



# COMPANY APPLICATION

## 1. Type of Account:

(Please  one  only)

	Explanation	Correct CHESS Registered Account Name
<input type="checkbox"/> <b>Company (ABN/ACN required)</b>	Use full company name and not abbreviations	ABC Company Pty Ltd
<input type="checkbox"/> <b>Superannuation Fund</b>	Use name of Trustee/s and put name of fund in A/C designation	ABC Company Pty Ltd <ABC Company Super Fund A/C>
<input type="checkbox"/> <b>Trust</b>	Use name/s of trustee/s or custodian/s and do not use the words "as trustee for" or "trust"	ABC Company Pty Ltd <ABC Company A/C>

## 2. Company Name & Details

Company Name

TFN (not required if ABN provided):

Account Description/Designation (maximum 27 characters)

Registration Address (stock will be registered under this address)

PO Box or Street Address

Suburb/City

State

Postcode

Country (for overseas clients)

Postal Address (correspondence will be sent to this address)

PO Box or Street Address

Suburb/City

State

Postcode

Country (for overseas clients)

Residential / Registered Office Address (mandatory)

Street Address

Suburb/City

State

Postcode

Country (for overseas clients)

Home Telephone

Mobile Telephone

Work Telephone

Facsimile

Supply at least 1 phone number where you will be contactable during trading hours

## 3. Trading Platform Selection

Please select the Trading Platform that you would like to use. Refer to <http://www.aotonline.com.au/private.asp> for more information about these products.

Integral Mini\*

Integral Mini\* (live data @ 2.53c per refresh)

Integral

**N.B. Options trading is not available with the Mini Integral product.**

## 4. Email Details

ALL contract notes will be emailed to this address (see Terms – Section 3)



**5. Company Director Details**

**Director 1** Mr/Mrs/Ms/Miss \_\_\_\_\_  
Residential Address: \_\_\_\_\_

Post Code: \_\_\_\_\_  
Telephone Details: Work \_\_\_\_\_ Home \_\_\_\_\_

**Director 2** Mr/Mrs/Ms/Miss \_\_\_\_\_  
Residential Address: \_\_\_\_\_

Post Code: \_\_\_\_\_  
Telephone Details: Work \_\_\_\_\_ Home \_\_\_\_\_

**6. CHES Sponsorship**

Would the Applicant like Berndale Securities to establish a new Sponsored HIN? (see Terms – Sections 1 and 2) Yes  No

If 'No', please provide name of existing Broker & HIN  Existing HIN 

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*(Please sign the attached Broker Transfer Authority & provide a copy of a current CHES registration statement)*

Would the Applicant like to convert additional Issuer Sponsored stock to this HIN? Yes   
*(Please attach current copies of Issuer Sponsored Statements for all stock(s) being converted)*

**7. Authorised Agent Details**

Would the Applicant like someone to place orders on their behalf?  
Mr/Mrs/Ms/Miss \_\_\_\_\_  
Telephone Details: Work: \_\_\_\_\_ Email: \_\_\_\_\_

**8. Account Linking**

If you are already an AOT Online customer, do you want your new account to be linked to your existing account? Yes  User ID: 

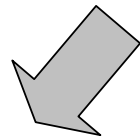
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**9. Derivatives**

**Warrant Trading**  
Please **tick the box** if you would like to deal in warrants. By ticking the box you are acknowledging that you have read the Explanatory Booklet (refer to Explanatory Booklets & Risk Disclosure) and you have read and understood the Terms of Business relating to warrants. **Yes**

**Exchange Traded Options**  
Please tick the box if you wish to deal in Exchange Traded Options. By ticking the box you are acknowledging that you have read the Explanatory Booklet (refer to Explanatory Booklets & Risk Disclosure) and you have read and understood the Risk Disclosure Statement for ASX Derivative Products. **Yes**

If you intend to trade ETO's please also complete the Berndale Derivatives Agreement Form available from: [http://www.aotonline.com.au/pdf/Berndale\\_Options\\_Client\\_Agreement.pdf](http://www.aotonline.com.au/pdf/Berndale_Options_Client_Agreement.pdf).  
*Note: Please refer to [www.aotonline.com.au](http://www.aotonline.com.au) for Brokerage Schedule and Fees.*



**Date Options & Warrants Explanatory Booklets and Disclosure Statements Read: Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_**



**9. Instructions & Communications**

Does the Applicant wish to be able to provide the Broker and/or Berndale with instructions (and other communications) by:

- a) Fax                      Yes                       No                       *If yes, see Terms section 7*
- b) E-mail                      Yes                       No                       *If yes, see Terms section 8*

**10. Acknowledgements**

**Acknowledgements**

The Applicant acknowledges that it has read and understood the following documentation:

- (a) Advisory Services Guide
- (b) Risks in Securities Investments
- (c) Explanation of CHESS Sponsorship Agreement (*see Terms – Section 1*)
- (d) Berndale Privacy Statement (*see Terms – Section 5*)

**Agreement to be Bound by Documentation**

By signing the application form below, the Applicant acknowledges that it has read, and the Applicant agrees to be bound by, the following documentation:

- (a) Broker’s Terms and Conditions of Trading
- (b) Berndale Disclosure Statement
- (c) Tax File Number Authority and request (*see Terms – Section 4*)
- (d) Sponsorship Agreement (*see Terms – Section 2*)

**Signature of Director**

[Empty box for Signature of Director]

Name of Company Director (*if sole director, please specify*)

**Signature of Director / Secretary**

[Empty box for Signature of Director / Secretary]

Name of Company Director / Secretary

**Signature of Witness**

[Empty box for Signature of Witness]

Name of Witness

**Signature of Witness**

[Empty box for Signature of Witness]

Name of Witness

**BERNDALE SECURITIES LIMITED USE ONLY:**

Berndale agrees to be bound by the following documentation:

- (a) Sponsorship Agreement (*see Terms – Section 2*)
- (b) Tax File Number Authority and request (*see Terms – Section 4*)
- (c) Berndale Disclosure Statement

**Execution by Berndale Securities Limited**

Signed for Berndale Securities Limited by an authorised officer in the presence of:

Signature of Officer

Signature of Witness

Name of Officer (print)

**Authorised Officer**

Name of Witness (print)

Office held

Dated this ..... day of .....

**DEALER GROUP OFFICE USE ONLY**

Advisor Name	Advisor Code	Branch	Commission Rate	Date



## CHANGE OF SPONSORING BROKER / CHESS TRANSFER

This section is optional and is used to transfer sponsorship of your existing CHESS registered holdings.

If you are currently sponsored on Chess by another broker or issuer (company) but would prefer to hold some or all of your securities under Berndale Securities sponsorship, please complete this form.

For Broker Sponsored Securities:

To: Name of Existing Sponsoring Broker

Address of Existing Sponsoring Broker

HIN:

Account Name:  
(As shown on registration)

### AGREEMENT:

I/We authorize and direct each of my/our sponsoring brokers to transfer my / our shareholdings in accordance with the ASX Business Rules to Berndale Securities Limited.

Holding to be transferred:

All holdings       Selected

If "All" holdings is selected, your HIN will be transferred from your existing broker. If you Transfer selected or partial holding, we will issue you a new HIN. The Company whose securities you are transferring will treat you as a new Holder.

Securities	Qty of Securities
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

**IMPORTANT  
PLEASE ATTACH A  
COPY OF A  
CURRENT BROKER  
SPONSORED  
STATEMENT**

Unless you advise us otherwise, we will register your CHESS holdings with the address you specify on your Application Form. If you wish to transfer securities from more than one broker, please photocopy this form.

**Please note,  
signatures must be  
in accordance with  
your authorised  
signatures policy  
for the accounts**

Signature:	<input type="text"/>	Signature:	<input type="text"/>
Title: (if company)	<input type="text"/>	Title: (if company)	<input type="text"/>
Date:	<input type="text"/>	Date:	<input type="text"/>



**SCHEDULE 1**

**Referral arrangements for the provision of execution and settlement services by AOT Securities Pty Limited**

As you may be aware, [ ] (“Referring Party”) is not a participating organisation under the Business Rules of Australian Stock Exchange Limited (“ASX”) and is not itself able to execute and settle transactions for the sale and purchase of securities listed on ASX.

Accordingly, we have put in place for the convenience of our clients a referral arrangement with AOT Securities Pty Limited (“AOTS”) under which AOTS will execute any such transactions undertaken on your account. Settlement of any such transactions will be undertaken by AOTS’ clearing participant, Berndale Securities Limited (“BSL”).

The arrangement with AOTS operates in the following manner.

1. If you wish to buy or sell securities listed on ASX through AOTS, you must open an account with AOTS. AOTS will need to obtain certain details from you to open an account.
2. In assisting with opening an account for you with AOTS and in providing this information to AOTS, Referring Party acts as your agent, and not as the agent of AOTS.
3. Once AOTS opens an account for you, you will become a client of AOTS only for the purpose of the execution and settlement of purchase and sale instructions which you (or we on your behalf) communicate to AOTS. Your relationship with AOTS will not affect your client relationship with Referring Party. AOTS reserves the right not to open an account in its absolute discretion.
4. We will communicate to AOTS instructions to buy or sell securities listed for quotation on ASX on your account. In doing so, Referring Party will be acting as your agent and not as the agent of AOTS. AOTS will execute these orders. BSL will settle these orders and will issue a contract note directly to you.
5. If you wish Referring Party to be able to act as your agent as contemplated in this letter, you will need to sign the authority in the form attached and return the completed authority to Referring Party.
6. AOTS will undertake the appropriate steps to ensure that any transaction executed by it on your account will be settled by BSL in accordance with the terms of the clearing agreement between AOTS and BSL, and will forward the net consideration in respect of any sale directly to you. AOTS will not forward any net consideration to Referring Party.
7. Security holder information should be forwarded to Referring Party who will then forward it to AOTS.
8. BSL will act as your sponsoring broker to participate in CHESS in respect of any securities you hold.
9. AOTS will pay a referral fee to Referring Party.

Please acknowledge receipt of this letter and your agreement to the terms contained in it by signing and returning to us the enclosed copy letter.

**I, acknowledge receipt of this letter and agree to the terms contained within it.**

.....

.....

**Signature**

**Signature**

**Date:** / /

**Date:** / /