

 This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.

Which Company's Account Operators Need to be Changed?

Company name

New Director / Secretary

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

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

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

Male
 Female

Residential Address

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode

Country

Postal Address

Same as residential address

Street address

Suburb
 State
 Postcode

Country

Contact Details

Email address

Mobile number

Home number – *Optional*

Work number – *Optional*

Employment Information

Refer to 'Job and Industry Classifications List' available on the website for a list of acceptable Job Categories and Types.

Job category

Job type

Please confirm the percentage of the company the Director owns.

Trading Account Online Access – *Optional*

You must provide a temporary password for online access. You will need this password the first time you log in.

Password should be 6-16 characters long and must not contain any special characters.

Password

Identification – Choose one of the two identification options below.

<input type="radio"/>	<p>Option 1 – <i>Passport or Australian Driver Licence</i></p> <p>Attach a copy of two of the following items to this application: Passport, Australian Driver Licence, Medicare Card.</p> <p>By selecting this option and providing copies of your ID you consent to the electronic verification of your ID documents as outlined in the Declaration Section of this form.</p>
<input type="radio"/>	<p>Option 2 – <i>No Passport or Australian Driver Licence</i></p> <p>If you do not have a Passport or Australian Driver Licence contact us for alternative options to confirm your identity.</p>

Remove Directors / Secretaries

Name of director / secretary to be removed

Name of director / secretary to be removed

Declaration and Acknowledgement

1. I/We authorise you to act in accordance with my/our instructions provided above.
2. I/We declare that the information provided on this form is true and correct and that the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure.
3. I/We acknowledge that the names of any director or secretary not registered with ASIC will be removed from the account.
4. I/We will promptly notify AUSIEX of any changes to the information.
5. I/We acknowledge that AUSIEX may require further information from time to time and I/we agree to promptly provide AUSIEX with whatever additional information is reasonably required by AUSIEX.
6. For companies holding trading accounts: I/We acknowledge that I/we have received and agree to be bound by the Share Trading Terms and Conditions and consent to the uses and disclosures of my/our personal information set out in the Privacy Policy available from the website.
7. AUSIEX is required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to collect information about you and verify your identity before we can provide you with the services or products for which you've applied. If you selected 'Option 1 – Passport or Australian Driver Licence' in the Identification section above the following applies to you:
 - a. I/We consent to having electronic identification performed using personal details and identification documents. I/We have provided, and understand that providing false or misleading information about my/our identity/s is an offence under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.
 - b. I/We consent to having my/our personal details and identification documents matched to information held by the issuer or official record holder via third party systems.
 - c. I/We understand that my/our personal information will be exchanged with external organisations including: credit reporting agencies, Commonwealth and State government departments, independent and private sector organisations and outsourced providers who coordinate the electronic identification process and who may conduct additional matches against public or proprietary databases.
 - d. As part of the electronic identification process, I/we permit these external organisations to record, use and disclose my/our information in accordance with their own privacy policies and legal obligations. I/We understand that AUSIEX and its outsourced providers will access records held about me/us by these external organisations only for the purpose of matching the identifying information I/we have chosen to provide.
 - e. I/We consent to providing my/our name/s, address/es and date of birth to selected credit reporting agencies to match this information against their records.
 - f. I/We understand that this is done only for identity verification purposes as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You do not have to consent to electronic verification. If you do not want to be verified electronically, please contact us for alternative options of confirming your identity.

New Director / Secretary – If applicable

Full name Date – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

i All current account operators need to sign this section.

Existing Director / Secretary 1

Full name Date – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

Existing Director / Secretary 2 – If applicable

Full name Date – DD / MM / YYYY
 / /

Signature – *Must be signed pen to paper*

i Ensure ASIC details are up to date before lodging this form with us.

Share Trading is a service provided by Australian Investment Exchange Ltd (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400. AUSIEX is a market participant of ASX & Chi-X Australia, a clearing participant of ASX Clear Pty Limited and a settlement participant of ASX Settlement Pty Limited.

How to submit your documents

Clients

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

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

AUSIEX, Locked Bag 3005, Australia Square NSW 1215

1800 252 351 service@ausiex.com.au ausiex.com.au

Advisers

Lodge this form and all supporting documents
ausiex.com.au > Administration > eSubmit

