA** if you're a resident of Australia

**10** Date of birth (MM/DD/YYYY) (see instructions)  
**07/29/1983**

**11** Check if TIN not legally required

For new accounts leave blank

D.O.B. must be completed in U.S. date format MM/DD/YYYY

Please tick this box if TIN not legally required

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or

This must be ticked to certify capacity to sign for the person identified on line 1 of this form

Account holder to sign by hand

Must be completed in U.S. date format MM/DD/YYYY

Sign Here

I certify that I have the capacity to sign for the person identified on line 1 of this form.

*Jane Mary Citizen*  
Signature of beneficial owner (or individual authorized to sign for beneficial owner)

**05-22-2022**  
Date (MM-DD-YYYY)

**Jane Mary CITIZEN**  
Print name of signer

**AFFIDAVIT FOR UNCHANGED STATUS:** under penalties of perjury, I declare that I have examined and signed the above Form W-8BEN and that the information on this form is true, correct and complete for the period beginning \_\_\_\_\_ to the present, and were true, correct and complete for those years. (Please print name of Signer. If this is the same person as stated in Part I. You must use the same name including middle names.)

**SIGN HERE** \_\_\_\_\_ DATE (MM/DD/YYYY) \_\_\_\_\_

Print name of Signer. If this is the same person as stated in Part I. You must use the same name including middle names

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury  
Internal Revenue Service

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

- ▶ For use by individuals. Entities must use Form W-8BEN-E.
- ▶ Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)			
6a Foreign tax identifying number (see instructions)		6b Check if FTIN not legally required . . . . . <input type="checkbox"/>	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**  I certify that I have the capacity to sign for the person identified on line 1 of this form.

\_\_\_\_\_  
Signature of beneficial owner (or individual authorized to sign for beneficial owner)      Date (MM-DD-YYYY)

\_\_\_\_\_  
Print name of signer

**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 25047Z

Form **W-8BEN** (Rev. 10-2021)

**AFFIDAVIT FOR UNCHANGED STATUS:** under penalties of perjury, I declare that I have examined and signed the above Form W-8BEN and that the information and certifications contained therein remained the same and unchanged for the period beginning \_\_\_\_\_ to the present, and were true, correct and complete for those years. (Please attach a separate statement if any information has changed).

**SIGN HERE** \_\_\_\_\_

**DATE (MM/DD/YYYY)** \_\_\_\_\_

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury  
Internal Revenue Service

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

- ▶ For use by individuals. Entities must use Form W-8BEN-E.
- ▶ Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)			
6a Foreign tax identifying number (see instructions)		6b Check if FTIN not legally required . . . . . <input type="checkbox"/>	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

- 9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- 10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**  I certify that I have the capacity to sign for the person identified on line 1 of this form.

_____	_____
Signature of beneficial owner (or individual authorized to sign for beneficial owner)	Date (MM-DD-YYYY)
_____	
Print name of signer	

**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 25047Z

Form **W-8BEN** (Rev. 10-2021)

**AFFIDAVIT FOR UNCHANGED STATUS:** under penalties of perjury, I declare that I have examined and signed the above Form W-8BEN and that the information and certifications contained therein remained the same and unchanged for the period beginning \_\_\_\_\_ to the present, and were true, correct and complete for those years. (Please attach a separate statement if any information has changed).

**SIGN HERE** \_\_\_\_\_

**DATE (MM/DD/YYYY)** \_\_\_\_\_