FORM 1

Application for an Individual or Joint Account

PATERSONS

1. GUIDE TO CORRECTLY REGISTERING YOUR ACCOUNT

Please indicate the type of account you wish to open, by selecting the appropriate box below. Please use this table to ensure that your account name and designation (if applicable) is correctly registered and that the relevant parties sign this application form.

Type of Account (please select)	Registered Account Name			Registered Account Designation		Application Form must be signed by
	Guidelines for completion	✓ CORRECT	× INCORRECT	Guidelines for completion	✓ CORRECT	
☐ Individual	Use full name not initials	Mr Peter Gary Jones	Mr P J Jones	Optional	-	Individual account applicant
☐ Joint	Use full names not initials	Mr Peter Gary Jones + Mrs Kate Anne Jones	Mr P G Jones + Mrs K A Jones	Optional	-	All account applicants
☐ Superannuation Fund	Use the name of the individual trustee(s). Do not use the name of the fund	Mr Eric John Smith	Eric Smith Superannuation Fund	Use fund name, do not use the word 'trust'	<Eric Smith Super Fund> <Eric Smith SF>	The Trustee(s)
☐ Partnership	Use partners' personal names, do not use the name of the partnership	Mr Peter Gary Jones + Mr Eric John Smith	Jones Smith & Co	Use partnership name	<Jones Smith & Co>	The Partners
☐ Trust (formal)	Use trustee(s) personal name(s)	Mrs Kate Anne Jones	Kate Jones Family Trust	Use the trust name, but you MUST omit the word 'trust'	<Kate Jones Family>	The Trustee(s)
☐ Trust (informal e.g. for minors)	Use trustee's full name	Mr Peter Gary Jones	Mr Peter Gary Jones as Trustee for Emma Jones	Use the minor's name. Do not use the word 'trust'	<Emma Jones>	The Parent(s) or Guardian
☐ Deceased Estate	Use executor(s) full name(s), do not use the name of the deceased	Mr Jason Paul Smith	Estate of the Late Eric Smith	Use the name of the deceased	<Estate Eric Smith>	The Executor(s)

2. YOUR TENTATIVE ACCOUNT DETAILS

If you have already provided your Adviser with account opening details over the phone, your tentative account details are outlined in Box 1.

BOX 1

Your tentative account details have <u>not</u> been supplied over the phone.

Please complete <u>ALL</u> Sections 1, 3-15.

BOX 2

✓ **IF CORRECT**

a) Please tick box. ☐

b) Please complete Sections 1 & 6-15

BOX 3

× **IF INCORRECT**

Please complete Sections 1 & 3-15

3. NAME OF INDIVIDUAL/JOINT APPLICANT(S)

The account details indicated below will reflect the permanent name used to register your shares and will appear on your CHESS or share registry statements. Please note that the Rules of Registration from the Australian Stock Exchange allow no more than three joint applicants on any one trading account and that full names must be provided at all times.

Account Holder #1 (Primary Account Holder)

Title: Given name(s) *(do not use initials)*:

Surname:

Account Holder #2

Title: Given name(s) *(do not use initials)*:

Surname:

Account Holder #3

Title: Given name(s) *(do not use initials)*:

Surname:

4. YOUR ACCOUNT DESIGNATION

Allocating an account designation can assist you to distinguish between trading accounts, should you have multiple trading accounts, or where applicants are acting as trustees. Please refer to the table on page 1 to guide you in correctly designating your account.

Please note an account designation can not exceed 26 characters, including spaces.

< A / C >

5. REGISTERED ADDRESS FOR THIS ACCOUNT

The address details provided below will be the permanent address used to register your shares and will appear on your CHESS or Share Registry Statements. Any amendment to this address will need to be notified in writing and signed by all account holders.

Address:

Suburb:

State: Postcode:

Country (if not Australia):

6. OTHER ADDRESS DETAILS FOR THIS ACCOUNT

Permanent Postal Address (if different to Registered Account Address)

This permanent postal address will be the address that all confirmations and any communication from Patersons will be mailed to. The Permanent Postal Address MUST be that of an account holder and NOT of an Authorised Agent.

Address:

Suburb:

State: Postcode:

Country (if not Australia):

Residential Street Address (if different to Postal Address)

A residential street address MUST be provided when opening an account. If the same as the Permanent Postal Address please write 'As Above'.

Address:

Suburb:

State: Postcode:

Country (if not Australia):

7. INDIVIDUAL/JOINT APPLICANT(S) DETAILS

IMPORTANT NOTE

Proof of Identification - All account applicants must submit a copy of their current driver's licence with this application in order for it to be valid. Alternatively, if a driver's licence is not held, then a copy of another form of identification must be attached e.g. current passport or birth certificate.

Tax File Number (TFN) - The provision of your TFN is not compulsory but failure to disclose a valid TFN or exemption code may result in TFN withholding tax being deducted from earnings on your investments.

Account Applicant #1 (Primary Account Holder)

Date of Birth: / / ☐ Male ☐ Female ☐ Australian Resident ☐ Non-Resident

Occupation:

Employer:

Home Phone: ( ) Business Phone: ( )

Mobile: Facsimile: ( )

Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Defacto Number of dependents:

Type of Identification Provided: ☐ Current Passport ☐ Birth Certificate ☐ Driver's Licence - No.:

Tax File No. or Exemption Code:

Account Applicant #2

Date of Birth: / / ☐ Male ☐ Female ☐ Australian Resident ☐ Non-Resident

Occupation:

Employer:

Home Phone: ( ) Business Phone: ( )

Mobile: Facsimile: ( )

Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Defacto Number of dependents:

Type of Identification Provided: ☐ Current Passport ☐ Birth Certificate ☐ Driver's Licence - No.:

Tax File No. or Exemption Code:

Account Applicant #3

Date of Birth: / / ☐ Male ☐ Female ☐ Australian Resident ☐ Non-Resident

Occupation:

Employer:

Home Phone: ( ) Business Phone: ( )

Mobile: Facsimile: ( )

Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Defacto Number of dependents:

Type of Identification Provided: ☐ Current Passport ☐ Birth Certificate ☐ Driver's Licence - No.:

Tax File No. or Exemption Code:

8. PREFERRED CONTACT FOR THIS ACCOUNT

The preferred contact for this account will be the account holder whom Patersons will contact with any queries on this account.

☐ Account Applicant #1 (Primary Account Holder) ☐ Account Applicant #2 ☐ Account Applicant #3

Please indicate preferred means of contact ☐ Home phone ☐ Work phone ☐ Mobile ☐ Facsimile ☐ Email

9. AUTHORISED AGENT FOR THIS ACCOUNT

IMPORTANT NOTE

If Power of Attorney, please include a certified copy of the Power of Attorney with this application.

An Authorised Agent is a person, other than the account holder(s), from whom you authorise Patersons to accept instructions on this account until revoked in writing. An Authorised Agent can be a family member (e.g. husband, sister, uncle), someone who holds a Power of Attorney, your accountant, or representative of the Authorised Agent's company (e.g. a representative of your financial planner), but NOT your Patersons Adviser. An Authorised Agent needs to supply original certified identification.

Please refer to Patersons Terms and Conditions for further information regarding Authorised Agents.

Title: Given name(s) *(do not use initials)*:

Surname:

Relationship:

Address:

Suburb:

State: Postcode:

Country
(if not Australia):

Business Phone: ( ) Business Facsimile: ( )

Mobile:

Email:

Copy of Confirmations to be forwarded to Authorised Agent: Yes ☐ No ☐

SIGNATURE

AUTHORISED AGENT **DATE SIGNED**

SIGN HERE / /

10. PATERSONS SETTLEMENT OPTIONS

Please indicate your preferred settlement option for this account by selecting the appropriate boxes. This will be used until you notify us otherwise.

☐ **OPTION 1 Please send me a Product Disclosure Statement so I may consider establishing an account with (tick applicable account):**

☐ BankWest Money Market Account*
☐ Patersons Cash Management Service
☐ Adelaide Cash Management Trust

Please refer to the enclosed Money Market & Cash Management Services brochure to assist you in choosing which account best suits your needs.

* Should you choose a BankWest Money Market Account, we will forward a Product Disclosure Statement to you and, subject to the authorisation contained in Section 15 of this application form, an account will be automatically opened for you.

OR

☐ **OPTION 2 Please establish Patersons as the Authorised Operator on my existing Money Market Account (tick applicable account):**

☐ BankWest Money Market Account
☐ Patersons Cash Management Service
☐ Adelaide Cash Management Trust
☐ Other (please specify):

Account Name:

Branch Name:

BSB No.: Account No.:

We will forward a form to you from the relevant product issuer to instruct them to appoint Patersons as the Authorised Operator. Patersons will then sweep funds to your account for sales and withdraw funds to pay for purchases or otherwise act in accordance with your instructions.

OR

☐ **OPTION 3 Please credit my/our bank with the proceeds of sale(s) arising from this nominated account (where the above options have NOT been completed).**

Account Name:

Bank Name:

Branch Name:

BSB No.: Account No.:

OR

☐ **OPTION 4 Margin Lending settlement details (if you have a margin lending account, please complete this Section):**

Patersons accepts no responsibility to determine if the client satisfies the Margin Lender's requirements.

Name of Lender:

A/C Name:

Contact Name:

A/C No:

HIN/SRN:

OR

☐ **OPTION 5 I would prefer to receive proceeds by cheque.**

DIRECT DEBIT

Patersons can arrange to Direct Debit a specified bank account in order to settle amounts owing on your account. To access this facility the enclosed Direct Debit Agreement and DDR Authorisation Form must be completed and returned to Patersons.

11. PROVISION OF PERSONAL INFORMATION

To enable Patersons to discharge its obligations under the Corporations Act, we are obliged to ask you for particulars of your investment objectives, financial situation and particular needs, in order to give advice which is appropriate to your requirements. Please be assured that this information will be treated confidentially. However, if you choose NOT to divulge this information, then you should consider the appropriateness of any advice we give you having regard to all your relevant personal circumstances.

1. What is your investment experience?

- ☐ First time
- ☐ Inexperienced
- ☐ Experienced

2. Have you previously dealt with another broker?

- ☐ Yes
- ☐ No

3. Which of the following investment objectives would you consider is/are important to you? (You may choose more than one):

- ☐ Preservation of capital ie. that the money invested will not fall in value
- ☐ Need for regular income from the investments
- ☐ Opportunity for capital growth
- ☐ Desire for balance between income and growth
- ☐ Opportunity for profit through short term trading
- ☐ Need to be able to readily cash-in the investment
- ☐ Minimising fees and costs

4. What is your attitude to risk? (You may choose more than one):

- ☐ I do not feel comfortable that my investments may fall in value.
- ☐ I am aware that investment values may fall as well as rise and feel comfortable with accepting that risk.
- ☐ My lifestyle will suffer if the capital value or dividends (yield) on the portfolio do not perform as expected.
- ☐ I am willing to accept short term fluctuations in my portfolio with the objective of achieving longer term growth.
- ☐ I am willing to take a high degree of risk to potentially achieve higher returns.

5. Based on your circumstances, how would you classify your investor profile?

- ☐ **Conservative** - An investor constructing a longer term, diversified portfolio with an objective of achieving a satisfactory long term rate of return but accepting some volatility of returns. Specifically excludes aggressive investments and short term market plays.
- ☐ **Balanced** - An investor broadly encompassing the strategies of a conservative investor and including selected market trading opportunities from time to time.
- ☐ **Aggressive** - An investor who adopts a high risk/high return philosophy to investment, accepting the possibility of high losses and is not concerned about balance in the portfolio.

6. What is the approximate value of your current investment portfolio? (If a joint account, please provide the combined portfolios which you wish us to use to assess your needs.)

- ☐ Property (excluding own home) $__________
- ☐ Shares $__________
- ☐ Cash and fixed interest $__________
- ☐ Managed funds $__________
- ☐ Other $__________
- ☐ Total debt $__________

7. What is the approximate value of your total net assets ie. including your home, outstanding mortgages, investment portfolio etc? (If a joint account, please combine total joint net assets to give a combined value.)

- $0 - $50,000 ☐
- $50,001 - $100,000 ☐
- $100,001 - $300,000 ☐
- $300,001 - $500,000 ☐
- $500,001 - $1,000,000 ☐
- $1,000,001 - $2,500,000 ☐
- $2,500,001 plus ☐
- Not disclosed ☐

8. What has been your gross annual income from all sources for each of the last two years? (if a joint account, please combine joint gross annual incomes to give a combined value.)

- $0 - $30,000 ☐
- $30,001 - $50,000 ☐
- $50,001 - $100,000 ☐
- $100,001 - $250,000 ☐
- $250,001 plus ☐
- Not disclosed ☐

9. Are there further details or needs you consider relevant to your particular investment requirements? (eg. tax position, social security entitlements, family commitments, employment security and expected retirement age.)

____

____

____

10. What are your specific areas of interest in the stock market?

- ☐ Consumer Discretionary
- ☐ Consumer Staples
- ☐ Energy
- ☐ Financials
- ☐ Health Care
- ☐ Industrials
- ☐ Information Technology
- ☐ Materials
- ☐ Telecommunications Services
- ☐ Utilities
- ☐ Other (please specify):

____

11. How did you hear of Patersons?

- ☐ Advertising (includes TV, Radio & Print)
- ☐ Attended seminar
- ☐ Contact via Patersons Adviser
- ☐ Internet (Patersons website/Search engine)
- ☐ Referral from Accountant/Financial Adviser/Lawyer
- ☐ Yellow Pages
- ☐ Referral from Friend/Relative/Colleague/Existing Client
- ☐ Marketing mailing (email/letter)

12. PATERSONS ONLINE REGISTRATION

IMPORTANT NOTE

It will take two working days from the receipt of this form to give you access to Patersons Online and forward your username and password to you via the email address provided.

Receive access to the password protected, clients only, secure Section of our website by registering here.
Patersons Online enables access to our wealth of highly regarded Research 24 hours a day, seven days a week; buy and sell shares online during trading hours; obtain a valuation of your share portfolio; see your settled and pending transactions; get snap quotes, view the market depth and your watch lists; and make use of the charting tools to model market trends.

TO REGISTER

Tick the box that applies to you, completing any additional details required.

Nominate the account holder to be given access to Patersons Online for this trading account.

☐ Account Holder #1 (Primary Account Holder) **OR** ☐ Account Holder #2 **OR** ☐ Account Holder #3

Please confirm the email address of the nominated account holder:

NB: Once the account is registered, additional access by other account holders can be administered using Patersons Online.

OR

☐ **I am an existing Patersons client, however I am not registered for Patersons Online access. Please provide me with online access to this account, and others (if applicable) as indicated below.**

Existing Patersons Accounts that you also wish to be given Patersons Online access to:

Account No.:	Account No.:
Account No.:	Account No.:
Account No.:	Account No.:

OR

☐ **I am a new Patersons client and have previously been registered for 'limited' Patersons Online access. Please provide me with 'full' online access to this account.**

My current user name is:

13. ELECTRONIC ACCESS

Patersons offers you automatic electronic delivery of confirmations; various forms of research on a daily basis; and notification of floats and new issues. If you would like to receive any of the following services, please tick the appropriate boxes below:

☐ **Confirmations** - receive your buy and sell confirmations via email or facsimile on the day of the transaction, allowing you to avoid the delay experienced in receiving your confirmations via post, assisting you in settling your trade within the three (3) days required by the Australian Stock Exchange.

Please provide your email address or facsimile as appropriate.

Email Address:

OR

Fax:

AND

Send a copy of my confirmations to:

☐ **PS Today** - receive our intra-day electronic documenting market movements of the day, market news and our view on specific stocks.

☐ **Your Market Daily** - a morning summary of overnight market movements.

☐ **Market Wrap** - a weekly newsletter covering marketing news, views on the ASX 200 and Patersons recommended stocks.

To receive Research Notes on Stocks of Interest please contact your Patersons Adviser. These can also be accessed via Patersons Online.

14. LIMITED POWER OF ATTORNEY FOR REGISTRATION DETAILS

IMPORTANT NOTE

This Section does not apply to applicants with addresses in Tasmania. This Section must be read by all other applicants.

NOTE: Unless you tick the box below, by signing Section 15 of the Individual/Joint New Account Application Form, you will be appointing Patersons and its authorised representatives as your Attorney under this Limited Power of Attorney set out in Section 15.

If a shareholder previously held shares via certificates or Issuer sponsorship, it is not uncommon for the registration details to differ from holding to holding (see example below). The Limited Power of Attorney set out below authorises Patersons Securities Limited ('Patersons') to make minor corrections to your existing registration details to streamline the CHESS sponsorship process. This will eliminate the inconvenience of having to provide additional documentation to confirm your details, if a discrepancy is detected. By signing the Limited Power of Attorney, you authorise Patersons to make such corrections on your behalf.

We will assume that the details you provide in Section 2, 3, 4, 5 & 6 of this Application Form are correct. Patersons staff can then amend your registration details to ensure they are consistent with your Patersons account details only if there is a discrepancy.

Example

Account details provided in Section 2, 3, 4, 5 & 6: Mrs Kate Ann Jones, 6 Smith Street South Perth WA 6151

Correction

Registration details: Mrs Kate Anne Jones, 6 Smith Street South Perth WA 6152

If you wish to provide Patersons with the authority to make these minor amendments to your registration details, you will do so by signing Section 15. If you do not wish Patersons to have this authority, you must indicate this below.

Please note in accordance with our Terms & Conditions, we still require written notice of any changes to name, address or other relevant personal details; and this Limited Power of Attorney will not allow Patersons to act on your behalf in relation to your account.

☐ **Tick this box if you DO NOT wish to appoint Patersons and its representatives as your Attorney under the Limited Power of Attorney for registration details which authorises Patersons to make minor corrections to your existing registration details to streamline the CHESS sponsorship process.**

15. EXECUTION AGREEMENT

IMPORTANT NOTE **To be completed by all Account Applicants**

Agreement to Terms & Conditions

In signing this Application Form, all Account Holders declare, agree and acknowledge that they have read and understood and agree to the terms and conditions accompanying this application form as amended from time to time and notified to me/us in writing.

Provision of Personal Information

I/we hereby declare that the information set out in this document is true and correct to the best of my/our knowledge. I/we are not aware of any other information that I/we have not disclosed to the person to whom this document is given which would be relevant to the advice given by an investment adviser. I/we give permission for this information to be used for the preparation of my/our financial advice and I/we understand that the advice will be based solely on the information supplied by us. I/We acknowledge that Patersons does not have any liability for advice given to the extent that the information I/we have provided to Patersons is incomplete or inaccurate and that it may result in investment decisions which are not suitable to my/our personal circumstances.

If there is a material change in my/our current financial position, I/we will advise Patersons of the change so that you can reassess any advice based on the information I/we have supplied to you.

Confirmations

I/We authorise ALL confirmations for this account to be forwarded as directed in Section 13. If not indicated in Section 13, I/we understand these will be mailed to my/our preferred postal address.

Tax File Number or Exemption Code

I/We give permission for my/our tax file number(s) or exemption code, as provided, to be kept on file and forwarded to financial institutions as requested or as necessary.

BankWest Money Market Account (if applicable)

Subject to my/our nomination of the establishment of a BankWest Money Market Account as my preferred Settlement Option in Section 10, I/We authorise Patersons Securities Limited as my agent to:

1. Open, operate, close or make any arrangements in relation to a money market account in my/our name with BankWest;
2. Deposit credit balances on my/our trading account(s) held with Patersons to my/our BankWest account or make withdrawals to settle debit balances on my/our trading account(s) or otherwise deposit or withdraw monies as instructed by me/us via the Patersons trust account.
3. Disclose to BankWest any personal information in order to open and administer the account. I/We acknowledge that I/we may request access to that personal information from BankWest;
4. Receive a commission of 0.25% p.a. from BankWest, or such other amount as agreed from time to time between BankWest and Patersons and disclosed to me/us;
5. Be the authorised operator of the account for issue of instructions to BankWest.

If the account is opened with a foreign address or the account is not held by an Australian resident, I instruct BankWest to deduct any applicable withholding tax from the interest payable on the account.

Limited Power of Attorney

I/We, unless I/we have an address in Tasmania or have indicated otherwise in Section 14 of the Individual/Joint Account Application Form, appoint Patersons Securities Limited ('Patersons') and each person appointed by Patersons severally (each referred to as 'Attorney') as my/our Attorney to do in the name of me/us on my/our behalf everything necessary or expedient to:

- execute and deliver any document necessary to ensure that the registration details of securities or investments of me/us contains my/our true name, registration address and other necessary personal information as set out in Section 2 or Sections 3, 4 & 5 of the Individual/Joint Account Application Form; and
- appoint one or more substitute Attorneys to exercise one or more powers given to the Attorneys and to revoke any of those appointments.

I/We indemnify the Attorney against liability, loss, cost, charges or expenses arising from the exercise in good faith of powers granted under this Limited Power of Attorney.

SIGNATURE

ACCOUNT APPLICANT #1 (Primary Account Holder)	DATE SIGNED
SIGN HERE	/ /

ACCOUNT APPLICANT #2	DATE SIGNED
SIGN HERE	/ /

ACCOUNT APPLICANT #3	DATE SIGNED
SIGN HERE	/ /

OFFICE USE ONLY

Adviser Code:		*Adviser Signature:*		*Mailing Indicator:*	
Account No.:		*Date Opened:*		*Client Classification:*	*A* ☐ *B* ☐ *C* ☐
Authorised by:		*Date:*			
Input by:		*Date:*			

PATERSONS
OUR EXPERIENCE. YOUR ADVANTAGE.

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Participant of ASX Group; Securities & Derivatives Industry Association Principal Member; Financial Planning Association Principal Member

PS-F1