

ORD MINNETT

PRIVATE WEALTH

Ord Minnett Limited

ABN 86 002 733 048

AFSL 237121

Ord Minnett Management Limited

ABN 55 002 262 240

AFSL 237123

ARSN 090 714 588

Client Application Form – Combined

Equities Account
Exchange Traded Options
Cash Management Trust
Portfolio Administration and Reporting Services
Term Deposits



How to Complete the Application Form

Account Name and Designation

If you are investing for:	The account must be in the name of:	Example:	Refer application form section
Individual/s	Full names of each applicant	Mr John Smith Mrs Mary Smith	3) Investor 1 3) Investor 2 3) Investor 3
Company or incorporated body	The company	John Smith Pty Ltd	5) Company name
Trust	(a) The Trustees for the Trust is a company	John Smith Pty Ltd <Smith Family A/C>	4) Trustee Company 4) Account designation
	(b) The Trustees for the Trust are individuals	Mr John Smith and Mrs Mary Smith <Smith Family A/C>	4) Trustee individual 1 4) Trustee Individual 2 4) Trust/Fund name
Superannuation Fund	(a) The Trustees for the Superannuation fund is a company	John Smith Pty Ltd <Smith Super Fund A/C>	4) Trustee company 4) Account designation
	(b) The Trustees for the Superannuation fund are individuals	Mr John Smith and Mrs Mary Smith <Smith Super Fund A/C>	4) Trustee 1 4) Trustee 2 4) Account designation
Partnership	The Principals	Mr John Smith and Mrs Mary Smith <Smith A/C>	3) Investor 1 3) Investor 2 3) Account designation
Sole Trader / Business	The Principal	Mr John Smith <Smith Garden Services A/C>	3) Investor 1 3) Account designation
Unincorporated body	Individual/s on behalf of the unincorporated body	Mrs Mary Smith <North Sydney Soccer Club A/C>	3) Investor 1 3) Account designation
Deceased estate	The Executors of the estate	Mrs Mary Smith <Est Sally Brown A/C>	3) Investor 1 3) Account designation
Minor (a person under the age of 18 years)	The responsible adult, with the minor as the designation	Mr John Smith <Harry Smith A/C>	3) Investor 1 3) Account designation

Please tick the appropriate box in Section 2 of the Application Form to nominate the type of Account you are opening with Ord Minnett.

How to Complete the Application Form

Equities Application Form

1. Products

You need to choose the financial products and services you require and then complete the appropriate sections.

2. Type of Account

Investor Details

Please refer to the table on page 3 for guidance about which application sections to complete.

3. Individual/Joint

You must provide your full name and date of birth.

Designation Section – if you would like to record a special purpose name on your account, you should complete the designation section. Please note it must not be longer than 24 characters (refer to the Account Name and Designation table).

4. Trusts, Superannuation Funds or other Entities

Please supply full names of the Trust, Type of Trust, whether it is a Family, SMSF, Unit, Charitable or estate, ABN / ACN, Contact Name, full Business name and Country where the trust was established.

You must provide the full names of all Trustees including dates of birth. If more than two, please provide on a separate sheet.

We may be required to obtain additional information to identify the controllers, settlors or beneficial owners of a trust where such information is necessary to ensure we are complying with our AML obligations.

Designation Section – if you would like to record a special purpose name on your account, you should complete the designation section. Please note that it must not be longer than 24 characters (refer to the Account Name and Designation Table).

Please note that Superannuation Funds must be complying funds under the Superannuation Industry (Supervision) Act.

5. Company Investor

Company or other Incorporated Bodies – Insert name of Company, Incorporated Association or other Body, the ABN/ ACN, Contact Name, full registered office address or principal place of business.

If you are overseas based, there may be extra Identification needed. Please contact your Ord Minnett Adviser for further details.

5A. Beneficial Owners (Trust and Company Accounts)

If you are opening a:

- **Company account** please list below each shareholder who has an entitlement to **25% or more of the issued shares** of the company.
- **Trust account** please list each **beneficiary** who has an entitlement to **25% or more of the property of the trust**.

Please provide identification for each person listed in this section as per the requirements for an individual investor.

6. Contact Details

A residential address or registered office **must be** provided. A PO Box alone is **not** acceptable.

Electronic Research

If you elect to receive Ord Minnett research electronically, please nominate your email address.

Confirmation of Transactions

If you have provided your email details in this section then your transaction confirmations will be sent electronically. Paper based confirmations will only be sent if email details are not provided or if you notify us in writing. Non-electronic confirmations may incur additional costs to you. Please refer to the Terms and Conditions booklet.

7. Identification

Please attach a certified copy of the required identification. Refer page 8 for details of acceptable identification.

8. Tax File Number

You do not have to provide us with your Tax File Number (TFN). However, if you choose not to do so, PwC are required to deduct tax from any income payable at the highest personal rate, including the Medicare levy.

If you are exempt from providing a TFN, please write the reason for your exemption in the TFN Exemption box. Where the account is opened on behalf of a minor, the TFN of the parent/guardian will be recorded.

Collection of TFNs is authorised by tax laws and the Privacy Act 1988.

Should you choose to provide Ord Minnett with a TFN we will automatically apply the TFN against future investments (unless you specify you do not wish to apply your TFN against a particular investment).

We will also use your TFN in circumstances where such use will facilitate the administration of your portfolio and/or the transfer of your securities.

The lawful purposes for which your TFN can be used and the consequences of not quoting your TFN may change in the future as a result of legislative changes.

9. Authority for someone to act on your behalf (optional)

By filling in this section you are authorising this person to act on your behalf. Please refer to the Terms and Conditions booklet for authorities.

Identification requirements

You must provide identification which has been certified by an Acceptable Referee for the Authorised Agent who has signed this section of the Application Form, as per the identification requirements for an individual.

If you are overseas based, there may be extra identification required. Please contact Ord Minnett toll free on 1800 700 713 for further details.

How to Complete the Application Form

10. Settlement Banking Details

It is a mandatory condition of opening an account with Ord Minnett that you nominate your preferred settlement method from the options listed below.

Ord Minnett – Cash Management Trust If you would like your settlement funds to be swept to and from your Ord Minnett Cash Management Trust Account please provide your account details or, to open a new account, please complete from the Cash Management Trust Application Form which is at the back of this booklet.

Other Cash Management Trusts

You may elect to nominate another provider's Cash Management Trust which may require an additional authority form to be completed. Please complete a separate form if required and return with the Application Form. If no additional form is required then please complete the Banking Details Credit and Debit section.

Banking Details – Credit and Debit

If you have nominated your settlement preference to either debit and/or credit an external bank account, you have given Ord Minnett's Clearing Participant authority to debit and/or credit that account for the purpose of settling securities transactions.

BPAY - If you have elected to settle your purchases via the BPAY facility please ensure payment is made prior to 6.00pm the day before settlement date (as specified on the Confirmation Note) to ensure your transaction settles on time and avoid incurring financial penalties.

11. Sophisticated and Professional Investor Program

If you qualify as a Sophisticated or Professional Investor as listed in this section please provide the required certification or elections as requested.

12. Fixed Interest Securities Suitability Checklist

So that we can independently verify your suitability as a fixed interest client, each Investor must initial each of the statements if they wish to undertake transactions in fixed interest securities.

13. Personal Financial Information

Each person who has signed this Application Form should also complete the Personal Financial Information and Risk Profile.

The Australian Securities and Investments Commission (ASIC) which is the regulatory body that regulates Ord Minnett, enforces strict rules as to how advice can be given.

These rules mean that Ord Minnett must, before giving personal advice, conduct a thorough fact finding process and examine details such as your current financial situation, your personal and financial objectives, as well as your attitude to risk.

Ord Minnett strongly supports these rules as they protect the interests of investors, and provide transparent guidelines on how we offer, operate and conduct our services.

Accordingly, we appreciate you assisting us in completing this section of the Application Form.

Please note: if this section is not completed we can only provide you with general advice, that is, advice that does not address your individual needs.

If you are unsure about how to complete the Risk Profile, you should ask your Ord Minnett Adviser for assistance.

14. Chess Sponsorship

Chess Sponsorship has many benefits including:

1. Allowing you to easily keep track of your portfolio.
2. Making it easier to buy or sell.
3. Allowing you to easily update your personal details.

By default we will assume you wish to be CHESSE Sponsored by Ord Minnett and will establish your account on that basis. If you would prefer not to be CHESSE Sponsored by Ord Minnett please tick the relevant box to record your preference.

15. Acknowledgement and Signatures

By signing this Application Form, you have acknowledged that you have read the Trade Rules and Information and Terms and Conditions of Dealing with Ord Minnett Limited.

Each applicant (including joint applicants) must sign the application form. Note that if you do not provide all the information requested in the application form, we may not be able to process your application. Ord Minnett may at its absolute discretion refuse any application.

Company Accounts: Applications on behalf of companies must be signed by:

- i. Two directors or a director and the company secretary, or
- ii. The sole director (if applicable)

A company may execute the application form with or without a common seal.

If the company's constitution specifies another method of signing, please provide a copy of any authority appointing the authorised signatory (or signatories).

Incorporated and unincorporated associations: the Application Form must be signed in accordance with the constitution/rules. Please provide a copy to support this authority.

Power of Attorney: For applications signed under Power of Attorney, please provide an original certified copy of the Power of Attorney, a specimen signature and attach a certified copy of the required **identification of the Attorney**. We reserve the right to verify the validity of the Power of Attorney at any time.

Exchange Traded Options Application Form

16. Account name and Designation

Please provide account name and designation.

17. Date of Birth

For Individual / Joint Applications please provide date of birth.

18. Mailing address

Please provide your mailing address details.

19. Options Settlement

It is a mandatory requirement that options accounts are linked to an Ord Minnett Cash account or an approved margin lending facility.

20. Risk Disclosure

Please read this section to understand the General Risks associated with Exchange Traded Options trading.

21. Exchange Traded Options Suitability Checklist

So that we can independently verify your suitability as an options client, each Investor must initial each of the statements.

22. Acknowledgement and Signatures

Each applicant (including joint applicants) must sign the application form. Note that if you do not provide all the information requested in the application form, we may not be able to process your application. Ord Minnett may at its absolute discretion refuse any application.

23. Registered Holder Collateral Cover Authorisation

Please complete this section to allow your Chess Securities to be lodged with the ASX Clear Pty Ltd (ASX Clear) ABN 48 001 314 503 as security for margins payable to ASX Clear.

Ord Minnett Asset Management Application Form

The numbers below refer to sections of the client info. section.

24. Product Selection

Please select the products you wish to invest in.

25. Existing Investors

If you are investing in/updating an existing account, write your investor number here.

26. Individual(s)/Joint

If you are a new investor you must complete your full name and Place and Date of Birth.

Complete the Account Designation section if you would like to record a special purpose name on your account. Please note that joint accounts will be deemed to be held as joint tenants. (This means that each person holds an equal undivided share of the investment and in the event that one investor dies, the holding automatically passes to the surviving investor).

27. Trusts, Superannuation Funds and Other Entities

Please supply full names of the Trust, Type of Trust, whether it is a Family, SMSF, Unit, Charitable or estate, ABN / ACN, Contact Name, full Business name and Country where the trust was established.

You must provide the full names of all Trustees including dates of birth. If more than two, please provide on a separate sheet.

We may be required to obtain additional information to identify the controllers, settlors or beneficial owners of a trust where such information is necessary to ensure we are complying with our AML obligations.

Designation Section – if you would like to record a special purpose name on your account, you should complete the designation section. Please note that it must not be longer than 24 characters (refer to the Account Name and Designation Table).

Please note that Superannuation Funds must be complying funds under the Superannuation Industry (Supervision) Act.

28a. Company Investor

Company or other Incorporated Bodies – Insert name of Company, Incorporated Association or other Body, the ABN/ ACN, Contact Name, full registered office address or principal place of business.

If you are overseas based, there may be extra Identification needed. Please contact your Ord Minnett Adviser for further details.

28b. Beneficial Owners

(Trust and Company Accounts) If you are opening a:

- **Company account** please list below each **shareholder** who has an entitlement to **25% or more of the issued shares** of the company.
- **Trust account** please list each **beneficiary** who has an entitlement to **25% or more of the property** of the trust.

Please provide identification for each person listed in this section as per the requirements for an individual investor.

29. Contact details

A residential address or registered office must be provided by all investors. PO Box alone is not acceptable.

30. Tax File Number

Please refer to section 8 for further details.

31. Identification

Please attach an original certified copy of the required identification for each signatory. If you are overseas-based, there may be additional Identification needed.

32. Operating Authority

For joint accounts, please nominate signing instructions. If you do not specify, the default is that all investors must sign instructions provided to the responsible entity. For company accounts, please indicate signing instructions. If you do not specify, the default is that all signatories must sign.

33. Operating instructions

Please indicate if online services (CMT only), facsimile and telephone instructions are required. Please refer to the Facsimile and Telephone section of the Additional Information Guide.

34. Bank/financial institution account details

Please provide your Australian bank, building society or credit union account details if you choose to have your income paid

into this account. If you are unsure of any details please confirm with your financial institution. All account details will be treated as Nominated accounts and will be recorded and available for use through all requested redemption facilities.

35. Income distributions

Reinvest – If you wish to have your distribution reinvested into your account, please tick the “Reinvest in the Trust” box. **Direct Credit** – If you would like your distributions paid by electronic transfer to your Australian bank, building society or credit union account, place a tick in the “Direct to bank/financial institution account” box. If there is no nomination, reinvestment is the default option.

36. Investment details

Insert the amount of your initial investment and elect your preferred investment option. If you elect the cheque deposit option, please make your cheque payable to “Ord Minnett CMT <insert name of the Investor>”. If you elect Direct Deposit option please ensure these funds are deposited within 10 calendar days from the receipt of your Ord Minnett CMT banking details.

37. Audited Annual Financial Statements

The Audited Annual Financial Statement for both funds can be downloaded via our website at www.ords.com.au. In the event that you would like to receive a hard copy of these statements in the mail please forward a written request to – Ord Minnett Management Limited – 8/255 George Street, Sydney NSW 2000. Note: The Audited Annual Financial Statement does not replace your Monthly Transaction Statement and relates to the accounts of the relevant Fund only. If no instruction, online will be the default option.

38. Adviser remuneration

Set out your financial adviser details only if you have agreed for them to receive ongoing adviser remuneration from us (see Adviser Remuneration section of the Additional Information Guide). If you wish to nominate your adviser to instruct on your behalf please complete the relevant details. Refer to the Instructing Dealer section of the Additional Information Guide.

Portfolio Administration and Reporting Service

39. Account name and Designation

Please provide Account name and Designation

40. Nominated Service

Through its Portfolio Administration and Reporting Service, Ord Minnett offers both a Discretionary and a Non-Discretionary service.

A Non-Discretionary Account is one where Ord Minnett is authorised to act on your behalf in relation to the administration of your account, however your adviser cannot undertake any transaction on your account without your permission.

A Managed Discretionary Account (MDA) is one where your adviser is authorised to make investment decisions and trade on your behalf without first having contacted you.

You may choose which of these services you wish to

subscribe to by ticking the appropriate box. If you require further information about the costs and benefits of each service you should speak to your Adviser.

41. Third Party Details

Please complete this section if you wish for a copy of your reports to be sent electronically to the nominated third party e.g. your Accountant.

42. Service Details

Please nominate your Tax Entity type, Trade Match preference and whether you are registered for GST. If you are unsure of your preference please consult your Adviser.

43. Management Fees

Your Adviser will complete the agreed Management Fees and calculation methodology for your Portfolio and Administration Reporting Services.

44. Transaction Fees

Your Adviser will complete the agreed Transactions Fees.

45. Power of Attorney

To ensure that we are able to discharge our obligations to you we are obligated to request that you provide a Power of Attorney authorising us to act on your behalf.

Where you have selected a Non-Discretionary Account as your Nominated Service, you authorise us to exercise such rights as we reasonably believe are required to undertake the administration services that we will undertake on your account.

Where you have selected a Managed Discretionary Account as your Nominated Service, you authorise us to trade on your account at our discretion and to generally undertake any transaction on your account which we believe to be in your interest.

It is important that you understand the effect of granting a Power of Attorney. If you require a further explanation you should speak to your Adviser.

Term Deposit

46. Term Deposit

Please complete this section if you wish for Ord Minnett to act as a representative to complete the required documentation of financial institutions when facilitating a term deposit on your behalf.

Identification Requirements and Procedures

All signatories must provide two forms of identification, with at least one from the Primary list below and the second from either the Primary or Secondary list below. Both forms of identification must be original certified copies, certified by an Acceptable Referee.

Individual

You may provide a combination of both primary and secondary ID (as listed in the boxes below). However:

- at least one form of ID must be photographic ID (i.e. a drivers licence or passport); and
- at least one form of ID must contain your current address (as per the address on the Application Form).

Primary Photo Identification (At least one form of primary ID required)

- Australian Driver Licence
- Australian/Foreign Passport (a passport that has expired within the preceding 2 years is acceptable)
- Government Issued Photo Identity Card
- Other – Licence with Photograph

Secondary Identification

- Medicare Card
- Credit Card with an Australian Financial Institution
- Australian Birth Certificate
- Australian Citizenship Certificate
- Pension / Health Card issued by Centrelink
- Commonwealth Government letter of financial benefit (Less than 1 year old)
- ATO Tax Advice (Less than 1 year old)
- Australian utilities / telecommunication provider bill (within the last 3 months) eg electricity bill, rates notice, phone bill
- Australian Financial Institution statement (within the last 3 months) eg CHESS statement, bank statement

Certification

If you are providing a copy of these documents to Ord Minnett they must be certified by an acceptable referee (refer to the listing of Acceptable Referees). Otherwise, you can take your original identification to an Ord Minnett Branch or office where a copy of these documents will be taken and certified.

Trusts, Superannuation Fund or other Entity

You must provide identification and a full copy of the Trust Deed which has been certified by an Acceptable Referee.

Identification must be provided by:

- Each trustee who has signed the Application Form (or directors where the trustee is a corporate entity).
- Beneficiaries entitled to 25% or more of trust income or property.
- Persons who control the trust or have power to appoint or remove trustees (including persons named as Appointor, Guarantor or Principal in the trust deed).
- Settlers where the settled sum is in excess of \$10,000.

Please list all beneficiaries who are entitled to 25% or more of trust income or property in section 5. Beneficial Owners (Trust and Company Accounts).

Identification must be provided as per the requirements for an individual (see above).

Company

The following individuals must provide identification which has been certified by an Acceptable Referee:

- Each Director who has signed the Application Form
- Shareholders who hold 25% or more of the equity in the company (each a Beneficial Owner).

Please list all shareholders who hold 25% or more of the equity in the company in section 5. Beneficial Owners (Trust and Company Accounts).

Where one of the Beneficial Owners is a corporate entity we will be required to identify the Directors and Beneficial Owners of that corporate entity.

Companies must provide the name of each Director who is authorised to issue instructions on behalf of the company (attach additional paper if the Application Form is not sufficient).

Acceptable Referees

All acceptable referees must certify that the identification is a true and correct copy of the original document which has been sighted.

Categories of Acceptable Referees

1. A member of:
 - (a) the Institute of Chartered Accountants in Australia; or
 - (b) the Australian Society of Certified Practising Accountants; or
 - (c) the National Institute of Accountants.
2. A member of a municipal, city, town, district or shire council of a State or Territory.
3. An employee of a financial institution who is authorised by the financial institution to open accounts with the institution.
4. An agent of a financial institution who is authorised by the financial institution to open accounts with the institution.
5. A full-time employee of:
 - (a) a financial institution (other than an employee mentioned in item 3); or
 - (b) a corporation that is a registered corporation within the meaning of the *Financial Corporations Act 1974*; who has been employed continuously for at least 5 years by one or more financial bodies.
6. An employee of a bank carrying on business outside Australia:
 - (a) that does not have an authority under section 9 of the *Banking Act 1959*; and
 - (b) that is engaged in a transaction with a cash dealer; who is authorised by the bank to open accounts with the bank.
7. A full-time employee of a company carrying on insurance business who has been employed continuously for at least 5 years by one or more companies of that type.
8. A legal practitioner (however described) of a Federal, State or Territory court.
9. A registrar, clerk, sheriff or bailiff of a Federal, State or Territory court.
10. An officer within the meaning of the *Defence Act 1903*.
11. An individual registered or licensed as:
 - (a) a dentist; or
 - (b) a medical practitioner; or
 - (c) a pharmacist; or
 - (d) a veterinary surgeon; under a law of a State or Territory providing for that registration or licensing.
12. An individual who holds the position of nursing sister and is registered as a nurse under a law of a State or Territory providing for that registration.
13. A diplomatic or consular officer of an Australian Embassy, High Commission or Consulate, in Australia or overseas.
14. A holder of an office established by a law of the Commonwealth, a State or Territory in respect of which annual salary is payable, other than an office mentioned in item 15.
15. A judge or master of a Federal, State or Territory court.
16. A stipendiary magistrate of the Commonwealth or of a State or Territory.
17. A justice of the peace of a State or Territory.
18. A member of the Parliament or a State Parliament.
19. A member of the Legislative Assembly of the Australian Capital Territory, the Northern Territory or Norfolk Island.
20. A minister of religion within the meaning of the *Marriage Act 1961* who is registered under Division 1 of Part IV of that Act.
21. A notary public. Form 21 - October 2002
22. A member of the Australian Federal Police, or of the police force of a State or Territory, who, in the normal course of his or her duties, is in charge of a police station.
23. A member of the Australian Federal Police, or of the police force of a State or Territory, of or above the rank of sergeant.
24. A manager of a post office.
25. An individual employed as an officer or employee by one or more of the following:
 - (a) The Commonwealth, a State or Territory; or
 - (b) an authority of the Commonwealth, a State or Territory; or
 - (c) a local government body of a State or Territory; who has been so employed continuously for a period of at least 5 years, whether or not the individual was employed for part of that period as an officer and for part as an employee.
26. An individual employed as a full-time teacher or as a principal at one or more of the following educational institutions:
 - (a) a primary or secondary school forming part of the education system in State or Territory; or
 - (b) an institution listed in section 4 or paragraphs 34(4)(b)-(j) (inclusive) of the *Higher Education Funding Act 1988*; who has been so employed continuously for a period of at least 5 years.
27. An individual who, in relation to an Aboriginal community:
 - (a) is recognised by the members of the community to be a community elder; or
 - (b) if there is an elected Aboriginal council that represents the community - is an elected member of the council.
28. An individual who is an agent of a totalisator agency board if:
 - (a) the individual conducts an agency of the totalisator agency board at particular premises; and
 - (b) that agency is not ancillary to any other business conducted at those premises.
29. A commissioner for oaths of a State or Territory.
30. An individual who is registered as a tax agent under part VIIA of the *Income Tax Assessment Act 1936*.
31. A member of the Chartered Institute of Company Secretaries in Australia Limited.
32. A member or fellow of the Association of Taxation and Management Accountants.
33. A member of the Institution of Engineers, Australia, other than a member with the grade of student.
34. A fellow member of the National Tax and Accountants' Association Limited.
35. The holder, or an authorised representative / proper authority holder of, a licence under sections 780, 781 or 913B of the *Corporations Act 2001* who has known another person for at least 12 months is an acceptable referee in respect of the other person for the purposes of the definition of 'acceptable referee' in subsection 3(1) of the FTR Act.
36. The holder of, or an authorised representative / proper authority holder of, a licence under sections 780, 781 or 913B of the *Corporations Act 2001*, who has complied with the requirements of section 912A of that Act and Australian Securities and Investments Commission Policy Statement 122 in relation to another person is an acceptable referee in respect of that other person for the purposes of the definition of 'acceptable referee' in subsection 3(1) of the FTR Act. (In this situation there is no requirement for an existing 12 month relationship).

Equities Application Form

Ord Minnett Limited

AFS Licence 237 121 ABN 86 002 733 048

Please ensure that you complete all relevant product sections including the personal financial information and risk profile to ensure that your Adviser will be able to provide you with appropriate advice.

Please refer to the "How to Complete the Application Form" section for guidance.

Office Use Only

Adviser Name:

Adviser Code:

Account Number:

Brokerage Rate

1. Products - Please nominate the products and services that you require your adviser to provide.

Equities Account (Section 1 – 16) **Yes**

Exchange Traded Options (Section 17 – 24) **Yes**

Cash Management Trust (Section 25 – 37) **Yes**

Portfolio Administration and Reporting Services (Section 38 – 45) **Yes**

Term Deposits (Section 46) **Yes**

2. Type of Account - Please nominate the type of account you require and then complete the details requested in the relevant section.

Individual (Section 3) **Public Company** (Section 5 + 6)

Joint (Section 3) **Proprietary Company** (Section 5 + 6)

Trust (Section 4) **Foreign Based Company** (Section 5 + 6)

Superannuation (Section 4 + 6) **Other (Please specify)** _____

3. Investor Details

Investor 1 - Title Given name(s) Surname Date of Birth

Investor 2 - Title Given name(s) Surname Date of Birth

Investor 3 - Title Given name(s) Surname Date of Birth

Account Designation (if applicable)

Must not be longer than 24 characters – refer 'How to complete' section instructions for appropriate designation

Go to Section 6

4. Trusts, Superannuation Funds or other Entities (If more Trustees, provide details on separate sheet)

Name of Trust, Superannuation Fund or unincorporated association

Full name of Trust

Company Trustee Name

ABN/ACN

Contact name

Country where trust established

Type of Trust SMSF Family Unit Charitable Other _____

Individual Trustee/Director 1

Title Given name(s) Surname Date of Birth

Address

State Postcode Country

Individual Trustee/Director 2

Title	Given name(s)	Surname	Date of Birth
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Address

<input type="text"/>		
State	Postcode	Country

Account Designation (if applicable) To be utilised for the Superannuation Fund and Family Trust name. **Please do not use the word 'Trust'**. Must not be longer than 24 characters – refer to the “How to Complete” section instructions for appropriate designation

<input type="text"/>	A / C	Go to Section 6
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5. Company Investor

Company name	ABN/ACN
<input type="text"/>	<input type="text"/>

Registered Office/Principal Place of Business	Contact Name
<input type="text"/>	<input type="text"/>

Please provide full names of all Directors of the company.

Director 1 - Title	Given name(s)	Surname	Date of Birth
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Address

<input type="text"/>		
State	Postcode	Country

Director 2 - Title	Given name(s)	Surname	Date of Birth
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Address

<input type="text"/>		
State	Postcode	Country

Account Designation (if applicable) Must not be longer than 24 characters – refer to the “How to Complete” section instructions.

<input type="text"/>	A / C	Go to Section 6
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5A. Beneficial Owners (Trust and Company Accounts)

If you are opening a:

- **Company account** please list below each **shareholder** who has an entitlement to **25% or more of the issued shares of the company**.
- **Trust account** please list each **beneficiary** who has an entitlement to **25% or more of the property** of the trust.

Name of Individual or Corporate Shareholder

Name of Individual or Corporate Shareholder

Name of Individual or Corporate Shareholder

Name of Individual or Corporate Shareholder

Please provide identification for each person listed in this section as per the requirements detailed in the Identification Requirements and Procedures section.

6. Contact details

Residential Address details must be completed if different from your mailing address. Please note that a PO Box is not acceptable for a residential address but is acceptable for a mailing and securities registration address. If only your residential address is supplied then this will also be your securities registration address, otherwise your mailing address will be designated as your registration address. If you have any other mailing address requirements, please provide on a separate sheet.

Residential Address/Registered Office Address

State	Postcode	Country

Electronic Research

Ord Minnett provides extensive research and up to date portfolio information via our website at www.ords.com.au. You can register for free, online anytime. Please tick if you would like to receive any of the following research via the nominated Email 1:

- Daily** – Opening Bell & Closing Bell
 Weekly – Market week in review & update every Friday afternoon
 Monthly – Review & update on the market & select stocks
 None

Mailing Address (if different from above)

State	Postcode	Country

Work phone

Home phone

Mobile

Fax number

Email 1

Email 2

Transaction Confirmations

If you have provided your email details in this section then your transaction confirmations for Equities, Exchange Traded Options and Fixed Interest products will be sent electronically to the addresses provided. Paper based confirmations will only be sent if an email address is not provided or if you notify us in writing, and this may incur an additional cost to you.

7. Identification

Are your two forms of acceptable identification **for each signatory, authorised agent and Power of Attorney** certified by an Acceptable Referee and included with this Application Form?

- Yes
 No ► we will be unable to open your account

8. Tax File Number (TFN)

Are you an Australian resident for tax purposes?

- Yes
 No ► what is your country of residence for tax purposes

Tax File Number Categories

I Individuals **C** Companies **T** Formal Trusts **S** Super Funds

Investor 1 TFN Category

Investor 2 TFN Category

Investor 3 TFN Category

I/We do not want to quote a TFN for this investment (please tick)

TFN exemption: If you have a TFN exemption, please provide exemption details

9. Authority for someone to act on your behalf (optional)

By providing details below you are authorising this person to act on your behalf. Please refer to the "Terms and Conditions" booklet.

Please note certified identification is required for the authorised agent.

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Address

<input type="text"/>		
State	Postcode	Country

Work phone	Home phone	Mobile
<input type="text"/>	<input type="text"/>	<input type="text"/>

Email

Signature of Person Authorised to act	Relationship to Client	Date
<input type="text" value="x"/>	<input type="text"/>	<input type="text"/>

10. Settlement Banking Details

It is a mandatory condition of opening an account with Ord Minnett that you use one of the options listed below to settle your securities transactions. Please nominate your preferred settlement method for both BUY and SELL transactions.

BUY Transactions	SELL Transactions
<input type="checkbox"/> Ord Minnett Cash Management Trust (Section A)	<input type="checkbox"/> Ord Minnett Cash Management Trust (Section A)
<input type="checkbox"/> Other Cash Management Trust (Nominate) (Section B) <input type="text"/>	<input type="checkbox"/> Other Cash Management Trust (Nominate) (Section B) <input type="text"/>
<input type="checkbox"/> Direct Debit (Section C)	<input type="checkbox"/> Direct Credit (Section C)
<input type="checkbox"/> BPAY (Section E)	

Please complete the relevant section below for your nominated selections.

A. Ord Minnett – Cash Management Trust

By providing your Ord Minnett Cash Management Trust details below you are authorising Ord Minnett's Clearing Participant (Pershing Securities Australia Pty Ltd AFS Licence 338264 ABN 60 136 184 962) to access the Sweep Facility on your Ord Minnett Cash Management Trust to settle securities transactions.

Cash Management Trust Account No.

BSB Number Account Number
 –

If you would like to open an Ord Minnett Cash Management Trust please complete the Cash Management Trust Application Form which is at the back of this booklet.

B. Other Cash Management Trusts

Your Cash Management provider may require a separate authorisation to allow Ord Minnett's Clearing Participant to settle transactions on your behalf. If this is the case, please attach the appropriate Authority.

Have you attached the appropriate authority?

Yes No

If a separate Authority is not required from your nominated Cash Management Trust provider then please complete the Credit and Debit section below.

C. Banking Details – Credit and Debit

By allowing Ord Minnett's Clearing Participant to either directly debit and/or credit your account when settling securities transactions, you will ensure the fastest and most secure method of settlement.

Please nominate a bank account (hereinafter referred to as a "settlement account") which you authorise for use to settle your securities trades based on your above nominations.

Bank / Financial Institution

Branch

Bank Holder Account Name(s)

BSB Number Account Number
 –

In nominating this account as your settlement account you:

- give Ord Minnett's Clearing Participant authority to debit and/or credit your bank account for the purpose of settling transactions;
- acknowledge that you have read and agreed to the Direct Debit Request Service Agreement found in the Terms and Conditions booklet.
- have provided sufficient Identification from all Bank Account Holders to ensure that we can verify your signature(s).
- are acknowledging that you are an authorised officer who can sign on behalf of the Company (if your nominated bank account is in a company name).

D. Dividend Direction Authority

Please tick this box if you would like your dividends to be directed to the settlement account you have nominated above.

By making this nomination you:

- Authorise Ord Minnett and/or Ord Minnett's Clearing Participant to direct each relevant issuer to pay by direct credit to the settlement account all cash dividends, distributions, interest or income payable referable to my/our Holder Identification Number as specified in this agreement.
- Authorise Ord Minnett and/or Ord Minnett's Clearing Participant to pass on my/our banking details via CHES to the issuer's share registry (this instruction will override all previous instructions given to the issuer).
- Acknowledge that by making this nomination your instruction may override participation in existing Dividend Reinvestment Plans or Bonus Share Plans.

Please note that you will have to be CHES sponsored with Ord Minnett to use this facility. We cannot guarantee that all share registries will accept instructions from Ord Minnett.

Please ensure all **Bank account holders sign below**

Bank Account Holder 1

Signed by (full name)

Bank Account Holder 2

Signed by (full name)

Bank Account Holder 3

X

Signed by (full name)

E. BPAY

If you have elected to settle your purchases via the BPAY facility you must schedule payment prior to 6.00pm the day before market settlement to ensure your transaction settles on time. The BPAY facility details will be listed on your Confirmation Note.

11. Sophisticated and Professional Investor Program

Ord Minnett offers a Sophisticated and Professional Investor Program (OMSPI) which allows access to investment opportunities that are usually restricted to institutional or wholesale investors.

OMSPI provides a premium level of service to those clients who qualify and register. Participation in the OMSPI Program will allow you to access product offerings such as:

- Premier Initial Public Offerings and restricted offerings of hybrid and fixed interest securities.
- Equity placements – short notice or “overnight” placements by top ASX companies, often at a discount to their current trading price.
- Structured investment products – sophisticated structured products that may often be unavailable to non-Program investors.

How the Program works

The Program is simple. If you qualify in either the “Sophisticated” or “Professional” Investor categories and would like to join the Program please complete the relevant details below.

Your Adviser will confirm your registration and offers may be sent to you as they become available.

When an offer is of interest, contact your Ord Minnett Adviser immediately, as many offers open and close on the same day.

Registration in the Program enables Ord Minnett to regard you as a “Wholesale” client. As such, Ord Minnett will not be required to provide you with retail disclosures, such as a Statement of Advice.

Program qualifications

Please tick the category that applies to you.

“Professional” Investor. To qualify as a Professional Investor you must be either:

- an AFS licensee;
- an APRA regulated entity;
- a trustee of a super fund, ADF, PST or PSS scheme with assets that exceed \$10 million;
- a person who controls net assets of at least \$10 million;
- a listed entity; or
- a body covering a business of investment in a financial product, interests in land or other investments where funds are received as a consequence of an offer or invitation to the public

“Sophisticated” Investor. To qualify as a Sophisticated Investor you must have:

- net assets of at least \$2.5million; or
- a gross income for each of the last 2 financial years of at least \$250,000; and

You will also be required to provide a certificate from a Qualified Accountant confirming your income and assets.

If you qualify as a Sophisticated Investor pursuant to Sections 708(8)(c) and 761G(7)(c) of the Corporations Act please have your Accountant complete the section titled **Qualified Accountant’s Certificate** which follows below.

Qualified Accountant’s Certificate

I certify that (please tick appropriate box):

1. I am a member of:

- CPA Australia, who is entitled to use the post-nominals “CPA” or “FCPA”, and is subject to and complies with CPA Australia’s continuing professional development requirements; or
- the Institute of Chartered Accountants in Australia (“the ICAA”), who is entitled to use the post-nominals of “CA”, “ACA” or “FCA”, and is subject to and complies with the ICAA’s continuing professional education requirements; or
- the National Institute of Accountants (“the NIA”), who is entitled to use the post-nominals “MNIA” or “FNIA”, and is subject to and complies with NIA’s continuing professional education requirements.

2. In accordance with the requirements of Section 708(8)(c) and 761G(7)(c) of the Corporations Act, the Account Holder/Investor has either:

- net assets of at least \$2,500,000; or
- a gross income for each of the last 2 financial years of at least \$250,000.

Name of Accountant

Signature of Accountant

X

Date

Address

Work Phone

Email

Accountant / Solicitor Details

If you are using the services of an accountant or solicitor (or any other professional) and you authorise us to discuss your investments with them, please provide contact details below:

Name of Accountant or Solicitor

Address of Account or Solicitor

Work Phone

Email

12. Fixed Interest Securities

Do you wish to undertake transactions in Fixed Interest Securities:

Yes

No

Purchasing Fixed Interest Securities carries risk to both capital and income return.

For this reason it is essential that you have sufficient experience, financial capacity and market knowledge to invest in Fixed Interest Securities and have considered and accepted the risks associated with them as an investment.

So that we can independently verify your suitability as a client, you need to initial your agreement to each of the statements set out below.

If you are unable to agree to one or more of the following statements, you should not trade in Fixed Interest Securities. Please discuss with your adviser if you require any additional clarification.

	Investor 1	Investor 2	Investor 3
1. It has been explained to me that Fixed Interest Securities vary widely in their risk and investment attributes and I have undertaken a thorough review of the characteristics and risks associated with an investment in Fixed Interest Securities.	x	x	x
2. I have discussed the use of Fixed Income Securities with my adviser and they have explained the risks associated with the use of these products to my satisfaction.	x	x	x
3. I understand that holding Fixed Income Securities can result in capital losses arising out of default, market and other risks.	x	x	x
4. I understand that some Fixed Interest Securities trade in the secondary or 'over the counter' (OTC) markets, that these markets may not be available to all investors and that consequently, it may not be possible to sell a particular Fixed Interest Security.	x	x	x
5. I have considered my objectives, financial situation and needs and confirm that Fixed Income Securities are a suitable investment for my portfolio.	x	x	x

13. Personal Financial Information of each Investor.

The Australian Securities and Investments Commission (ASIC) which is the regulatory body that regulates Ord Minnett, enforces strict rules as to how advice can be given.

These rules mean that Ord Minnett must, before giving personal advice, conduct a thorough fact finding process and examine details such as your current financial situation, your personal and financial objectives, as well as your attitude to risk.

Ord Minnett strongly supports these rules as they protect the interests of investors, and provide transparent guidelines on how we offer, operate and conduct our services.

Accordingly we appreciate you assisting us in completing this section of the Application Form.

Please note: if this section is not completed we can only provide you with general advice, that is, advice that does not address your individual needs.

1. Individual and joint applicants

Each person who has signed the application form should also complete this section.

2. Companies, SMSFs and family trusts

Even if you are investing through a company, self managed superannuation fund (SMSF) or trust structure, it is likely that this structure has been established for your personal benefit.

If so, it is important that we understand your personal circumstances and therefore each person who has signed the application form should also complete this section.

3. Other arrangements

Sometimes accounts are established for the benefit of persons other than the account holders. For example, a trust may have been set up for the benefit of a child. In these circumstances we would expect this section to reflect the Personal Financial Information of the beneficiary of our advice (eg the child).

If you are unsure about how to complete the Risk Profile, you should ask your Ord Minnett Adviser for assistance.

Client Information

	Investor/Director/Trustee 1	Investor/Director/Trustee 2	Investor/Director/Trustee 3
Name			
Total Annual Income (please tick)	<input type="checkbox"/> \$0 - \$50,000 <input type="checkbox"/> >\$50,000 - \$100,000 <input type="checkbox"/> >\$100,000 - \$150,000 <input type="checkbox"/> >\$150,000 - \$250,000 <input type="checkbox"/> >\$250,000	<input type="checkbox"/> \$0 - \$50,000 <input type="checkbox"/> >\$50,000 - \$100,000 <input type="checkbox"/> >\$100,000 - \$150,000 <input type="checkbox"/> >\$150,000 - \$250,000 <input type="checkbox"/> >\$250,000	<input type="checkbox"/> \$0 - \$50,000 <input type="checkbox"/> >\$50,000 - \$100,000 <input type="checkbox"/> >\$100,000 - \$150,000 <input type="checkbox"/> >\$150,000 - \$250,000 <input type="checkbox"/> >\$250,000
Date of Birth (dd/mm/yy)			
Gender (M or F)			
Marital Status			
Dependants			
Employer			
Occupation			

Assets and Liabilities for all Account Holders

Private Assets <i>Comprising</i>	Principal Residence	\$
	Holiday Home	\$
	Other Private Assets eg Artwork	\$
Investment Assets <i>Comprising</i>	Australian Shares	\$
	Employee Shares	\$
	International Shares	\$
	Cash	\$
	Fixed Interest	\$
	Managed Fund	\$
	Superannuation Fund	\$
	Investment Property	\$
Other	\$	
Total Assets		\$
Liabilities <i>Comprising</i>	Home Mortgage	\$
	Investment Loans	\$
	Margin Lending Loans	\$
	Other Liabilities	\$
Total Liabilities		\$

Investment Goals

Objectives Please select the one category which most closely reflects your current investment goal.	<input type="checkbox"/> Income
	<input type="checkbox"/> Capital Growth
	<input type="checkbox"/> Capital Security/Capital Preservation
	<input type="checkbox"/> Balanced Income & Growth
	<input type="checkbox"/> Speculative Trading
Investment Time Horizons (please tick)	<input type="checkbox"/> Short Term (less than 2 years)
	<input type="checkbox"/> Medium Term (2 - 5 years)
	<input type="checkbox"/> Long Term (greater than 5 years)

Investment Experience

Australian Shares	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Exchange Traded Options	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Managed Funds	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
International Shares	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Fixed Interest	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Margin Lending	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Short Selling	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Warrants	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Property	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None

Ownership Structure

In which legal structure do you wish to hold your investments? Please choose one of the following.	<input type="checkbox"/> Individual Name
	<input type="checkbox"/> Joint Names
	<input type="checkbox"/> Company Name (non-trust)
	<input type="checkbox"/> Superannuation Fund
	<input type="checkbox"/> Family Trust
	<input type="checkbox"/> Other Trust
	<input type="checkbox"/> Other

Client Interests

Which investments interest you? (please tick)	<input type="checkbox"/> Australian Shares	On which investment topics are you seeking our advice? (please tick)	<input type="checkbox"/> Australian Shares
	<input type="checkbox"/> Exchange Traded Options		<input type="checkbox"/> Exchange Traded Options
	<input type="checkbox"/> Managed Funds		<input type="checkbox"/> Managed Funds
	<input type="checkbox"/> International Shares		<input type="checkbox"/> International Shares
	<input type="checkbox"/> Cash		<input type="checkbox"/> Superannuation
	<input type="checkbox"/> Cash Management Trust		<input type="checkbox"/> Financial Planning
	<input type="checkbox"/> Bank Bills		<input type="checkbox"/> Cash Management Trust
	<input type="checkbox"/> Fixed Interest		<input type="checkbox"/> Warrants
	<input type="checkbox"/> Warrants		<input type="checkbox"/> Structured Products
	<input type="checkbox"/> Property		
	<input type="checkbox"/> Other (e.g. Hedge Funds)		

Investment Amount

Please indicate an approximate percentage of your total investment assets that you will initially be investing.	<input type="checkbox"/> 0% to 20%
	<input type="checkbox"/> 20% to 40%
	<input type="checkbox"/> 40% to 60%
	<input type="checkbox"/> 60% to 80%
	<input type="checkbox"/> 80% to 100%

Determining Your Risk Profile

This questionnaire will help us to understand what type of investor you are and will enable us to recommend a personal asset allocation tailored to your needs. Please complete these questions below by choosing an answer which most closely describes you.

When you drive your car, you basically want to get from A to B. Different people will choose different routes and different vehicles in which to travel and will have different time frames. You can drive faster if you want, but the faster you go, the riskier it gets. Investing is the same. Some people like to go fast and feel the thrill of short term profit making, other people are more conservative, preferring safe, reliable returns.

<i>(please tick most appropriate box in each section)</i>	Applicant 1	Applicant 2	Applicant 3	Points
1) Which of the following best describes your purpose for investing?				
a) An investment horizon longer than 5 years. You understand investment markets and mainly invest for growth, to accumulate long term wealth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
b) You have surplus funds to invest and aim to accumulate long term wealth from a balanced portfolio.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
c) You have a lump sum (eg an inheritance) and are uncertain about the secure investment alternatives available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) You are nearing retirement and want sufficient funds to enjoy your retirement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
e) Some specific objectives within the next five years, for which you want to accumulate sufficient funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10
2) Which of the following best describes your current stage of life?				
a) Single, with few financial burdens. You are keen to accumulate wealth for the future.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
b) A couple without children. Preparing for the future by establishing a home. A high purchase rate of consumer items.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
c) Young family, with a home. You have a mortgage and maintain only small cash balances.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) Mature family. You're in your peak earning years and have the mortgage under control. Your partner works and children are growing up and require less supervision/have left home. You're thinking about retirement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
e) Preparing for retirement. You probably own your home and have few financial burdens; you want to ensure you can afford a comfortable retirement. Interested in travel, recreation and self education.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
f) Retired. You rely on existing funds and investments to maintain your lifestyle. You may be receiving a pension. Keen to enjoy life and maintain your health.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10
3) In the light of current interest rates, what return do you reasonably expect to achieve from your investments?				
a) A reasonable return, without losing any capital.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10
b) Current inflation rate plus 2-4% per annum.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
c) Current inflation rate plus 5-7% per annum.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) Current inflation rate plus 8-12% per annum.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
e) Greater than d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
4) How familiar are you with investment markets?				
a) Experienced with all investment sectors and understand the various factors which influence performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
b) Understand that markets fluctuate and that different market sectors offer different income, growth and taxation opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
c) Have enough experience to understand the importance of diversification.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) Not very familiar with investment markets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
e) Very little understanding or interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10

please tick most appropriate box in each section)

Applicant 1 Applicant 2 Applicant 3 Points

	Applicant 1	Applicant 2	Applicant 3	Points
5) Would you ever consider using derivative products such as Options and Warrants as part of your investment strategy?				
a) I would consider using derivatives as a defensive strategy and as a means of generating additional income for my portfolio.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
b) I would consider using derivatives as part of a defensive strategy only.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
c) I have a good understanding of derivative products and I am interested in trading these for profit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
d) Not very familiar with derivatives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10
e) Never - I consider derivatives to be too risky.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0
6) How long would you expect most of your assets to be invested before you would need to access them (assuming you have made plans to meet short term financial objectives and to handle emergencies)?				
a) Less than 2 years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10
b) Between 2 and 3 years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
c) Between 3 and 5 years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) Between 5 and 7 years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
e) Longer than 7 years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
7) What would your reaction be if six months after placing your investment, you discover that, in line with what is happening in the financial markets generally, your portfolio has decreased in value by 30%?				
a) Horror. Security of your capital is critical and you did not intend to take such risks.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10
b) You would cut your losses and transfer your funds into more secure investment sectors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
c) You would be concerned, but would wait to see if the markets and your investments improve.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) This was a calculated risk and you would leave the investments in place, expecting performance to improve.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
e) You would invest more funds to lower your average investment price, expecting future recovery in value.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
8) If you didn't need your capital for more than 5 years, how long would you be prepared to see your investment performing poorly before you cashed it in?				
a) You would cash it in immediately if there were any loss in value.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0
b) Up to 3 months.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
c) Up to 6 months.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) Up to 1 year.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
e) Up to 2 years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
9) How stable is your current and future income from sources such as salary, government pensions, annuities or other similar income sources?				
a) Very Stable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
b) Stable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
c) Somewhat stable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
d) Unstable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
e) Very unstable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10

(please tick most appropriate box in each section)

Applicant 1 Applicant 2 Applicant 3 Points

	Applicant 1	Applicant 2	Applicant 3	Points
10) Do you have any separate savings set aside for major expenses? This may include things like education, home mortgage payments, home repairs and retirement?				
a) I have no upcoming expenses other than my retirement living expenses.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20
b) Yes, I do have separate savings to meet my expenses.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50
c) I have a small amount of savings and a large credit card limit on my credit card for emergencies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	40
d) I have no savings, but can use my credit card for emergencies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30
e) No, I do not have separate savings to meet major expenses.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10

Total Investor Profile Score

--	--	--

Now you can match your Investor Profile score to the Investor Profile summaries that follow.

Investor Profile Score Card

Total
Points

Defensive

You are a Defensive investor. Risk must be very low and you are prepared to accept lower returns in order to protect capital. The negative effects of tax and inflation will not concern you, provided your initial investment is protected. 0 - 120

Moderate

You are a Moderate investor seeking better than basic returns, but risk must be low. Typically, you are an older investor seeking to protect the wealth which you have accumulated, and you prefer to consider less aggressive growth investments. 121 - 230

Balanced

You are a Balanced investor who wants a balanced portfolio to work towards medium to long term financial goals. You require an investment strategy, which will cope with the effects of tax and inflation. Calculated risks will be acceptable to you to achieve good returns. 231 - 340

Growth

You are a Growth investor, probably earning sufficient income to invest most funds for capital growth. Prepared to accept higher volatility and moderate risks, your primary concern is to accumulate assets over the medium to long term. You require a balanced portfolio, but more aggressive investments may be included. 341 - 460

High Growth

You are a High Growth investor prepared to compromise portfolio balance to pursue potentially greater long term returns. Your investment choices are diverse, but carry with them a higher level of risk. Security of capital is secondary to the potential for wealth accumulation. 461 - 500

14. CHESS Sponsorship

CHESS is a free service provided by ASX Limited that enables share holdings to be held in electronic form.

CHESS Sponsorship has many benefits and we strongly recommend that you register your shareholdings in the CHESS system via Ord Minnett sponsorship.

By default we will assume that you wish to be CHESS Sponsored by Ord Minnett and will set up your account on this basis.

IF YOU DO **NOT wish to be CHESS Sponsored by Ord Minnett in relation to this account please tick this box.**

If you currently have a Sponsoring Broker and you wish to transfer your stocks to Ord Minnett, please provide the information below.

Existing Broker

Broker PID

Existing Account Details

Name

Account Designation

--

Address

Holder ID Number (HIN)

Do you wish to transfer all your CHESS holdings? Yes No

If you answered no - please provide details of those CHESS holdings you wish to transfer:

15. Applicant Signatures

Each applicant (including joint applicants) must sign the application form

By signing this Application form, each signatory acknowledges as follows:

- The information I have provided in this Application Form is true and correct
- I have read the Trade Rules and Information section and the Terms and Conditions contained in this Application Form
- I have read the CHESS Provisions Terms and Conditions contained in this Application Form
- I have read Ord Minnett's Clearing Participants (Pershing

Securities Australia Pty Ltd) Disclosure Statement and the Financial Services Guide contained in this Application Form

- I have read the Direct Credit Facility and Direct Debit Request Service Agreement Terms and Conditions and Agreement contained in this Application Form and give authority to Ord Minnett's Clearing Participant to credit and/or debit any account nominated
- I am required to provide Ord Minnett with identification as outlined in this Application Form and acknowledge that if I do not provide this identification Ord Minnett may refuse my application
- If executing this form as director of a company I agree to indemnify Ord Minnett in accordance with the terms of the Directors Indemnity set out in the Equities Trade Rules and Information that were provided to me with this application form.
- If I have provided details of a third party or agent, I acknowledge that I have read the Terms and Conditions for Authorised Person to act on behalf of the Account contained in this Application Form and acknowledge that Ord Minnett is not responsible for any loss incurred by me as a result of Ord Minnett executing an instruction that has been received by the agent or third party
- I authorise Ord Minnett Limited to collect, use and disclose the information about me as described in the Privacy Statement in the Ord Minnett Limited Financial Services Guide.

Investor 1 or Director/Sole Director (please circle if Sole Director)

--

Signed by (Full Name)

--

Date

--

Investor 2 or Director/Company Secretary (please circle)

--

Signed by (Full Name)

--

Date

--

Investor 3 or Director/Company Secretary (please circle)

--

Signed by (Full Name)

--

Date

--

Ord Minnett and Ord Minnett's Clearing Participant confirm their agreement to the terms of this Client Application Form and the execution of the CHESS Sponsorship Agreement by allocating an account number to the applicant(s). If you would like a copy of your CHESS Sponsorship Form please contact your Adviser.

Exchange Traded Options Application Form

Ord Minnett Limited

AFS Licence 237 121 ABN 86 002 733 048

The Exchange Traded Options Product Disclosure Statement (PDS) dated 1 April 2014 contained in the Terms and Conditions booklet gives information about Exchange Traded Options (ETOs).

Importantly, the PDS also includes a detailed section on "Fees and other costs" which includes the details of any costs associated with your investment and the remuneration for which your adviser is entitled to receive. If you have any further questions on this particular section, feel free to discuss with your financial adviser.

16. Account name and Designation

Please provide details of the name of the account (this name must correspond to the name in either Sections 3, 4 or 5)

Account Name

ABN/ACN

--

Account Designation

--

17. Date of Birth

For Individual/Joint Applications please provide date of birth details.

Investor 1

--

Investor 2

--

Investor 3

--

18. Mailing Address

Please provide a mailing address for correspondence purposes.

Suburb	State
Postcode	Country

19. Options Settlement

It is a mandatory requirement that options accounts are linked to a Ord Minnett Management Ltd (OMML) Cash Management Trust or an approved margin lending facility.

Do you have an existing OMML Cash Management Trust that you want to use for settlement?

Yes, provide your Ord Minnett CMT Account Number:

--

No, I would like to establish a new OMML Cash Management Trust. Please read the 'Cash Management Trust Product Disclosure Statement' and complete the Cash Management Trust Application Form from section 25. Please ensure that you tick to have the sweep facility enabled.

No, I would like this account to be linked to an approved margin lending facility. Provide your margin lending facility details.

Margin Lender

--

Account Number

--

If you choose to use OMML Cash Management Trust for settlement purposes you are authorising Ord Minnett Limited to redeem units from the Trust as required to settle securities transactions. Your election to have a sweep facility will remain valid while OMML is the manager of the Cash Management Trust, or unless it is revoked by you in writing.

20. Risk Disclosure

General Risks of Options Ownership

Trading in ETOs may not be suitable for some investors. In light of the risks associated with trading in derivative products, you should only invest in ETOs where you fully understand the nature of this investment, the associated risks and your regulatory and legal rights and obligations.

Prior to any investment it is also suggested that you assess your experience, investment objectives, current financial resources and any other points of relevance with your financial adviser. You should not rely on the PDS as a full explanation of the risks associated with investing in ETOs.

The purchaser of an ETO, whether it is a call option or a put option, has a known and limited potential loss. If an ETO expires with no value, the buyer will lose the total value paid for the option (the premium), plus any transaction costs incurred.

Selling ("writing") options may entail considerably greater risk than purchasing options. The premium received by the seller of an ETO is both limited and fixed, however the seller may incur losses greater than that amount.

The value of an ETO will depend on a range of factors;

20.1 Market risks

A range of factors affects the market value of options. They may decline in price or even become worthless before expiry. Changes in the price of the underlying shares may result in changes to the price of an ETO, however the change can sometimes be in a different direction or at a different rate to the change in the price of the underlying share.

20.2 A limited life asset

Options have an expiry date and therefore a limited life. An ETO's time value erodes over its life and this accelerates as an option nears expiry. It is important to assess whether the options selected have sufficient time to expiry for your market views to be realised.

20.3 Effect of 'Leverage' ('Gearing')

The initial outlay of capital may be small relative to the total contract value, meaning that ETO transactions are leveraged.

Therefore, a relatively small market movement may have a proportionally large impact on the value of the ETO. This may work for you, or alternatively, against you. The use of leverage can lead to larger gains, as well as larger losses.

20.4 ETO sellers face potentially unlimited losses

Selling ("writing") ETOs may involve considerably greater risk than buying options. The premium received by the seller is fixed and limited however they may also incur losses greater than that amount. The seller who does not own the underlying shares or have offsetting option positions has a

potentially unlimited loss position and potential profits and losses can be greater than the money initially outlaid.

20.5 Margin calls

Your liability in relation to an ETO is not limited to the amount of the margin paid. If the market moves against your position or margin levels are increased, you may be called upon to pay substantial additional funds on short notice to maintain your position, or upon settlement of contracts. If you fail to comply with a request for additional funds within the time prescribed, Ord Minnett may close out your position and you will be liable for any losses that result.

20.6 Illiquidity and Pricing Relationships

Market conditions may increase the risk of loss by making it difficult to effect transactions or close out existing positions.

Normal pricing relationships may not exist in certain circumstances, for example, in periods of high buying or selling pressure, high market volatility or illiquidity in the market for a particular ETO series.

20.7 Risk-Reducing Orders or Strategies

The placing of orders which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. Strategies using combinations of positions, such as "spread" and "straddle" positions may be as risky as taking simple "long" or "short" positions.

20.8 Suspension or Restriction of Trading and Pricing Relationships

Market conditions or actions by the ASX or ASX Clear may increase the risk of loss by making it difficult (or impossible) to

effect transactions or close out existing positions. Normal pricing relationships may not exist in certain circumstances, for example, in periods of high buying or selling pressure, high market volatility or illiquidity in the market for a particular ASX Derivative Product.

ASX and ASX Clear have broad powers under their Market Rules to take action in the interests of maintaining fair and orderly markets. In some instances, this may affect your positions.

20.9 Terms and Conditions of Contracts

Under certain circumstances the specifications of outstanding contracts may be modified by ASX or by ASX Clear. The extent to which you may recover money or property is governed by the Corporations Act and other legislation and rules. In certain circumstances you may have a claim against the National Guarantee Fund.

20.10 Trading Facilities

As with all trading facilities and systems, the systems used in the market are vulnerable to temporary disruption or failure. An investor's ability to recover certain losses in these circumstances will be limited given the limits of liability imposed by the ASX and ASX Clear.

20.11 Trade Cancellations

Ord Minnett has the ability to amend or cancel the trade as stated in our "Terms and Conditions of Trading" and any Confirmation (previously known as a Contract Note) issued. This could cause you to incur a loss or increase your loss.

21. Exchange Traded Options Suitability Checklist

Strategies employing Exchange Traded Options are often complex and carry greater risk than trading in an underlying equity or index.

For this reason it is essential that you have sufficient experience, financial capacity and market knowledge to use options and have considered and accepted the risks associated with their use.

So that we can independently verify your suitability as an options client, we would be grateful if you could please initial your agreement to each of the statements set out below.

If you are unable to agree to one or more of the following statements, you should not trade in options. Please discuss with your adviser if you require any additional clarification.

	Investor 1	Investor 2	Investor 3
1. I have read and understood the Risk Disclosure Statement set out above.	X	X	X
2. I have been provided with a copy of the ASX "Understanding Options Booklet" or I have downloaded it from www.asx.com.au and I have read and understand this booklet.	X	X	X
3. I have discussed the use of options with my adviser and they have explained the risks associated with their use to my satisfaction.	X	X	X
4. I understand options employ leverage which can significantly increase losses arising out of a movement in an underlying equity or index.	X	X	X
5. I understand that the practice of selling (or writing) options is a high risk strategy and the seller may incur potentially unlimited losses.	X	X	X
6. I have considered my objectives, financial situation and needs and confirm that options are a suitable investment for my portfolio.	X	X	X

22. Acknowledgement & Signatures

This part must be completed. For joint accounts all applicants must sign. By signing below, you acknowledge that:

1. The information you have provided in the Client Information and Application Form sections are true and correct.
2. You have received a copy of the current PDS to which this Application applies and read it.
3. You have completed the Suitability Checklist in Section 22 and acknowledge you have sufficient experience, financial capacity and market knowledge to use options and have considered and accepted the risks associated with their use.
4. You agree to the offer contained in the PDS and agree to be bound by the terms and conditions contained in the PDS.
5. You have read and understood both Ord Minnett's and its Clearing Participant's Derivatives Agreement Terms, as set out in the Terms and Conditions booklet.
6. You authorise Ord Minnett Limited to collect, use and disclose the information about you as described in the Privacy Statement in the Ord Minnett Limited Financial Services Guide. Where you have provided information about any other individual, you will make that individual aware of the provisions of the Privacy Statement.
7. Ord Minnett Limited may disclose information relating to your application as required by law.
8. You have read and understood the terms and conditions of receiving electronic Confirmations.
9. Where you have authorised someone to act on your behalf in relation to an equities account which is used to settle transactions undertaken by you in exchange traded options, you agree that the authorised person may also act on your behalf with respect to options transactions undertaken on this account. You acknowledge having read and understood the terms for someone to act on your behalf as set out in the Terms and Conditions.

EXECUTED AS A DEED by the parties INDIVIDUAL OR JOINT EXECUTION:

Investor 1

- Individual Sole Director/Secretary Trustee
 Director Secretary Power of Attorney

Signed sealed and delivered on: Date

Signed by (Full Name)

Signature

In the presence of (Name of Witness - May not be a party to the Deed)

Signature of Witness

Investor 2

- Individual Sole Director/Secretary Trustee
 Director Secretary Power of Attorney

Signed sealed and delivered on: Date

Signed by (Full Name)

Signature

In the presence of (Name of Witness - May not be a party to the Deed)

Signature of Witness

Investor 3

- Individual Sole Director/Secretary Trustee
 Director Secretary Power of Attorney

Signed sealed and delivered on: Date

Signed by (Full Name)

Signature

In the presence of (Name of Witness - May not be a party to the Deed)

Signature of Witness

If you are signing under a Power of Attorney, please supply a certified copy of the Power of Attorney with specimen signature. If signing on behalf of a company, 2 directors or a director and secretary are required to sign this agreement. **Companies execute this Deed in accordance with the section 127 of the Corporations Act.**

Ord Minnett confirms its agreement to the terms of this Deed by allocating an account number to the applicant(s).

Office use only

Adviser Name

Mailing List

Processed By

Special Instructions

Account approved and authorised by Branch Manager

Date

Exchange Traded Options Form

23. Registered Holder Collateral Cover Authorisation

1. We / I

("the Registered Holder"), Holder Identification Number

--

authorise my Controlling Participant to reserve (or withdraw) Financial Products (the "Collateral") registered in the name of the Registered Holder in the ASX Clear Pty Ltd, ABN 48 001 314 503 ("ASX Clear") Subposition as Collateral Cover for obligations in respect of Options Market Contracts registered in the Client Accounts nominated above with **Pershing Securities Australia Pty Ltd** ABN 60 136 184 962 AFSL 338264 as Ord Minnett's Clearing Participant¹.

- The Registered Holder acknowledges that ASX Clear may, in its absolute discretion, decline to accept in relation to all or any particular Client Account/s nominated above for the purposes of accepting paperless lodgements.
- The Registered Holder acknowledges that on behalf of the Registered Holder, the Controlling Participant will reserve (or withdraw) Collateral in the ASX Clear Subposition by sending the appropriate Collateral lodgement message so that the Collateral lodged comes under the control of ASX Clear, or Collateral withdrawn leaves the control of ASX Clear, in accordance with the ASX Clear Operating Rules and Procedures (as amended from time to time).
- In registering Collateral in the ASX Clear Subposition, the Registered Holder acknowledges that the Collateral will be subject to a fixed charge (the "Charge") in favour of ASX Clear from the time they are reserved to the ASX Clear Subposition in the manner referred to above, and will remain subject to the Charge until ASX Clear permits it to be withdrawn from the ASX Clear Subposition.
- The Registered Holder acknowledges that the Charge secures all amounts and obligations owing by the ASX Clear Participant to ASX Clear in connection with the Client Accounts nominated

¹ Ord Minnett has appointed Pershing Securities Australia Pty Ltd to perform its Clearing and Settlement functions.

Client Account Numbers this Addendum Covers:

above opened by the ASX Clear Participant in accordance with the ASX Clear Operating Rules and Procedures (as amended from time to time).

- The Registered Holder acknowledges that the Registered Holder has read and understood the ASX Clear Operating Rules and the ASX Settlement Operating Rules, in so far as those rules relate to the Collateral and the Charge, including:
 - ASX Clear's power to deal with the Collateral on default by the ASX Clear Controlling Participant in respect of the Client Accounts nominated above; and
 - in particular, ASX Clear's power of sale in relation to the Collateral without any notice to the Registered Holder.
- The Registered Holder warrants that unless ASX Clear otherwise agrees in writing, the Collateral is not and may not be subject to any other security interest, other than a security interest provided to a margin lender under a deed of priority, entered into between ASX Clear and the margin lender, which provides that ASX Clear's Charge has priority over the margin lender's security interest (the "Deed of Priority") or a security interest as permitted under the ASX Clear Operating Rules or the ASX Settlement Operating Rules.
- If the Registered Holder's Controlling Participant is a margin lender, the Registered Holder warrants that they have signed an acknowledgement regarding the Deed of Priority as set out in Schedule 2 or Schedule 3, as applicable, to the Deed of Priority.
- If the ASX Clear Participant is unable to insert the Account Numbers and/or HIN at the time the Registered Holder signs this form the Registered Holder irrevocably authorises the ASX Clear Participant to insert the Account Numbers and/or HIN on this agreement and agrees the ASX Clear Participant will insert the Account Numbers and/or HIN on the Registered Holder's behalf, prior to lodging this Authorisation with ASX Clear. The ASX Clear Participant agrees that it will notify the Registered Holder of the Account Numbers and/or HIN in writing as soon as reasonably possible.
- Defined terms have the same meaning as defined in the ASX Clear Operating Rules and Procedures (as amended from time to time).

* If a corporation must be signed in accordance with the Corporations Act, or if signed under power of attorney, a copy of the power of attorney must also be attached to the addendum

Signed (All account holders must sign this form)

Investor 1*

X

Print Name

--

Investor 2*

X

Print Name

--

Investor 3*

X

Print Name

--

in the presence of (signed by witness)

X

Name of Witness

--

Date

--

in the presence of (signed by witness)

X

Name of Witness

--

Date

--

in the presence of (signed by witness)

X

Name of Witness

--

Date

--

Application Form

Ord Minnett Management Limited
Cash Management Trust

Office Use Only

Adviser Name:

Adviser Code:

Account Number:

Ord Minnett Management Limited AFS Licence 237 123
ABN 55 002 262 240

Note: Please complete using a black or blue pen and use BLOCKLETTERS.

The Application Form Section must be completed by all investors

24. Product Selection

Ord Minnett Cash Management Trust (ARSN 090 714 588)?

Yes No

25. Existing Investors

Ord Minnett Cash Management Trust?

Yes No

A/C No

Other Ord Minnett Account?

Yes No

A/C No

26. Individual(s)/Joint – please refer to page 3 for identification requirements

Investor 1 - Title Given name(s)

Surname

Date of Birth

Place of Birth

Investor 2 - Title Given name(s)

Surname

Date of Birth

Place of Birth

Investor 3 - Title Given name(s)

Surname

Date of Birth

Place of Birth

Account Designation (if applicable)

Refer "How to Complete the Client Application Form" section instructions for appropriate designation

Go to Section 6

27. Trusts, Superannuation Funds or Other Entities (If more Trustees, provide details on separate sheet).

Full name of Trust (Name of Trust, Superannuation Fund or unincorporated association)

Company Trustee Name

ABN/ACN

Contact name

Country where trust established

Type of Trust

SMSF

Family

Unit

Charitable

Other

Individual Trustee/Director 1

Title Given name(s)

Surname

Date of Birth

Place of Birth

Address

Suburb

State

Postcode

Country

Individual Trustee/Director 2

Title Given name(s)

Surname

Date of Birth

Place of Birth

Suburb

State

Postcode

Country

28a. Company Investor

Company name

ABN/ACN

Registered Office/Principal Place of Business

Contact Name

Please provide full names of all Directors of the company

Director 1 - Title

Given name(s)

Surname

Address

State

Postcode

Country

Director 2 - Title

Given name(s)

Surname

Address

State

Postcode

Country

Account Designation (if applicable) Must not be longer than 24 characters – refer to the “How to Complete” section instructions.

Go to Section 6

28b. Beneficial Owners (Trust and Company Accounts)

If you are opening a:

- **Company account** please list below each **shareholder** who has an entitlement to **25% or more of the issued shares of the company**.
- **Trust account** please list each **beneficiary** who has an entitlement to **25% or more of the property** of the trust.

Name of Individual or Corporate Shareholder

Name of Individual or Corporate Shareholder

Name of Individual or Corporate Shareholder

Name of Individual or Corporate Shareholder

Please provide identification for each person listed in this section as per the requirements detailed in the Identification Requirements and Procedures section.

29. Contact details

Residential Address details must be completed if different from your mailing address. Please note PO Box is not acceptable for a residential address but is acceptable for a mailing and registration address.

Residential Address/Registered Office Address

Suburb

State

Postcode

Country

Mailing address (if different from above)

Suburb

State

Postcode

Country

Contact Numbers

Home phone

Work phone

Fax number

Mobile

Email

30. Tax File Number (TFN)

Are you an Australian resident for tax purposes? Yes No ▶ If no, what is your country of residence for tax purposes?

Tax File Number Categories

I Individuals **C** Companies **T** Formal Trusts **S** Super Funds

Investor 1 TFN

Category

Investor 2 TFN

Category

Investor 3 TFN

Category

I/We do not want to quote a TFN for this investment (tick)

TFN exemption: If you have a TFN exemption, please provide exemption details

31a Identification - Certifications

Are your two forms of acceptable identification **for each signatory, Power of Attorney and (if applicable) Extract of Trust Deed** certified by an acceptable referee and included with the application form? (see page 9) Yes No

31b Identification - Tax Residency

i) Are any owners, beneficiaries or controlling persons of the Account; tax residents in a country outside Australia? Yes No

ii) Are any owners or beneficiaries of the account US citizens or residents of the US for tax purposes? Yes No

iii) Is this a Company account? Yes No ▶ If Yes, was the Company incorporated in a country outside Australia? Yes No

Indication of foreign tax residency will require you to provide additional information.

32 Operating Authority

Joint applicants (If no selection is made "All investors must sign" will be enforced)

Any investor may sign All investors must sign

Company/incorporated bodies (If no selection is made "All signatories must sign" will be enforced)

Any one signatory to sign All signatories must sign

Other – please specify

To access online transaction services the operating authority on your account must be set to any investor to sign.

33a Operating Instructions – Facsimile and Telephone

Do you wish to send instructions by facsimile? (If no selection is made, NO is the default option) Yes No

Do you require the use of telephone transaction facility? (If no selection is made, NO is the default option) Yes No

33b Sweep Facility

Do you require a sweep facility to settle the following accounts? (If no selection is made, no sweep facility will be established) Yes No

If yes, please complete your client number below (If you do not tick yes to sweep facility and you supply a

Ord Minnett Limited account number we will assume you selected yes to the sweep facility)

Ord Minnett Limited Equities A/C No Options A/C No

33c Operating Instructions - Online Services

Do you wish to make BPAY payments from your account and use the internet redemption facility? Yes No

(If no selection is made, NO is the default option)

Investor 1 Email

Investor 2 Email

Investor 3 Email

Would you like to receive communications, including statements and distribution advices electronically? Yes No

(If no selection is made, NO is the default option)

Investor 1 Email

Investor 2 Email

Investor 3 Email

33d Cheque Facility

Do you require a Cheque Book? Yes No If yes, please indicate Cheque Book size 25 50 100

If you have already been identified for an Ord Minnett Management Limited Cash Management Trust Cheque Book, please provide the existing account number

33e Regular Savings Plan

Do you require the use of the Regular Savings Plan? (Please see the Regular Savings Plan Form) Yes No

34 Bank/financial institution account details

Please provide your account details in this section if you require us to credit your bank/financial institution.

By providing your bank account details in this section you authorise Ord Minnett Management Limited to use these details for transaction requests unless otherwise advised in writing.

Bank/financial institution

Branch

Account name

BSB number - Account No

Please note that we do not accept third party banking details

35a Income Distributions

How would you like to receive your income distributions? (If no instruction, distributions will automatically be reinvested into the Trust.)

Reinvest in the Trust

Direct to an Australian bank/financial institution account (Complete your bank/financial institution account details in Section 11)

35b Service Fee

By signing this form I/we agree and consent to:

- (a) The payment of a Service Fee (inclusive of GST) of up to 1.16% p.a. on amounts invested into the Cash Management Trust.
- (b) The Service Fee being deducted directly from income attributable to my/our investment.
- (c) The on-payment of a portion of the Service Fee to my/our adviser (inclusive of GST) of up to 0.275% p.a. on amounts invested into the Cash Management Trust (This is not an additional expense to investors).

I/we understand that we may terminate this arrangement by providing 30 days' notice of termination in writing to the Responsible Entity.

36 Investment details – Cash Management Trust

Please indicate the amount you wish to invest in the Trust and the method of deposit:

Investment amount \$ (minimum \$100)

Cheque Deposit, Please make cheque payable to "Ord Minnett CMT <insert the name of investor>"

Direct Deposit, funds being transferred upon notification of Ord Minnett CMT banking details within 10 calendar days.

37 Audited Annual Financial Statements

How would you like to access a copy of the Audited Annual Financial Statements? (please tick)

Online

In the mail

If no instruction online will be the default option.

38. Adviser Details

Financial Adviser details

Financial Adviser Group

Office Name

Financial adviser stamp

Adviser Representative

Surname

First name(s)

Business phone

Facsimile number

Email

Instructing Dealer

I/We authorise the Australian financial services licensee named below (the Instructing Dealer) to operate my Cash Management Trust account on the terms and conditions set out in the Additional Information Guide.

Ord Minnett Limited

Representative

Ord Minnett Financial Planning

Representative

Other Authorised Australian financial services licensee (as agreed with the Responsible Entity)

Please Specify

Representative

(other Australian financial services licensee name)

Declaration

I/We acknowledge that we have read and understood the terms and conditions applying to this authority as set out in the Ord Minnett Additional Information Guide

Signed (All account holders must sign this form)

Investor 1 or director / sole director*

Investor 2 or director / sole director*

Authorised representative / instructing dealer

Print Name

Print Name

Print Name

Date

Date

Date

Important Notes

The application form must not be handed to any person unless accompanied by the PDS dated 22 June 2012. Ord Minnett Management Limited may in its absolute discretion refuse any application for units. Persons external to Ord Minnett Management Limited or other entities who market Ord Minnett products are not agents of Ord Minnett Management Limited but are independent investment advisers. Ord Minnett Management Limited will not be bound by representations or statements which are not contained in the PDS or information disseminated by Ord Minnett Management Limited. Application monies paid by cheques from financial advisers will only be accepted if drawn for the relevant fund account maintained in accordance with the Corporations Act 2001. The Cash Management Trust is offered by Ord Minnett Management Limited (ABN 55 002 262 240).

The Product Disclosure Statement for the Ord Minnett Cash Management Trust dated 22 June 2012 provides information about purchasing units in the Ord Minnett Cash Management Trust.

Any person who gives another person access to the application form must also give the person access to the PDS, the Ord Minnett Funds Additional Information Guide (AIG) and any supplementary documents.

You should read the PDS and the Additional Information Guide (AIG) before completing this application form. Ord Minnett Management Limited or a financial services provider who has provided an electronic copy of the PDS and AIG will send you a paper copy of the PDS, AIG and any supplementary documents and application form free of charge if you so request.

The information provided by me/us in this form, which forms part of my/our application for an Ord Minnett account and which will enable Ord Minnett to comply with the US Foreign Account Tax Compliance Act (FATCA), is correct and where relevant reflects my/our tax status for the purposes of FATCA. I/we will promptly notify Ord Minnett of any changes to the information provided by me/us in connection with FATCA and will provide on request any further information which is necessary for Ord Minnett to comply with its FATCA obligations.

Portfolio Administration and Reporting Service Application Form

39. Account name and Designation

Please provide details of the name of the account (this name must correspond to the name in either Sections 3, 4, or 5)

Account Name

ABN/ACN

--

Account Designation

--

40. Nominated Service

Are you opening a:

Non-Discretionary Account

A Non-Discretionary Account is one where Ord Minnett is authorised to act on your behalf in relation to the administration of your account, however your adviser cannot undertake any transaction on your account without your permission.

Managed Discretionary Account

A Managed Discretionary Account (MDA) is one where your adviser is authorised to make investment decisions and trade on your behalf without first having contacted you.

41. Third Party Details

Please provide details of a third party you require Ord Minnett to provide information to, regarding your account.

Company Name

--

ABN/ACN

--

Contact Name

--

Address

Suburb	State
Postcode	Country

Relationship to client

--

Email (Only include if you would like us to send emailed copies of reports)

--

42. Service Details

Tax Entity Selection

- Individual SMSF
 Company Trust

Trade Match Type

- First In First Out (FIFO) Minimum Gain
 Last in First Out (LIFO) Maximum Gain

Registered for GST

- No Yes

43. Service and Management Fees

By signing this form I/we agree and consent to:

- (a) The payment of a Service/Management Fee (excl. 10% GST) of % subject to a minimum fee of \$7000 p.a (excl. 10% GST) on the value of my/our investment in Portfolio Administration and Reporting Service products.
- (b) The Service/Management Fee being deducted directly by Ord Minnett (or its Clearing Participant) from my/our Ord Minnett Cash Management Account or from any other account nominated as a settlement account for the purposes of my/our dealings with Ord Minnett.
- (c) The on-payment of a portion comprising an amount of up to 65% of the Service/Management Fee to my/our adviser, in return for the services they have provided.

I/we understand that we may terminate this arrangement by providing 30 days' notice of termination in writing to Ord Minnett.

Fee Calculation Methodology (Please nominate your preferred option)

- Option 1** – Management Fees are calculated on the daily value of your portfolio under management and charged monthly in arrears.
- Option 2** – Management Fees are calculated quarterly on the value of your portfolio under management and charged in advance.

44. Transaction Fees:

Australian Stock Exchange listed investments: Brokerage for Australian Equities will be charged at a rate of (excl. GST) of the value of consideration of each transaction.

Brokerage for Australian Exchange Traded Options will be charged at a rate of % (excl. GST) of the premium value for each transaction.

A minimum charge of \$ per transaction applies.

45. Power of Attorney

THIS POWER OF ATTORNEY is made on the

Day of 20

By

1. Appointment as Attorney

In consideration of, among other things, Ord Minnett Limited ("OML") agreeing to enter into the Portfolio Services Agreement to be made between OML and the Client ("Principal Agreement") the Client irrevocably appoints:

- (a) OML;
- (b) each officer of OML as that expression is defined in the Corporations Act 2001; and
- (c) each of the persons holding the title or capacity of Operations Manager or Product Manager for OML and any person acting in that position from time to time; and
- (d) such other persons as are from time to time nominated by OML for the purposes of this power of attorney.

(each an "Attorney") severally as the attorney of the Client.

2. Powers

2.1 Non-Discretionary Account

Where the **Nominated Service chosen by the Client is a Non Discretionary Account**, the Client empowers the Attorney to:

- (a) exercise any right, power, authority, discretion or remedy in respect of any investment administered by OML under the Principal Agreement including, but not limited to:
 - (i) notifying registries of your shareholder details;
 - (ii) receiving all distributions, including directing any registry to credit dividends to your Ord Minnett Management Limited Cash Management Trust Account;
 - (iii) the acceptance of any corporate action including rights issues;
 - (iv) taking up securities pursuant to any dividend reinvestment plan or share purchase plan;
 - (v) any voting right or power;
 - (vi) making applications for, or redeeming units in, managed investments;
 - (vii) proving in any liquidation, scheme of arrangement or other composition for or arrangement with a member or any secured or unsecured creditor and whether or not pursuant to an order of the court; and
 - (viii) consenting on your behalf in respect of the proof referred to in clause (vii);
- (b) do anything which in the opinion of the Attorney is necessary, expedient or desirable for giving effect to the provisions of the Principal Agreement; and
- (c) do any other thing (whether or not of the same kind as the above) which in the opinion of the Attorney is necessary, expedient or desirable for giving effect to the provisions of this deed poll.

2.2 Managed Discretionary Account

Where the **Nominated Service chosen by the Client is a Managed Discretionary Account**, the Client empowers the Attorney to:

- (a) manage, take possession of title documents or assume control of any investment held by us under the Agreement;
- (b) sell or otherwise deal with or part with the possession of any investment held by us under the Agreement and to complete a transfer in favour of us or any other person nominated by us;
- (c) acquire any investment, in your name, which on acquisition forms part of the portfolio held by us under the Agreement;
- (d) operate any bank account which forms part of the portfolio held by us under the Agreement or open and operate a new bank account;
- (e) operate any margin lending or other credit facility specified under the Agreement for the purposes of funding the entry into or acquisition of investments;
- (f) exercise any right, power, authority, discretion or remedy in respect of any investment held by us under the Agreement including, but not limited to:
 - (i) any voting right or power;
 - (ii) the acceptance of any rights issue;
 - (iii) proving in any liquidation, scheme of arrangement or other composition for or arrangement with a member or any secured or unsecured creditor and whether or not pursuant to an order of the court;
 - (iv) consenting on your behalf in respect of the proof referred to in paragraph (f)(iii); and
 - (v) receiving all distributions;
- (g) do anything which ought to be done by you under the Agreement;
- (h) do anything which in our opinion is necessary, expedient or desirable for giving effect to the provisions of the Agreement; and
- (i) do any other thing (whether or not of the same kind as the above) which in our opinion is necessary, expedient or desirable for giving effect to the provisions of this power.

3. Use of name

The Attorney may use its powers under this deed poll in the Client's name or in the name of the Attorney and as the Client's act.

4. Benefit to Attorney

The Attorney may exercise its powers under this deed poll even if the Attorney benefits from the exercise of that power.

5. Ratification

The Client undertakes to ratify and confirm any act of the Attorney in exercise of its powers under this deed poll.

6. Delegation or substitution

The Attorney may, at any time, appoint or remove any substitute or delegate or sub-attorney.

7. No Warranty

The exercise by the Attorney of any power under this deed poll does not connote:

- (a) a warranty, express or implied, on the Part of the Attorney or on the part of OML as to:
 - (i) the Attorney's authority to exercise the power; or
 - (ii) the validity of this deed poll; or
- (b) an assumption of personal liability by the Attorney in exercising this power.

45. Power of Attorney (continued)

8. Indemnity

The Client indemnifies each Attorney against all claims, demands, losses, damages, costs, charges, outgoings and expenses however suffered or incurred by the Attorney in respect of the exercise of any of its powers under this deed poll.

9. Acknowledgement & Signatures

By signing this Application Form I/We acknowledge the following:

- I/We have received, read and understood the terms and conditions which are applicable to this Agreement and the powers conferred on Ord Minnett to act on my/our behalf pursuant to the Power of Attorney contained therein.
- I/We have agreed to the Management and Transaction Fees nominated within the Application Form and that these may be charged to an account previously nominated by me/us for the purpose of settling transactions.

EXECUTED AS A DEED by the parties

INDIVIDUAL OR JOINT EXECUTION:

Investor 1

Individual Sole Director/Secretary Trustee
 Director Secretary Power of Attorney

Signed sealed and delivered on: Date

Signed by (Full Name)

Signature

In the presence of (Name of Witness - May not be a party to the Deed)

Signature of Witness

Investor 2

Individual Sole Director/Secretary Trustee
 Director Secretary Power of Attorney

Signed sealed and delivered on: Date

Signed by (Full Name)

Signature

In the presence of (Name of Witness - May not be a party to the Deed)

Signature of Witness

Investor 3

Individual Sole Director/Secretary Trustee
 Director Secretary Power of Attorney

Signed sealed and delivered on: Date

Signed by (Full Name)

Signature

In the presence of (Name of Witness - May not be a party to the Deed)

Signature of Witness

Term Deposit Instructing Representative Form

Equities Account No. (if known)

46. Term Deposit

Client Details

Investor 1 - Title Given name(s)

Surname

Investor 2 - Title Given name(s)

Surname

Investor 3 - Title Given name(s)

Surname

Name of Company or Trust (where applicable)

of (address)

Suburb State

Postcode Country

Terms of appointment of Instructing Representative

By executing this agreement you ("the Client") nominate Ord Minnett and each person authorised to act on its behalf as an Instructing Representative.

- (a) Each Instructing Representative is authorised by you to do the following on your behalf:
- (i) place money on term deposit;
 - (ii) extend a term deposit; and
 - (iii) increase an amount on term deposit,
- with any Australian ADI (authorised deposit taking institution) within the meaning of the Banking Act 1959(Cth).
- (b) The authority conferred under this agreement may be exercised only in accordance with your prior instruction by telephone or in writing. You undertake to notify Ord Minnett immediately upon becoming aware of any transaction which has not been undertaken in accordance with your instruction or which you believe may have been undertaken without your express approval. If you do not raise any concerns about a transaction within 14 days of having been given written notice of its execution, it will be presumed that you have consented to the transaction and you agree not to hold Ord Minnett liable for any resultant loss.
- (c) You agree that in relation to telephone instructions properly made by you to an Ord Minnett Instructing Representative that:
- (i) Ord Minnett is authorised to accept and act upon any telephone instruction given to Ord Minnett which purports to have been given by you in accordance with this authority;
 - (ii) Ord Minnett is under no duty to make any enquiry as to whether the telephone instructions have in fact been issued with your authority;
 - (iv) that you will ratify each and every action taken by an Instructing Representative while this authority applies;
 - (v) Ord Minnett will not be responsible for any loss, damage or liability you may suffer or incur by reason of, or in connection with:

- (A) Ord Minnett acting on any telephone instruction which purports to have been delivered from any Instructing Representative on your behalf;
- (B) any error in the telephone instruction; or
- (C) any delays in following a telephone instruction.

- (d) Ord Minnett may choose not to accept or act upon any instruction given under this authority. Ord Minnett may also choose to only accept or act upon an instruction after the instructions are confirmed or further information is provided.
- (e) Ord Minnett is not obliged to action any instruction unless there are enough funds available to carry out the request.
- (f) Ord Minnett may vary the terms of this authority or cancel the appointment of an Instructing Representative by giving you at least seven days written notice.
- (g) You may cancel the appointment of an Instructing Representative at any time by giving Ord Minnett written notice. You agree that Ord Minnett may, by giving you notice, override this authority and require that you personally endorse all or specific future term deposits.
- (h) By executing this Agreement, you authorise Ord Minnett to make adviser remuneration payments detailed in transaction confirmations, Statements of Advice or Records of Advice (and in other such documents as may be sent to you from time to time) to your Instructing Representative for the information, assistance and services provided to you in relation to this service. You authorise Ord Minnett to pay this amount on to your Instructing Representative if they have met the Ord Minnett performance criteria for obtaining that fee or such lesser amount as your Instructing Representative is entitled to under the Ord Minnett performance criteria. If your Instructing Representative does not meet such criteria, you authorise Ord Minnett to retain the amount, or so much of the amount as your Instructing Representative is not entitled to under the Ord Minnett performance criteria.

Client Declaration and Signature

By signing below, I/we acknowledge that I/we authorise each person named as an Instructing Representative to give instruction to any Australian ADI (authorised deposit taking institution) within the meaning of the Banking Act 1959(Cth) in relation to term deposits on my behalf.

Investor 1 or Director/Sole Director

(please circle if Sole Director) Date

Signed by (Full Name)

Investor 2 or Director/ Company Secretary

(please circle) Date

Signed by (Full Name)

Investor 3 or Director/ Company Secretary

(please circle) Date

Signed by (Full Name)

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Sydney NSW 2000
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Fax: (02) 8216 6311
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Adelaide SA 5000
Tel: (08) 8203 2500
Fax: (08) 8203 2525

Brisbane

Level 31
10 Eagle St
Brisbane QLD 4000
Tel: (07) 3214 5555
Fax: (07) 3214 5550

Buderim, Sunshine Coast

Burnett House
1/99 Burnett Street
Buderim QLD 4556
Tel: (07) 5430 4444
Fax: (07) 5430 4400

Caloundra, Sunshine Coast

79-81 Bulcock Street
Caloundra QLD 4551
Tel: (07) 5491 3100
Fax: (07) 5491 3222

Canberra

101 Northbourne Avenue
Canberra ACT 2600
Tel: (02) 6206 1700
Fax: (02) 6206 1720

Coffs Harbour

Suite 4, 21 Park Avenue
Coffs Harbour NSW 2450
Tel: (02) 6652 7900
Fax: (02) 6652 5716

Gold Coast

Level 7, 50 Appel Street
Surfers Paradise QLD 4217
Tel: (07) 5557 3333
Fax: (07) 5557 3377

Mackay

45 Gordon Street
Mackay QLD 4740
Tel: (07) 4969 4888
Fax: (07) 4969 4800

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Level 7
161 Collins Street
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Newcastle NSW 2300
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ORD MINNETT

PRIVATE WEALTH