



Client has been referred to 'Best Execution Policy' (please tick)

# DJ CARMICHAEL PTY LIMITED Account Details Update (KYC)

Date \_\_\_\_\_ Adviser Code \_\_\_\_\_ Brokerage Rate \_\_\_\_\_ Account No. \_\_\_\_\_

Client Type	Classification			Account Features
<input type="checkbox"/> CLIENT (PRIVATE)	<input type="checkbox"/> PRIVATE	<input type="checkbox"/> AET PMS	<input type="checkbox"/> BMMA	<input type="checkbox"/> WARRANT TRADING (AGREE1)
<input type="checkbox"/> STAFF (STAFF, NOLINEFE)	<input type="checkbox"/> WHI (OVERSEAS)	<input type="checkbox"/> AET PSF	<input type="checkbox"/> BWA CMT	<input type="checkbox"/> BUY & WRITE
<input type="checkbox"/> FAMILY (DEMOGRAPHICS)	<input type="checkbox"/> ETO	<input type="checkbox"/> SAM STANDARD	<input type="checkbox"/> MACQUARIE	<input type="checkbox"/> OVERSEAS RESIDENCY (OSRES1)
<input type="checkbox"/> DIRECTOR (DEMOGRAPHICS, NOLINEFE)	<input type="checkbox"/> SELL ONLY	<input type="checkbox"/> SAM FEE ONLY (NOLINEFE)	<input type="checkbox"/> INSTITUTIONAL (NOLINEFE)	<input checked="" type="checkbox"/> UPDATE KYC (MNTDOC)
<input type="checkbox"/> COMPANY		<input type="checkbox"/> MARGIN LENDING		<input type="checkbox"/> AGENCY AGREEMENT

FOR **ACCOUNT SUBTYPES** THAT ARE **BOLD** CLIENT MUST BE PROVIDED WITH SEPARATE STATEMENT OF ADVICE OR FEE DISCLOSURE (PLEASE ATTACH A COPY)

### Registration Details

Company Name \_\_\_\_\_

**\*\* For company accounts please insert the Authorised person's name below and also make sure that the Registered Company Address is also completed \*\***

ACN/ABN \_\_\_\_\_

Title \_\_\_\_\_ Surname \_\_\_\_\_ Given Names \_\_\_\_\_

Title \_\_\_\_\_ Surname \_\_\_\_\_ Given names \_\_\_\_\_

Title \_\_\_\_\_ Surname \_\_\_\_\_ Given names \_\_\_\_\_

Designation < \_\_\_\_\_ >

### Residential Address / Registered Company Address [Compulsory]

\_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

### Postal Address Please tick if same as above

\_\_\_\_\_

Please Indicate Registration Address Preference: (Registration will default to residential if no preference provided) Residential  Postal

### Contact Information [Compulsory]

Home Phone \_\_\_\_\_ Work Phone \_\_\_\_\_

Facsimile \_\_\_\_\_ Mobile \_\_\_\_\_

Contact person if Client is a Company \_\_\_\_\_

### Guarantors - Please insert the Directors and/or Company Secretary Names below if account is a Company account.

\_\_\_\_\_

## Personal Information

Client 1 _____	Client 2 _____	Client 3 _____
DOB _____	DOB _____	DOB _____
Employer _____	Employer _____	Employer _____
Occupation _____	Occupation _____	Occupation _____
D/L No. _____	D/L No. _____	D/L No. _____
Wage Income _____	Wage Income _____	Wage Income _____
Other Income _____	Other Income _____	Other Income _____

## Residency Status - Are you an Australian Resident/Citizen? Please tick below for each Account Holder.

Client/Director 1  Yes  No

If you answered 'No' please list Country of Residency below.

\_\_\_\_\_

Client/Director 2  Yes  No

If you answered 'No' please list Country of Residency below.

\_\_\_\_\_

Client/Director 3  Yes  No

If you answered 'No' please list Country of Residency below.

\_\_\_\_\_

**If 'NO' is ticked please complete an Overseas Resident Declaration Form and GST will not be charged.**

## Account Holder Information

	Cash	Securities	Home	Superannuation	Other
Assets	_____				
Liabilities	_____				

## Investment Experience

Please insert either 1, 2 or 3 in each box. Use the scale where 1 is no experience and 3 is highly experienced.

Equities

Derivatives

Margin Lending

Fixed Interest

Managed Funds

Money Market







## Investment Objectives

Please tick one or more of the following and use in conjunction with your Risk Profile and Investment Strategy

Income Yield  
(Low Risk)

Long Term Growth  
(Medium Risk)

Short Term Growth  
(High Risk)

Speculative  
(High Risk)

## Investment Strategy (Compulsory completion for a Superannuation Fund Account)

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OR

Client declined to provide personal and account holder information (Please tick to indicate)

### Your Risk Profile

[Compulsory – Please indicate one of the below]

- LOW**  **INVESTMENT OBJECTIVE – INCOME YIELD**  
You are a very conservative investor seeking minimal capital risk with a preference towards income generating investments.
- MODERATE**  **INVESTMENT OBJECTIVE – LONG TERM GROWTH**  
You require a diversified investment portfolio and seek protection against the effects of inflation. You are prepared to accept some capital risk to achieve greater returns.
- HIGH**  **INVESTMENT OBJECTIVE – SHORT TERM GROWTH OR SPECULATIVE**  
You seek higher long term capital gains and are prepared to compromise portfolio balance to achieve this. Your portfolio may be aggressively traded and/or invested in assets of a more speculative nature to maximise investment performance. You understand a strategy of this nature carries an inherent risk of capital loss and high volatility.

### Account Options

#### Appointment of Authorised Signatory

You may wish to appoint a third party to trade on this account on your behalf (eg. Spouse, Accountant and/or Financial Planner). To do so please insert the Authorised Signatories' full names below and complete the enclosed **Appointment of Authorised Signatory form**. Please ensure a clear certified copy of identification with a specimen signature is provided for the Authorised Signatory when lodging this form.

1 \_\_\_\_\_ 2 \_\_\_\_\_

#### Existing Securities are Held (Please tick to indicate)

- I/We are CHESSE Sponsored with another Broker  
Please complete Change of Sponsoring Broker Form.
- I/We have existing Issuer Sponsored Holdings  
Please forward copies of Issuer Sponsored Statements for conversion to CHESSE.

#### Banking Details – Direct Credit and Direct Debit Settlement

We are pleased to offer both Direct Credit and Direct Debit settlement for your share transactions. To provide Pershing with authority please complete a **Direct Debit/Credit Authority form** and ensure that we have received all required new account documentation along with a clear copy of certified Identification when lodging this form.

Should Credit Authority not be provided please note that cheque settlement may incur a fee of \$16.50 including GST, as well as any other incidental costs that may be associated with cheque processing, for example the cancellation and reissue of cheques

#### Electronic Delivery

If you would like to receive Confirmation Notes, Client Transaction Statements, Portfolio Updates, Research and Sponsored Holding Summaries by way of email, please provide your preferred email address below. By providing details below you confirm that you will not be receiving Confirmation Notes in the post, and you acknowledge the following:

I/We acknowledge that the conditions set out below apply to electronic Contract Notes.

- (i) the Rules, customs and usages of the Australian Stock Exchange, (ii) if the sale or purchase is in relation to CHESSE Approved Securities, the ASX Settlement Operating Rules; and (iii) the corrections of errors and omissions. (iv) the ASX reserves the right to cancel any trade for the purpose of maintaining a fair, orderly and transparent market without client consent.

Please note: If an email address is not provided below then all Confirmation Notes will be sent via the Post.

Email address for original Confirmation Note

«Email1»

Email address for Confirmation Note copy (optional)

«Email2»

Email address for Confirmation  
Note copy (optional)

«Email3»

**Publications Requested** – If you have provided an email address above, you will be automatically registered for delivery of DJ Carmichael research publications/reports as outlined below. Please tick below if you would **NOT** like to receive any of the following publications/reports. You may also opt out of receiving some or all of these by contacting your Adviser at a later date.

Morning Review (Morning)

Weekly Brief (Weekly)

Company Reports

Quarterly Report (QuartRes)

All

## Execution by the Client

I / We hereby confirm that I / we have received, read and understood the Terms and Conditions.

I / We also confirm that we have read and understood the Privacy Brochure.

The Terms and Conditions attached to this Application form part of and are incorporated into this Application and the Client(s) agree to be bound by the Terms and Conditions.

### Warning Regarding Insufficient Information

If you do not provide the above financial and investment information to DJ Carmichael Pty Limited, you agree your adviser has made reasonable inquiries to obtain this information and that, as a result of not providing this personal information, all personal securities recommendations are limited accordingly and may not be appropriate for your investment objectives, financial situation and particular needs.

Before signing please refer to our Terms & Conditions and Privacy Agreement. You may request a copy of either document or access both documents on our website via [www.djcarmichael.com.au](http://www.djcarmichael.com.au).

Note: Only legal entities are allowed to hold securities. Application Forms must be in the name(s) of a natural person(s), companies or other legal entities acceptable to the Company. At least one full given name and the surname is required for each natural person. Application Forms cannot be completed by persons under 18 years of age.

## Individual or Joint Account – Please sign below



Signature of Investor 1

Date

Full Name of Investor 1 (Please print)



Signature of Investor 2

Date

Full Name of Investor 2 (Please print)



Signature of Investor 3

Date

Full Name of Investor 3 (Please print)

## Company Account – Please sign below

Executed by

Insert Company Name.

Executed In accordance with Section 127 of the Corporations Act 2001

Please indicate which type of Company. (Please tick)

Sole Director

Two or more Directors



Signature of Director 1

Date

Full Name of Director 1 (Please print)



Signature of Director 2 / Secretary

Date

Full Name of Director 2 / Secretary (Please print)



Signature of Director 3

Date

Full Name of Director 3 (Please print)

Please attach a clear copy of **CERTIFIED IDENTIFICATION** with a specimen signature (Drivers Licence or Passport) for all applicants listed on this account (including Directors if Account is in a Company name) if this has not been provided previously. Note: Additional documentation may be required depending on the account you are establishing; please read the checklist for your account type thoroughly and attach all required documents

**DJC Office Use Only: Execution by DJ Carmichael Pty Limited**  
(ABN 26 003 058 857), Signed for DJ Carmichael Pty Limited by

Date / /