

# Wholesale Broking Solutions.

## ASX Execution · International Trading

*SMSF / Trust / Company / Individual*

Select the services you are applying for:

Retail

ASX (Schedule A) + International Trading (Schedule B)

Retail application guide with required steps – Page 23

**Wholesale Broking Solutions Pty Ltd**

ABN 41 643 105 999 | CAR 001282970

Authorised Representative of BR Securities Australia Pty Ltd (AFSL 456663)

Version 1.0

Important notice - please read before completing this form

- ★ Complete Parts A and B in full - these sections apply to all applicants
- ★ Complete only the Part(s) for the service(s) you have selected on the cover page.
- ★ For International Trading (Schedule B), a W-8BEN or W-8BEN-E is required before any US-listed securities can be traded.
- ★ SMSF trustees must confirm the fund's investment strategy authorises each asset class being applied for.
- ★ Providing your TFN, ABN, or Exemption Code is optional but withholding tax may apply if not provided.
- ★ Under FATCA and CRS, you must provide all countries of tax residency.

Adviser code / username

Adviser name

Brokerage code (optional)

### Key Risks Summary

Please read this page before completing the application. The risks below apply to the services you select on the cover page.

**Nature of service - execution only**

WBS provides execution-only services. WBS does not provide personal financial advice or recommendations and does not take into account your objectives, financial situation, or needs.

WBS does not make recommendations on the suitability of any investment or strategy. You are responsible for all investment decisions.

Orders may be executed via third-party execution venues and clearing participants. WBS maintains and applies a Best Execution Policy designed to obtain the best possible result for clients on a consistent basis, taking into account price, cost, speed, likelihood of execution and settlement, and other relevant factors.

WBS does not guarantee the continuous availability of trading systems or data platforms. To the maximum extent permitted by law, WBS excludes all liability for any loss arising from system outages, data errors, delays, or failures of third-party providers, except to the extent such loss is caused by WBS's fraud, wilful misconduct, or gross negligence.

You are responsible for monitoring your own positions and meeting all settlement and margin obligations as they fall due. WBS does not warrant the accuracy, completeness, or timeliness of any information, market data, or research provided, and such information may be subject to change without notice.

WBS is not responsible for the acts or omissions of any third-party service provider, including clearing participants, custodians, execution venues, market operators, or data providers.

No third-party service provider engaged in connection with the services acts as an agent of WBS.

### No Reliance and Client Responsibility

You acknowledge that you have not relied on any communication from WBS as a recommendation or statement of opinion intended to influence your investment decisions. You are solely responsible for evaluating the merits and risks of any transaction and for obtaining independent advice where required.

## Conflicts of Interest

WBS may receive fees, commissions, spreads or other benefits from third parties in connection with the services provided, including from execution venues, liquidity providers, and foreign exchange providers. Details of such arrangements are set out in the WBS Financial Services Guide (FSG).

Part A

## Applicant Details - All Services

### A1 Account Entity Type

Select the legal entity for this account:

- Individual / Joint
- SMSF / Trust - Individual or Joint as trustee
- SMSF / Trust - Company as trustee
- Company

### A2 Personal Details - Applicant / Director / Trustee 1

Mr  Ms  Mrs  Miss  Dr  Other: \_\_\_\_\_

First name	
Surname	
Other name(s) commonly known by	
Middle name(s)	
Date of birth DD / MM / YYYY	
Gender	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Not specified

**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/Work (optional)	

**Employment**

Job Category	
Job Type	

**Additional Applicant / Director / Trustee 2 - if applicable**

Complete the same fields above for each additional Director or Trustee. Copy and attach additional pages as required.

Mr  Ms  Mrs  Miss  Dr  Other: \_\_\_\_\_

First name	
Surname	
Other name(s) commonly known by	
Middle name(s)	
Date of birth DD / MM / YYYY	
Gender	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Not specified

**A3 Company Details - If Applicable**

Company name	
Registered business name	
ABN	
ACN	
Type of company	<input type="radio"/> Public <input type="radio"/> Proprietary / Private
Established in Australia?	<input type="radio"/> Yes <input type="radio"/> No
Operating as a charity?	<input type="radio"/> Yes <input type="radio"/> No If yes, state objective:
Tax File Number or Exemption Code	
Company industry category	
Company industry type	
Company contact email	
Company contact phone	

**Company Address**

Street address (cannot be a PO Box)	
Suburb	
State	
Postcode	
Country	
Postal address	<input type="checkbox"/> Same as registered
Principal place of business	<input type="checkbox"/> Same as registered

**Additional Directors**

Director 1: Full name	
Director 2: Full name	
Director 3: Full name	

**A4 Beneficial Owner Details - Mandatory for Proprietary / Private Companies**

<p>A. Are there individuals who own 25%+ of shares (directly or indirectly)?  <input type="radio"/> Yes - complete D <input type="radio"/> No - go to B</p> <p>B. Are there individuals who control 25%+ of shares via voting rights?  <input type="radio"/> Yes - complete D <input type="radio"/> No - go to C</p> <p>C. If no beneficial owners, provide details in D of individuals responsible for strategic / financial decisions (e.g. CEO, Managing Director).</p>
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D. Provide personal details for at least one individual:

Beneficial Owner / Controller 1 same as Applicant 1

Beneficial Owner / Controller 1 same as Applicant 2

Or complete Appendix 1 at the end of this form for each additional Beneficial Owner / Controller.

## A5 Trust / SMSF Details - If Applicable

### Trust Type

SMSF  Family  Testamentary  Other: \_\_\_\_\_

Full Trust Name - as per Trust Deed	
Account Designation (do NOT use "trust", "ATF", "trustee", "Testamentary" - CHESS will not accept these)	
Established in Australia?	<input type="radio"/> Yes <input type="radio"/> No
Operating as a charity?	<input type="radio"/> Yes <input type="radio"/> No
ABN	
Tax File Number or Exemption Code - optional	
Trust industry category	
Trust industry type (SMSF: Finance and Insurance / Superannuation Funds)	

### Settlor - Mandatory except SMSF and Testamentary

Was the trust established with a settled sum of \$10,000 or more?	<input type="radio"/> Yes <input type="radio"/> No If yes, name of settlor:
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### Trust / SMSF Address

Registered address	<input type="checkbox"/> Same as applicant <input type="checkbox"/> Same as Company
Street address	
Suburb	
State	
Postcode	
Country	

### Beneficiary Details - Mandatory except for SMSF

Membership classes (e.g. unit holder, family member)	
Beneficiary 1: Full name	
Beneficiary 2: Full name	

Part B

Regulatory & Classification - All Services

**B1 Source of Funds, Source of Wealth and Tax Residency**

**Source of Funds and Source of Wealth**

Source of Funds: the origin of funds used to service this account (e.g. salary, investment income, fund contributions, sale of asset, loan proceeds, inheritance). For international accounts, include the origin of any foreign currency funds.

Source of Wealth: the origin of your overall financial standing or total net worth (e.g. business income, real estate, investment earnings, corporate investments, mergers and acquisitions).

Source of Funds	
Source of Wealth	

**Tax Residency - FATCA and CRS**

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

Country of tax residency	Tax Identification Number (TIN)	OR	Reason Code (A = no TINs issued, B = not issued TIN, C = disclosure not required)	US Person? (Y/N)
		OR	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	<input type="radio"/> Yes <input type="radio"/> No
		OR	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	<input type="radio"/> Yes <input type="radio"/> No
		OR	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	<input type="radio"/> Yes <input type="radio"/> No

If you identified as a US citizen or resident in the table above, complete Section D3 (W-8BEN / W-8BEN-E) before US market access can be activated.

**B2 Identification - AML/CTF**

To meet our obligations under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth), as amended by the AML/CTF Amendment Act 2024, we must identify all applicants before providing any service.

Please attach two copies of primary ID for each applicant, director, trustee, and beneficial owner:

- Australian Driver Licence (front and back), AND
- Passport OR Medicare Card

Refer to the Identification Documentation Requirements list on our website.

By submitting copies of your identification you consent to electronic verification as described in the Declaration section (Part F).

WBS may conduct ongoing monitoring of transactions and client activity and may be required to report certain matters to AUSTRAC in accordance with applicable laws.

**Product Disclosure Statements (PDS) - retail vs wholesale clients**

For Schedule A (ASX Execution) and Schedule B (International Trading):

- Retail clients: Where a financial product requires a Product Disclosure Statement under the Corporations Act, it will be provided prior to the provision of the relevant financial service to retail clients. However, if financial products are involved that require a PDS under Part 7.9 of the Corporations Act, your adviser must ensure you receive it before the service is provided.

If you are unsure whether a PDS applies to a particular product or service, contact your adviser or WBS at [compliance@wholesalebroking.com](mailto:compliance@wholesalebroking.com).

Part C

**ASX Execution - Schedule A**

Complete Part C only if you selected Schedule A - ASX Execution via AUSIEX on the cover page.  
ASX Execution is available to retail and wholesale clients.

**C1 CHESSE Registration Details**

Same as Applicant 1

Email address for electronic CHESSE statement delivery

I do not wish to receive electronic CHESSE statements

**CHESSE Address**

Same as Applicant 1 postal address

Same as Company postal address

Same as Trust postal address

Street address	
Suburb	
State	
Postcode	

**C2 Settlement - ASX Execution**

Nominate a settlement account for ASX share purchases and settlements:

**Option A - AUD bank account**

Account name	
BSB	
Account number	

**Option B - Third party settlement (e.g. margin loan or WRAP account)**

Third party settlement provider	
Account name	
Account number	

- The nominated bank account must be in the same entity name as this application.
- Provide a bank statement (header page) confirming account name, BSB and account number.
- AUSIEX will only pay settlement monies to the nominated account, not to any third party.

**CHESSE sponsorship and settlement failure**

Your ASX-listed securities will be held in CHESSE under a Participant Sponsorship Agreement with AUSIEX. You will be allocated a Holder Identification Number (HIN) under AUSIEX's sponsorship.

You are responsible for ensuring sufficient funds or securities are available to meet settlement obligations on the settlement date (standard: T+2). Failure to settle may result in: (a) a buy-in or sell-out by AUSIEX to rectify the fail; (b) fees, interest, and penalties charged by AUSIEX or ASX; and (c) suspension of trading access until the fail is resolved.

WBS is not responsible for settlement failures arising from insufficient funds, incorrect SRN details, or delays by third parties

**Dividend Redirection**

Pay dividends from ASX-listed securities directly to the linked settlement account

Part D

**International Trading - Schedule B**

Complete Part D only if you selected Schedule B - International Trading on the cover page.

International Trading is available to retail and wholesale clients.

Leave this section blank if you are not applying for International Trading.

★ International securities are held through a nominee/custodial structure - NOT directly in your name under a CHESSE HIN. See Section D4.

**D1 Market Access Elections**

Select all international exchanges you wish to access. This determines the brokerage schedule, data subscriptions, and additional documentation required.

Market	Exchange / Venue	CCY	Access?	Additional requirement
United States	NYSE / NASDAQ / NYSE Arca	USD	<input type="radio"/> Yes <input type="radio"/> No	W-8BEN / W-8BEN-E (Section D3)
Hong Kong	HKEX	HKD	<input type="radio"/> Yes <input type="radio"/> No	Connected persons declaration
United Kingdom	London Stock Exchange	GBP	<input type="radio"/> Yes <input type="radio"/> No	—
Japan	Tokyo Stock Exchange (TSE)	JPY	<input type="radio"/> Yes <input type="radio"/> No	—
Singapore	Singapore Exchange (SGX)	SGD	<input type="radio"/> Yes <input type="radio"/> No	—
Canada	TSX / TSX Venture	CAD	<input type="radio"/> Yes <input type="radio"/> No	—

Market	Exchange / Venue	CCY	Access?	Additional requirement
Germany	Xetra / Frankfurt	EUR	<input type="radio"/> Yes <input type="radio"/> No	—
France / Other	Euronext	EUR	<input type="radio"/> Yes <input type="radio"/> No	—
Other (specify)			<input type="radio"/> Yes <input type="radio"/> No	

Other exchange(s)	
Specify market	
Exchange name	
Base currency:	

## D2 Base Currency and FX Preferences

Preferred base / reporting currency	<input type="radio"/> AUD <input type="radio"/> USD
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FX conversion preference after settlement in foreign currency:

- Convert foreign currency proceeds back to AUD after each settlement
- Hold foreign currency balances in a multi-currency cash account for reuse in future trades
- Convert only when directed by me / us - no automatic conversion

### Platform and Data Subscriptions

WBS can provide you with a trading platform, chose which you wish to use:

Trading platform	<input type="radio"/> Equix	<input type="radio"/> IRESS Viewpoint	<input type="radio"/> To be arranged separately
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Data subscriptions and fee's (GST inc):

Equix – Trader Type	<input type="radio"/> Retail (Non-Professional)	<input type="radio"/> Professional
ASX - Delayed data only no real-time feed	<input type="radio"/> Retail - FREE	<input type="radio"/> Professional - FREE
ASX - Live data (ASX and CBOE), real-time feed	<input type="radio"/> Retail - \$50	<input type="radio"/> Professional - \$200

IRESS Viewpoint – Trader Type All data feed costs are on top of the platform fee All markets listed below delayed or EOD free	<input type="radio"/> Retail (Non-Professional) \$20	<input type="radio"/> Professional \$100
ASX - Live data (ASX and CBOE), level 2	<input type="radio"/> Retail - \$50	<input type="radio"/> Professional - \$200
US markets real-time data (NYSE / NASDAQ), level 1	<input type="radio"/> Retail - price upon request	<input type="radio"/> Professional - price upon request
Hong Kong real-time data (HKEX), level 1	<input type="radio"/> Retail - price upon request	<input type="radio"/> Professional - price upon request
European real-time data (LSE, Xetra, Euronext)	<input type="radio"/> Retail - price upon request	<input type="radio"/> Professional - price upon request
Asia-Pacific real-time data (TSE, SGX)	<input type="radio"/> Retail - price upon request	<input type="radio"/> Professional - price upon request

I / We authorise applicable data subscription fees to be debited from the linked settlement account:

- Yes - authorise data fee debiting  No - I will arrange data fees separately

**D3 US Tax Withholding - W-8BEN / W-8BEN-E**

Complete Section D3 only if you elected US market access (NYSE, NASDAQ, or NYSE Arca) in Section D1.

The W-8BEN form is available in Appendix 3 in this application form, or can be downloaded from: <https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

Please refer to the IRS website for instructions how to fill in the form: <https://www.irs.gov/pub/irs-pdf/iw8ben.pdf>

- ★ Required by the US IRS. Without a valid W-8BEN on file, the clearing partner must withhold 30% on all US-source dividends and payments.
- ★ The Australia-US DTA reduces the withholding rate to 15% for Australian tax residents who complete a valid W-8BEN or W-8BEN-E.
- ★ W-8BEN: individuals and SMSF trustees signing personally.
- ★ W-8BEN-E: companies, trusts as entities, corporate trustees.
- ★ These declarations expire after 3 years. You are responsible for ensuring that a valid W-8BEN or W-8BEN-E is maintained at all times. WBS may, but is not obliged to, notify you prior to expiry.

Entity type for US withholding	<input type="radio"/> W-8BEN (individual / personal trustee)	<input type="radio"/> W-8BEN-E (company / corporate trustee / trust as entity)
Are you a US citizen?	<input type="radio"/> Yes <input type="radio"/> No	
Are you a US resident for tax purposes?	<input type="radio"/> Yes <input type="radio"/> No	

If you answered Yes to either question above, you cannot complete a W-8BEN and must contact WBS at [compliance@wholesalebroking.com](mailto:compliance@wholesalebroking.com) before proceeding.

Country of tax residency for DTA purposes	
Applicable DTA withholding rate on US dividends % (Australia-US DTA standard: 15%)	

WBS does not provide tax advice. You are responsible for obtaining independent tax advice in relation to your tax residency status, withholding tax obligations, and the application of any double taxation agreements.

**W-8BEN Declaration - Under penalties of perjury:**

I certify that: (a) I am the individual beneficial owner (or authorised to sign for the beneficial owner) of all income to which this form relates; (b) the person named is not a US person; (c) the income is not effectively connected with a US trade or business; and (d) I will submit a new form within 30 days if any certification becomes incorrect.

Signature: \_\_\_\_\_ Full name: \_\_\_\_\_

Capacity: \_\_\_\_\_ Date: \_\_/\_\_/\_\_\_\_

**W-8BEN-E Additional Details (companies, trusts, corporate trustees):**

Entity name (as registered)	
Country of incorporation / establishment	
Chapter 3 entity type (e.g. Corporation, Complex Trust)	
Chapter 4 FATCA status (e.g. Active NFFE, Passive NFFE)	
GIIN - Global Intermediary Identification Number (if applicable)	

#### **D4 Nominee Custody and Offshore Risk Acknowledgement**

ASX and international securities acquired through this account will be held by WBS's Prime Clearing Partner (the Custodian) in a nominee account on your behalf.  
Your beneficial interest is recorded in the Custodian's books - not on a public register in your name. This is different to ASX securities held under a CHESSE HIN.  
You acknowledge that client assets may be commingled with those of other clients in omnibus accounts, and that individual segregation may not be maintained.

Tick each item to confirm you have read and understood the risk:

- Counterparty risk: In the event of the Custodian's insolvency, your ability to recover securities may be subject to foreign laws. Recovery is not guaranteed.
- Jurisdictional risk: Foreign market laws and regulations differ materially from Australian laws and may affect your ability to trade, transfer, or recover securities.
- Corporate actions and voting: Your ability to participate in corporate actions and exercise voting rights may be limited. These will be processed by the Custodian.
- Settlement timing: International settlement cycles may differ from ASX. Settlement fail risk is your responsibility.
- Clearing partner identity: WBS may not be able to disclose the full identity of the Prime Clearing Partner where this is considered to be commercially confidential.
- You acknowledge that your rights in respect of such securities may be subject to the rights of the Custodian and applicable laws of the relevant jurisdiction, and that in an insolvency scenario, your claims may rank behind secured creditors or other claimants.

I / We confirm that I / We have read, understood, and accept the nominee custody arrangements and associated risks described in this section.

Applicant / Trustee 1 signature: \_\_\_\_\_ Date: \_\_ / \_\_ / \_\_\_\_\_

Applicant / Trustee 2 signature: \_\_\_\_\_ Date: \_\_ / \_\_ / \_\_\_\_\_

#### **D5 FX and Currency Risk Acknowledgement**

- Currency movements may increase or decrease the AUD value of my / our international investment independently of the underlying asset's performance.
- FX conversion fees apply to each trade settled in a foreign currency, in addition to brokerage.
- WBS does not provide FX hedging advice or recommendations. I / We are responsible for managing my / our own currency exposure.
- Exchange rate risk is not covered by any product disclosure or guarantee from WBS or its Clearing Partner.
- I / We have received and read WBS's FSG and the risk disclosure statement, which includes disclosure of FX risk applicable to international trading.

#### **D6 SMSF Investment Strategy Confirmation - SMSF Trustees Only**

*Complete Section D6 only if the entity type selected in Section A1 is SMSF. Required under the SIS Act s52B.*

- ★ The fund's investment strategy must explicitly authorise international equities before this account can be activated.
- ★ WBS cannot activate the international trading component of this account without this section being completed and signed by all trustees.

Has the investment strategy been reviewed and updated to include international equities	<input type="radio"/> Yes - attach extract	<input type="radio"/> No - account activation withheld until provided
Maximum % to international equities		
Maximum % to foreign currency holdings		
Strategy review date DD / MM / YYYY		

Trustees confirm they have considered the following in accordance with SIS Act s52B:

- Risk involved in making, holding, and realising investments, having regard to the fund's objectives and expected cash flow requirements
- Diversification of the fund's investments and exposure to risks from inadequate diversification
- Liquidity of the fund's investments, having regard to expected cash flow requirements
- The fund's ability to discharge existing and prospective liabilities
- Whether to hold insurance for the members of the fund

Trustee Declaration: I / We declare that (a) the investment strategy has been updated to include international equities; (b) the strategy specifies the maximum allocation stated above; (c) the strategy has been signed by all trustees and is available for production to the ATO on request.

Trustee 1 signature: \_\_\_\_\_ Full name: \_\_\_\_\_ Date: \_\_ / \_\_ / \_\_\_\_

Trustee 2 signature: \_\_\_\_\_ Full name: \_\_\_\_\_ Date: \_\_ / \_\_ / \_\_\_\_

## **D7 Settlement - International Trading**

### **AUD bank account (with automatic FX conversion)**

- Use the same bank account as your ASX share settlements

Account name	
BSB	
Account number	

Part F

## Declarations and Signatures - All Applicants

### F1 General Client Declaration

All applicants and the adviser must sign this section. This declaration applies to all services applied for.

I / We understand, acknowledge and declare:

1. I / We have been supplied with, read, and understood: the WBS Financial Services Guide (FSG); WBS Trading Risk Disclosure Statement (covering all services applied for, including international trading and FX risk where applicable); the WBS Terms and Conditions; and the WBS Best Execution Policy. I / We understand that orders may be routed to and executed by third-party execution venues and clearing participants, and that while WBS will take reasonable steps to obtain best execution, subject to market conditions, liquidity, and system constraints, WBS does not guarantee execution at a specific price or within a specific time.
2. I / We agree to be sponsored by the Participant (AUSIEX) under the terms of the Participant Sponsorship Agreement (for ASX-listed securities).
3. I / We authorise the adviser to give instructions to WBS on my / our behalf in relation to the services selected in this application. The adviser acts on an execution-only basis in connection with WBS Services - WBS does not verify the suitability of any instruction received from the adviser and is entitled to rely on instructions from the adviser within their stated scope of authority. The adviser's authority is limited to the scope specified in Section G (Supporting Document Checklist) and Schedule 3 of the Master Distribution Agreement.
4. I / We authorise WBS/AUSIEX (APCA User ID 093993) to debit / credit my / our nominated AUD or USD currency account through BECS for settlement purposes.
5. I / We acknowledge that AUSIEX and WBS's clearing partner are required under the AML/CTF Act 2006 (Cth) (as amended by the AML/CTF Amendment Act 2024) to verify my / our identity before providing services.
6. I / We consent to electronic identification and to my / our personal details being matched via third party systems including credit reporting agencies and government departments.
7. I / We acknowledge the nominee custody arrangements described in Section D4 (if Schedule B is elected) and accept the associated risks.
8. I / We confirm that the investment strategy has been updated as declared in Sections D6 (SMSF trustees only).
9. I / We declare that all information provided in this application is complete and correct. The law prohibits the use of false names or false documents in connection with an identification procedure.
10. I / We acknowledge that WBS provides execution-only services and does not provide personal financial advice or make recommendations. WBS does not consider my / our objectives, financial situation, or needs in connection with the WBS Services. I / We am / are solely responsible for all investment decisions made in connection with this account.
11. I / We acknowledge that I / We am / are responsible for monitoring my / our positions and meeting all settlement obligations, margin calls, and other financial obligations as they fall due. WBS does not guarantee continuous availability of trading systems and is not responsible for losses arising from system unavailability, market conditions, or the acts or omissions of third-party execution venues or clearing participants.

#### 12. Limitation of Liability

To the maximum extent permitted by law, WBS excludes all liability for any indirect, incidental, special or consequential loss, including loss of profits, revenue, opportunity or goodwill for any loss, damage, cost or expense suffered by you in connection with the services provided, whether arising in contract, tort (including negligence), statute or otherwise, except to the extent such liability cannot be excluded under applicable law.

Where liability cannot be excluded, WBS's liability is limited to the resupply of the relevant service or the cost of resupplying that service.

#### 13. Force Majeure

WBS is not liable for any failure or delay in the performance of its obligations where such failure or delay arises from events beyond its reasonable control, including but not limited to market disruptions, exchange outages, system failures, acts of God, war, international conflict, pandemics, communication failures, or regulatory actions.

For Trusts only: I / We warrant that the trust deed authorises the opening and operation of this account and that authority has been given by signature of all trustees or, where the trustee is a company, by board resolution.

For Adviser authority: I / We acknowledge that WBS is not responsible for monitoring the actions of the adviser or ensuring that instructions are consistent with your investment objectives.

This application, together with the WBS Financial Services Guide, Risk Disclosure Statement, and any applicable service agreements, constitutes the entire agreement between you and WBS and supersedes all prior communications, representations or understandings.

This application and any services provided by WBS are governed by the laws of Victoria, Australia, and you submit to the non-exclusive jurisdiction of its courts. Financial services are provided by Wholesale Broking Solutions Pty Ltd as a Corporate Authorised Representative (CAR 001282970) of BR Securities Australia Pty Ltd (AFSL 456663).

Applicant / Trustee 1 - Full name and signature

Date signed DD / MM / YYYY	

Applicant / Trustee 2 - Full name and signature

Date signed DD / MM / YYYY	

## F2 Adviser Declaration

1. As the adviser, I confirm the client has been provided with and read the WBS FSG, WBS Trading Risk Disclosure Statement (Appendix 2), and all relevant product disclosure materials prior to receiving any financial service.
2. I have been appointed as adviser by the applicant(s) and have identified the applicant(s) and, where applicable, the Trust in accordance with AML/CTF obligations.
3. WBS is authorised to take instructions from this client's adviser on behalf of the applicant(s).

WBS may rely on the adviser's confirmations and is not responsible for any failure by the adviser to provide required disclosures or act in the client's best interests.

Adviser - Full name and signature

Adviser code	
Date signed DD / MM / YYYY	

### Part G

## Supporting Document Checklist

Attach all applicable documents before submission. Incomplete applications will be returned.

● Red = mandatory for all applicants. ○ Grey = applies to specific entity types / circumstances. Service labels indicate which schedule requires the document.

	Applies to	Document / Requirement	Enclosed	WBS use only
●	All entities	Completed and signed Application Form (this document - all applicable parts)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	All entities	Board Resolution or Authority Document authorising execution of this application and naming authorised signatories	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	All entities	Certified photo ID for each Authorised Representative and Beneficial Owner: Australian Driver Licence (front and back) AND Passport or Medicare Card	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	All entities	Proof of residential address for each Authorised Representative and Beneficial Owner (utility bill or bank statement - less than 3 months old)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Schedule A	[Sch A] Signed AUSIEX Share Trading Terms and Conditions (Form 1029)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Schedule A	[Sch A] AUD settlement bank account confirmation: bank statement header showing BSB, account number and account name (must match entity name)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Schedule B	[Sch B] Signed International Trading Agreement (WBS) - provided separately by WBS	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Schedule B	[Sch B] Nominee custody and offshore risk acknowledgement - Section D4 signed by all applicants	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Schedule B	[Sch B] FX and currency risk acknowledgement - Section D5 signed	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Sch B - US access	[Sch B] W-8BEN (individuals / personal trustees) or W-8BEN-E (companies / corporate trustees) - signed under penalty of perjury (Section D3)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
●	Sch B - SMSF only	[Sch B] SMSF investment strategy extract confirming international equities are within scope - Section D6 declaration and strategy extract	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	Sch B - HKEX	[Sch B] Hong Kong connected persons declaration (required for HKEX access)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	Sch B (optional)	[Sch B] Foreign currency account confirmation: bank statement showing account name, SWIFT/BIC and account number (if elected)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	Companies	ASIC Company Extract (current - issued within 3 months)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	Companies	Certificate of Incorporation and Constitution / Memorandum and Articles of Association	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	Trusts / SMSFs	Certified copy of Trust Deed extract (trustee names, date of execution, beneficiaries)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	SMSFs	SMSF ABN confirmation (WBS verifies via ABN Lookup - no separate document usually required)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	If applicable	Power of Attorney (certified copy) - if instructions will be given by an attorney	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	If applicable	FATCA / CRS Declaration Form (Form 1004) - if tax residency section is incomplete or additional detail required	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified
○	If PEP identified	Enhanced Due Diligence (EDD) documentation — WBS Compliance will specify requirements. If PEP identified	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	<input type="checkbox"/> Verified

Part H  
**For WBS Internal Use Only - Do Not Complete**

Application received	Received by	KYC / AML status	W-8BEN status		SMSF strategy verified
Date: ___/___/_____		<input type="radio"/> Pass <input type="radio"/> Refer <input type="radio"/> Reject	<input type="radio"/> Received <input type="radio"/> Pending <input type="radio"/> N/A		<input type="radio"/> Confirmed <input type="radio"/> Pending <input type="radio"/> N/A
WBS account no.	AUSIEX account no.	CHESS HIN	Sanctions screening		Credit limit approved
			<input type="radio"/> Clear <input type="radio"/> Match - escalated	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Pending	\$ _____

**Explanatory Notes**

<p><b>Source of Funds</b> The origin of funds used to service the account - e.g. salary/wages, business income, investment income, loan proceeds, inheritance, gift, sale of asset, liquidation, redundancy, insurance, government benefits, tax refund, windfall. For international accounts, include the origin of foreign currency funds.</p>	<p><b>Source of Wealth</b> The origin of your overall financial standing - e.g. business income, business profits, compensation, corporate investments, gift/donation, insurance, investment income, liquidation of assets, mergers and acquisitions, real estate ownership, rental income, sale of assets.</p>
<p><b>W-8BEN / W-8BEN-E</b> Required for US market access. Certifies non-US person status and claims reduced withholding under the Australia-US DTA (standard rate: 15% rather than 30%). W-8BEN for individuals and personal trustees. W-8BEN-E for entities. You are responsible for ensuring that a valid W-8BEN or W-8BEN-E is maintained at all times. WBS may, but is not obliged to, notify you prior to expiry.</p>	<p><b>SMSF Investment Strategy</b> Under SIS Act s52B, SMSF trustees must formulate, implement, and review a written investment strategy. The strategy must be updated to explicitly authorise each new asset class — including international equities (Schedule B) — before those facilities can be activated.</p>

**How to submit**

<p><b>Clients</b> Provide your completed and signed form and all supporting documents to your WBS adviser.</p>	<p><b>Advisers</b> Lodge this form and all supporting documents via: info@wholesalebroking.com For original certified copies: post to Wholesale Broking Solutions, PO Box 256, Flinders Lane VIC 8009</p>
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Wholesale Broking Solutions Pty Ltd | ABN 41 643 105 999 | CAR 001282970 | AR of BR Securities Australia Pty Ltd (AFSL 456663)  
1300 263 800 | info@wholesalebroking.com | wholesalebroking.com | PO Box 256 Flinders Lane VIC 8009

**Appendix 1 - Additional Beneficial Owner, Controller or Trustee**

Copy and complete this appendix for each additional Beneficial Owner, Controller, or Trustee not listed in the main application.

- Additional Beneficial Owner / Controller  Additional Trustee  
 Mr  Ms  Mrs  Miss  Dr  Other: \_\_\_\_\_

First name	
Surname	
Other name(s) commonly known by	
Middle name(s)	
Date of birth DD / MM / YYYY	
Gender	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Not specified

**Residential Address**

Street address (cannot be a PO Box)	
Suburb	
State	
Postcode	
Country	
Contact number	
Email address	

**Identification**

Attach two copies of primary ID: Australian Driver Licence (front and back) AND Passport or Medicare Card. By submitting copies of your ID, you consent to electronic verification as described in the Declaration section (Part F).

**Appendix 2 – WBS Trading Risk Disclosure Statement****PART A - RISK DISCLOSURE STATEMENT**

Copy and complete this appendix for each additional Beneficial Owner, Controller, or Trustee not listed in the main application

This Risk Disclosure Statement is issued by Wholesale Broking Solutions Pty Ltd ("WBS") in connection with international trading services. WBS engages third-party executing brokers to execute, clear and provide custody services and transactions on your behalf. This statement describes a number of material risks but does not disclose every possible risk.

**A1. Our Relationship**

WBS and any Executing Broker or Custodian operate on an execution-only basis. We do not provide investment advice, or recommendations, act as your fiduciary, or monitor your investments or overall financial position. All investment decisions are solely your responsibility.

**A2. General Investment Risks****Market Risk**

The value of securities, derivatives and other financial instruments can fall as well as rise. You may lose some or all of your capital. Past performance is not indicative of future results.

**Liquidity Risk**

There may be no active market for certain instruments when you wish to trade. You may be unable to execute at fair value or at all. Illiquid assets may be significantly discounted especially when used as collateral.

**Concentration Risk**

Holding large positions in a single security, sector or market materially increases your exposure to adverse movements in that security, sector or market.

**Counterparty Risk**

WBS and the Executing Broker are not liable for settlement failure or default by any counterparty, broker, advisor, exchange, clearing house or other market participant, except as required by law.

**Currency Risk**

Where your account, positions, or Collateral are denominated in or exposed to currencies other than your base currency, changes in exchange rates may adversely affect the value of your portfolio and your international investments independently of the underlying asset performance. Currency movements may result in losses independent of the performance of the

underlying instrument or investment. You are solely responsible for managing your foreign exchange risk and exposures. WBS does not provide currency hedging advice and makes no recommendations or representations regarding exchange rate movements.

### **⚠ RISK DISCLOSURE — INTERNATIONAL TRADING**

International trading involves exposure to foreign markets, currency fluctuations, and different regulatory frameworks. You may lose some or all of your invested capital. Carefully consider whether international trading is appropriate given your financial circumstances and investment objectives.

### **A3. Custody and Asset Risks**

Your securities are held through custodial arrangements with the Custodian on your behalf in a nominee account. WBS does not hold client assets on its own balance sheet. Your beneficial interest is recorded in the Custodian's books. In the event of Custodian insolvency, your ability to recover assets may be subject to the laws of the Custodian's jurisdiction.

Assets held in custody are subject to the rules and practices of the relevant exchange, clearing house or depository. Settlement failures, corporate actions and market disruptions may affect the value or availability of your assets in ways outside WBS's control.

### **A4. Operational and Technology Risks**

WBS's systems and the platforms of third-party providers may experience outages, delays or errors. Market disruptions, connectivity failures and force majeure events may prevent you from placing, amending or cancelling orders. WBS will not be liable for losses arising from circumstances beyond its reasonable control. WBS maintains business continuity and disaster recovery arrangements to support uninterrupted operations; details are available upon request.

### **A5. Security and Data Protection**

WBS applies institutional-grade technical and procedural controls to protect client data and account integrity, including encrypted data transmission, multi-factor authentication, role-based access controls, and secure data hosting in compliant environments. WBS handles all personal information in accordance with the Privacy Act 1988 (Cth) and the Australian Privacy Principles (APPs). Notwithstanding these controls, no system can guarantee absolute security against all cyber events or system failures, and WBS does not warrant uninterrupted or error-free access to its platform at all times.

### **A6. Regulatory and Tax Risks**

Changes to applicable laws, regulations, exchange rules or tax treatment may affect the value of your investments and your ability to transact. You are solely responsible for understanding and complying with all applicable laws and tax obligations in your jurisdiction. WBS does not provide legal, accounting, investment or tax advice.

### **A7. Foreign Market and After-Hours Trading Risks**

Transactions on foreign financial markets involve risks in addition to those applicable to Australian markets. Foreign markets may operate under different regulatory frameworks that offer materially different - and potentially lesser - investor protections than those available in Australia. In the event of a default or insolvency of a foreign counterparty, broker, clearing house or exchange, your ability to recover assets or amounts owed may be limited or delayed by the laws of the relevant foreign jurisdiction. Settlement cycles, conventions, and corporate action processes differ across markets and may affect the timing and certainty of settlement. Foreign government actions, including the imposition of capital controls, sanctions, trading halts, or market closures, may prevent you from executing, amending or closing positions. After-hours or pre-market trading involves reduced liquidity, wider bid-ask spreads, and greater price volatility than trading during normal market hours; orders placed after hours may receive materially different prices to those available during regular trading sessions. WBS has limited ability to monitor or take action in relation to events on foreign markets outside Australian business hours and will not be liable for any losses arising from such events howsoever caused.

## **PART B - TERMS AND CONDITIONS**

These Terms and Conditions ("Terms") govern the provision of services by Wholesale Broking Solutions Pty Ltd ("WBS") and are to be read together with Part A (Risk Disclosure Statement). Together they form your Agreement with WBS.

### **B1. Definitions**

In these Terms, unless context otherwise requires:

- "Agreement" means these Terms together with the Risk Disclosure Statement and any schedules or annexures as amended from time to time.
- "Business Day" means any day other than a Saturday, Sunday or public holiday in Victoria, Australia.
- "Client" or "you" means the person or entity that has entered into the Agreement with WBS.
- "Collateral" means all cash, securities and other assets deposited with or transferred to WBS as funds or security.
- "Event of Default" has the meaning given in clause B10.
- "Executing Broker" or "Custodian" means any third-party broker or custodian engaged by WBS to execute, clear, or hold custody of international securities on your behalf.
- "Services" means the international trading and related execution, clearing, and custody services provided by WBS.
- "Retail Client" has the meaning given in section 761G of the Corporations Act 2001 (Cth).
- "WBS" means Wholesale Broking Solutions Pty Ltd (ABN 41 643 105 999), CAR 001282970 of BR Securities Australia Pty Ltd (AFSL 456663).

## B2. Eligibility and Client Representations

By entering into the Agreement, you represent and warrant to WBS, as at the date of the Agreement and on each date you place an instruction, that:

- you are a Retail Client as defined under the Corporations Act 2001 (Cth);
- you have full legal capacity and authority to enter into and perform the Agreement;
- the Agreement constitutes a legal, valid and binding obligation enforceable against you;
- execution of the Agreement does not breach any law, regulation, court order or agreement binding on you;
- you are not subject to any insolvency, bankruptcy or similar proceedings; and
- all information provided to WBS is true, accurate, complete and not misleading.

You must notify WBS immediately in writing if any of the above representations cease to be true. WBS may suspend or terminate the Services immediately upon receiving such notification.

### B2A. Change of Control

Where you are a company, trust, partnership or other entity, you must notify WBS in writing within five (5) Business Days of any material change in: (a) the ownership, equity, or beneficial interest in you (including any change resulting in a person acquiring or ceasing to hold 25% or more of the voting rights or equity); (b) the identity of your directors, trustees, partners, or responsible persons; or (c) the ultimate beneficial owner(s) of your account. WBS may, at its sole discretion, suspend the Services, require re-verification of Know Your Client (KYC) and Anti-Money Laundering (AML) documentation, or terminate the Agreement upon receiving notification of, or becoming aware of, any such change. Failure to notify WBS of a change of control is a material breach of these Terms and may constitute an Event of Default.

## B3. Account Opening, KYC and AML

WBS must comply with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth). You must provide all documentation required to satisfy these obligations before any account is opened. WBS may request updated information at any time - failure to provide it within the specified timeframe may result in account suspension.

WBS may, without notice to you, refuse to execute a transaction, delay processing, or block an account if it suspects a breach of applicable AML/CTF laws or sanctions regimes. WBS will not be liable for any losses arising from such action.

## B4. Orders, Execution and Settlement

All orders are accepted on an execution-only basis. WBS does not assess the suitability of any order for your circumstances - you are solely responsible for each order placed.

WBS may decline to accept or execute any order without giving reasons, and may cancel or amend an order if required by applicable law, regulation, exchange rule or Executing Broker instruction. Execution is subject to market conditions and available liquidity. Partial fills may occur.

You must ensure sufficient cleared funds are available before placing any order. Failure to settle on the scheduled settlement date is a material breach of these Terms and may constitute an Event of Default. WBS may, without notice to you, buy-in or sell-out the relevant securities at your cost.

## B5. Fees, Charges and Interest

### B4A. Order Routing, Execution and Confirmations

WBS routes client orders to the Executing Broker for execution on international exchanges on your behalf. Execution is subject to the rules of the relevant exchange and the Executing Broker's routing practices. WBS maintains a Best Execution

Policy; a copy is available upon request. Where orders from multiple clients are aggregated or partially filled, WBS will allocate executed quantities on a fair and reasonable basis in accordance with its allocation policy.

WBS (or the Executing Broker) will provide electronic trade confirmations following execution. You must review all confirmations promptly and notify WBS of any apparent error or discrepancy within two (2) Business Days of receipt. Failure to object within that period constitutes your acceptance of the confirmation as accurate. WBS will make available to you, via the trading platform or by other agreed means: (a) real-time or near-real-time position and balance information; (b) daily margin reports during periods of open positions; and (c) monthly account statements summarising all transactions, fees, and closing balances. Transaction records maintained on WBS's systems are conclusive in the absence of manifest error.

## B5. Fees, Charges and Interest

You agree to pay WBS all fees, commissions and charges as set out in the fee schedule provided to you from time to time. WBS may amend its fee schedule with not less than five (5) Business Days' notice, except where an immediate change is required by law or an Executing Broker.

All fees are exclusive of GST and any applicable taxes, which are payable by you in addition. Interest accrues on overdue amounts at 10% per annum, calculated daily. WBS may deduct overdue amounts directly from your account.

WBS may receive remuneration from Executing Brokers or other third parties in connection with your transactions. Details are available upon request.

## B6. Margin, Collateral and Security

### B5A. Client Money and Segregation

WBS handles client money in accordance with the client money provisions of Division 2 of Part 7.8 of the Corporations Act 2001 (Cth) and ASIC Regulatory Guide 166. Subject to applicable law and the Terms of the Agreement, client money received by WBS will be held in a designated trust account separately from WBS's own funds. Client money may be combined with other clients' money in a pooled trust account. You will not earn interest on client money held in trust unless WBS separately agrees in writing. In accordance with the Corporations Act, WBS may withdraw money from the trust account to meet margin calls on your behalf, pay amounts owing to WBS under the Agreement, or as otherwise permitted by law. WBS's use and management of client money is subject to the rules and conditions of the Custodian's custody and clearing arrangements. Details of the trust account arrangements are available upon request.

### B6. Margin, Collateral and Security

You must ensure that your account holds sufficient cleared funds to meet all settlement obligations as they fall due. WBS may place a hold on available funds to cover pending settlements. You are responsible for monitoring your account balance at all times.

## B7. Confidentiality, Privacy and Communications

WBS will handle your personal information in accordance with the Privacy Act 1988 (Cth) and WBS's Privacy Policy (available at [wholesalebroking.com](http://wholesalebroking.com)). By entering into the Agreement you consent to WBS collecting, using, storing and disclosing your information for the purposes of providing the Services - including to the Executing Broker, regulatory authorities, exchanges and third-party service providers.

WBS may record all telephone conversations and electronic communications. Such recordings may be used as evidence in any dispute, and you consent to their use for this purpose. It is your responsibility to maintain up to date current contact details with WBS at all times.

## B8. Platform Use and Acceptable Conduct

Access to WBS's trading platform is provided on a limited, non-exclusive, non-transferable basis. You must not share your access credentials with any third party. You must not use the platform or Services to engage in market manipulation, insider trading, or any conduct prohibited by any applicable law, or to exploit system errors or price latency.

WBS may suspend or terminate your access to the trading platform at any time if it believes your conduct breaches this clause or any applicable law, or presents a risk to WBS, other clients or the integrity of any market.

### B8A. Authorised Representatives

You may appoint an authorised representative to give instructions on your behalf by notifying WBS in writing in the form required by WBS from time to time. WBS may, at its discretion, accept or decline any proposed authorised representative. WBS is entitled to act on any instruction from a person whom WBS reasonably believes to be an authorised representative as if it were your own instruction. You are solely responsible for all acts, omissions, and instructions of your authorised representatives, including any losses resulting from unauthorised or erroneous instructions given by them. WBS has no

obligation to verify that any instruction from an authorised representative is within the scope of their authority or that any limitation on their authority has been communicated to WBS. You may revoke an authorisation at any time by written notice to WBS; revocation takes effect only from the time WBS actually receives and processes the notice.

## **B9. Conflicts of Interest**

WBS and the Executing Broker or Custodian may have interests that could conflict with yours in connection with any transaction. By entering into the Agreement, you acknowledge this and consent to WBS acting in connection with international trading services. WBS maintains a Conflicts of Interest Policy available upon request.

## **B10. Events of Default and Remedies**

Each of the following constitutes an Event of Default: (a) failure to pay any amount or deliver any asset when requested or due; (b) failure to fund your account sufficiently to meet settlement obligations; (c) breach of any material term of the Agreement; (d) insolvency, bankruptcy or analogous proceedings; (e) any representation proving false or misleading; (f) a material adverse change in your financial condition; (g) enforcement action by any regulatory or tax authority; or (h) WBS determining, in its reasonable judgement, that its ability to recover amounts owed to it is materially at risk.

Upon an Event of Default, WBS may immediately and without prior notice to you: terminate the Agreement; close out, liquidate or offset any or all open positions; apply or set off Collateral against your obligations; and demand immediate payment of any net amount owing. WBS will not be liable for any losses arising from adverse market movements occurring between the time an Event of Default arises and the time any action is completed.

Close-out Netting: Upon an Event of Default, WBS shall calculate a single net termination amount by combining and netting all amounts owed by WBS to you and all amounts owed by you to WBS across all transactions, positions and accounts held under the Agreement. The party owing the net termination amount shall pay it to the other within two (2) Business Days of written demand. This close-out netting applies across all financial products, accounts and currencies, and the parties intend it to be binding in any insolvency proceeding to the maximum extent permitted by any applicable law.

## **B11. Termination**

Either party may terminate the Agreement for convenience on not less than thirty (30) Business Days' written notice, provided no positions are open and all obligations have been discharged. WBS may terminate immediately upon an Event of Default, or if required to do so by a Executing Broker, regulatory authority or any applicable law.

On termination, all outstanding obligations become immediately due and payable. WBS will return remaining Collateral and credit balances after deducting all amounts owed, subject to any applicable law. Clauses relating to confidentiality, indemnity, limitation of liability, governing law and dispute resolution survive termination.

## **B12. Complaints and Dispute Resolution**

WBS is committed to resolving client complaints promptly, fairly and consistently in accordance with its obligations under the Corporations Act 2001 (Cth) and ASIC Regulatory Guide 271 (Internal Dispute Resolution). If you have a complaint about any aspect of WBS's services, please contact the Complaints Officer in writing at [complaints@wholesalebroking.com](mailto:complaints@wholesalebroking.com) or by mail to Wholesale Broking Solutions Pty Ltd, Complaints Officer, PO Box 256, Flinders Lane VIC 8009. WBS will: (a) acknowledge receipt of your complaint within one (1) Business Day; (b) investigate the matter independently and objectively; and (c) provide a written response within thirty (30) calendar days. If your complaint is not resolved to your satisfaction, you may refer the matter to the Australian Financial Complaints Authority (AFCA), an independent external dispute resolution scheme whose services are free to complainants. AFCA can be contacted at: Website: [www.afca.org.au](http://www.afca.org.au) | Phone: 1800 931 678 | Post: GPO Box 3, Melbourne VIC 3001. BR Securities Australia Pty Ltd (AFSL 456663), through which WBS provides financial services, is an AFCA member. Nothing in this clause prevents WBS from seeking urgent injunctive relief from a court where necessary.

## **B13. Governing Law**

The Agreement is governed by and construed in accordance with the laws of Victoria, Australia. Each party irrevocably submits to the non-exclusive jurisdiction of the courts of Victoria and the Federal Court of Australia.

## **B14. Amendments and Waiver**

WBS may amend these Terms by providing not less than ten (10) Business Days' written notice. Your continued use of the Services after the effective date of any amendment constitutes acceptance of the amended terms. A waiver is only effective if in writing and signed by WBS - a waiver of one breach does not constitute a waiver of any subsequent breach.

## **B15. General**

Entire Agreement: This Agreement supersedes all prior representations, negotiations and agreements relating to its subject matter. Severability: If any provision is held invalid or unenforceable, the remaining provisions continue in full force. Assignment: You may not assign any rights or obligations under the Agreement without WBS's prior written consent. WBS may assign or novate to any related body corporate or successor entity upon written notice. Force Majeure: WBS will not be liable for failure or delay caused by circumstances beyond its reasonable control, including without limitation acts of God,

government action, war, political instability, uprising or revolution, geopolitical conflict, pandemic, market closure or systemic technology failure.

### **B15A. Limitation of Liability and Indemnity**

To the maximum extent permitted by any applicable law: (a) WBS's liability to you under or in connection with this Agreement is limited to direct losses actually suffered by you and excludes all consequential, indirect, special, incidental, exemplary or economic loss, including loss of profit, loss of revenue, loss of data or loss of opportunity, even if WBS has been advised of the possibility of such loss; (b) WBS's aggregate liability to you in respect of any calendar year is capped at the total fees paid by you to WBS during the twelve (12) months immediately preceding the relevant claim; (c) you irrevocably and unconditionally agree to indemnify WBS, its officers, employees, contractors and agents against all and any losses, costs, claims, damages and expenses (including reasonable legal costs) arising from: (i) your breach of this Agreement; (ii) any instruction given by you or your authorised representative; (iii) your negligence or wilful misconduct; or (iv) any third-party claim arising from your use of the Services; and (d) nothing in this clause limits liability for fraud, gross negligence, wilful misconduct, or liability which cannot be excluded by law.

### **B15B. Notices**

Any notice, demand, consent or other communication under this Agreement must be in writing and may be given by: (a) email to the address last notified by the recipient; (b) post to the last known postal address of the recipient; or (c) via a secure message or notification through the WBS trading platform. Notices are deemed received: by email, on the next Business Day after sending (unless a delivery failure notification is received); by post, three (3) Business Days after the date of posting (or seven (7) Business Days if sent internationally); and via the platform, on the day of publication. It is your responsibility to maintain up to date current contact details with WBS at all times. Time is of the essence in relation to all payment and delivery obligations under this Agreement.

### **B15C. Financial Services Guide**

WBS is an Authorised Representative (CAR 001282970) of BR Securities Australia Pty Ltd (AFSL 456663) ("BR Securities"). A Financial Services Guide (FSG) issued by BR Securities in relation to the financial services provided through WBS is available at [www.wholesalebroking.com](http://www.wholesalebroking.com) and will be provided to you prior to or at the time of account opening. By entering into this Agreement, you confirm that you have received, read and understood the FSG. The FSG describes the financial services WBS is authorised to provide, the fees and charges that may apply, how WBS and BR Securities manage conflicts of interest, and how complaints about WBS's services may be made.

## **Appendix 3 – W-8BEN Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

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The editable PDF version is available on the IRS website; <https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

Please refer to the IRS website for instructions how to fill in the form: <https://www.irs.gov/pub/irs-pdf/iw8ben.pdf>

Guide 1

# Retail Client Application

Schedule A (ASX Execution) + Schedule B (International Trading)

Who this guide is for  
Retail clients applying for both ASX Execution and International Trading access.

## Step-by-step completion order

Section	What to complete	Required for
A1	Select your entity type: Individual / Joint, SMSF / Trust, or Company.	All applicants
A2	Complete personal details for Trustee / Director 1. Repeat for Trustee 2 if applicable.	All applicants
A3	Complete company details if the account is held in a company name.	Companies only
A4	Complete beneficial owner details if a proprietary / private company.	Companies only
A5	Complete trust / SMSF details including full trust name, ABN, and beneficiary details.	Trusts / SMSFs
B1	Enter source of funds, source of wealth, and complete the tax residency / FATCA / CRS table. Flag US person status if applicable.	All applicants
B2	Attach certified photo ID (Driver Licence front and back + Passport or Medicare Card) for each applicant, director, trustee, and beneficial owner.	All applicants
C1	Provide CHES registration details - email for statements and registered address. Tick "same as Applicant 1" if applicable.	All applicants
C2	Nominate a settlement bank account (AUD) for ASX purchases and settlements. Provide a bank statement header confirming BSB, account number, and name.	All applicants
D1	Select each international exchange you want access to. Tick Yes or No for each market. If selecting US markets, Section D3 is required.	All applicants
D2	Select your preferred base currency and FX conversion preference. Choose a trading platform (Equix or IRESS Viewpoint) and select data subscriptions.	All applicants
D3	Required ONLY if you elected US market access in D1. Select W-8BEN or W-8BEN-E, confirm non-US person status, and sign the declaration under penalty of perjury.	US market access
D4	Read the nominee custody disclosure carefully. Tick each of the six risk acknowledgements. Sign the confirmation.	All applicants
D5	Tick all five FX and currency risk acknowledgements.	All applicants
D6	SMSF trustees only - confirm the investment strategy has been updated to authorise international equities. Complete all fields and sign the trustee declaration.	SMSFs only
D7	Provide an AUD bank account for international trading settlement (may be same as C2 settlement account).	All applicants

Section	What to complete	Required for
F1	All applicants sign the general declaration. Read all items 1–13 before signing.	All applicants
F2	Your adviser signs the adviser declaration.	Adviser
G	Work through the checklist and mark each applicable document as enclosed. Attach all mandatory items before submitting.	All applicants

## Conditional sections - when each applies

A3 Company Details - only if account entity is a company  
 A4 Beneficial Ownership - only if entity is a proprietary / private company  
 A5 Trust / SMSF Details - only if entity is an SMSF or trust  
 D3 W-8BEN / W-8BEN-E - only if you selected US markets (NYSE / NASDAQ / NYSE Arca) in D1  
 D6 SMSF Investment Strategy - only if entity is SMSF and applying for Schedule B (International)  
 G Enhanced Due Diligence (EDD) documentation, WBS Compliance will specify requirements, If PEP identified.

## SMSF-specific requirements

If your entity is an SMSF, you must also:

1. Confirm your fund's investment strategy explicitly authorises international equities (Section D6).
2. All trustees must sign the D6 trustee declaration.
3. Attach the relevant extract from the updated investment strategy as a supporting document.
4. The SMSF ABN is verified by WBS via ABN Lookup - no separate ABN confirmation document is usually required.

## Required documents - retail client

	Document / Requirement	Applies to
●	Completed and signed Application Form (Parts A, B, C, D, F, G)	All
●	Certified photo ID - Driver Licence (front + back) AND Passport or Medicare Card	Per person
●	Proof of residential address (utility bill or bank statement - < 3 months old)	Per person
●	Board Resolution authorising execution + naming authorised signatories	All
●	Signed AUSIEX Share Trading Terms and Conditions (Form 1029)	Schedule A
●	AUD settlement bank account confirmation (BSB + account number)	Schedule A
●	Signed International Trading Agreement (provided separately by WBS)	Schedule B
●	Section D4 nominee custody acknowledgement signed	Schedule B
●	Section D5 FX and currency risk acknowledgement signed	Schedule B
●	W-8BEN or W-8BEN-E - signed under penalty of perjury (Section D3)	US access only
●	SMSF investment strategy extract - international equities in scope (Section D6)	SMSF + Sch B
○	Certified copy of Trust Deed extract	Trusts / SMSFs
○	Hong Kong connected persons declaration	HKEX access
○	ASIC Company Extract (< 3 months old)	Companies

	Document / Requirement	Applies to
<input type="radio"/>	Certificate of Incorporation + Constitution / M&A	<i>Companies</i>
<input type="radio"/>	FATCA / CRS Declaration Form (Form 1004)	<i>If incomplete</i>
<input type="radio"/>	Power of Attorney (certified copy)	<i>If via attorney</i>
<input type="radio"/>	Enhanced Due Diligence (EDD) documentation WBS Compliance will specify requirements	<i>If PEP identified</i>

### Common mistakes and how to avoid them

Common mistake	How to avoid it
Skipping D3 after selecting US markets	If you tick Yes for NYSE / NASDAQ / NYSE Arca in D1, Section D3 is mandatory. Without a valid W-8BEN, 30% US withholding tax will apply to all US-source income.
SMSF strategy not updated before applying	WBS cannot activate international equities (Schedule B) until the fund's investment strategy is updated to include international equities and the extract is attached. Do this before submitting.
Bank account name doesn't match entity name	The settlement account name in C2 and D7 must exactly match the entity name on the application. A mismatch will delay processing.
Missing ID for beneficial owners	Every beneficial owner, director, and trustee must provide certified photo ID - not just the primary applicant.
Adviser forgetting to sign F2	F2 must be signed by the adviser before submission. Applications without an adviser signature in F2 will be returned.
D4 not signed separately	The nominee custody acknowledgement in D4 has its own signature block that must be signed by all applicants. It is separate from the F1 general declaration.

### Submission

Clients: Provide your completed and signed application and all supporting documents to your WBS adviser.  
 Advisers: Lodge the form and all supporting documents by email to [info@wholesalebroking.com](mailto:info@wholesalebroking.com)  
 For original certified copies that must be posted: Wholesale Broking Solutions, PO Box 256, Flinders Lane VIC 8009  
 Phone: 1300 263 800 | Email: [info@wholesalebroking.com](mailto:info@wholesalebroking.com) | Web: [wholesalebroking.com](http://wholesalebroking.com)  
 Incomplete applications will be returned. WBS will contact you within 3 Business Days to confirm receipt.