

Addendum: Overseas Client Supplement - Mandatory For Overseas Clients

Identification Documents and Certification

NB: Please ensure Identification has been supplied in accordance with requirements of this application form.

Who is Authorised to Certify Documents for Overseas Clients

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| <ol style="list-style-type: none">1. The client's Private Client Adviser – where the Private Client Adviser has two (2) or more continuous years of service with one or more financial institutions as set out in the Statutory Declarations Regulations;2. Australian Consular Officer of Australian Diplomatic Officer;3. Bank officer or employee of a branch of an Australian licensed financial services provider (e.g. bank, finance company, stockbroker) with 2 or more continuous years of service who is authorised by their institution to open accounts, where the international financial services provider is acceptable to Canaccord Genuity Financial;4. Employee of the Australian Trade Commission who is:<ol style="list-style-type: none">a) In a country or place outside Australia; andb) Authorised under paragraph 3(d) of the Consular Fees Act 1995; andc) Exercising his or her function in that place;5. Employee of the Commonwealth who is:<ol style="list-style-type: none">a) In a country or place outside Australia; andb) Authorised under paragraph 3(d) of the Consular Fees Act 1995; andc) Exercising his or her function in that place; | <ol style="list-style-type: none">1. Judge of a court*;2. Magistrate*;3. Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants, the National Institute of Accountants, The American Institute of Certified Public Accountants, Association of Certified Chartered Accountants (United Kingdom), Canadian Institute of Chartered Accountants, Institute of Chartered Accountants of New Zealand, The Institute of Chartered Accountants in England and Wales, The Institute of Chartered Accountants in Ireland, or The Institute of Chartered Accountants of Scotland;4. Notary Public*;5. Police Officer*; or6. Lawyer or barrister*. <p><i>* licensed or registered in a Financial Action Task Force member country (please refer to the FATF web site for a list of member countries)</i></p> |
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Translation of Identification Documentation

Any identification documents that are not in English must be accompanied by a translation performed by an Accredited Translator.

Accredited Translator: A person currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd. (NAATI) at the level of Professional Translator, or above, to translate from a language other than English into English; OR a person who currently holds an accreditation that is consistent with the standard specified previously.

GST and Foreign Ownership Status

GST will be payable on brokerage charged to your account unless ALL of the following are true:

- For an individual/joint account, the tax country for all account holders is other than Australia;
- For a company account, the tax country for the company is other than Australia;
- The account will be operated solely from outside of Australia.

Based on those criteria, will you operate your account solely from outside Australia AND are you a resident for tax purposes outside Australia?

Please (✓) if Yes No

If 'Yes', please indicate your tax country:

Confirmation (Contract Note Distribution)

All Buy and Sell confirmations will be delivered by email to overseas clients; they will not be posted or faxed.

Please (✓) to confirm you have provided an email address for this purpose in the Electronic Confirmation section.

Addendum: Identification of Foreign Entities Continued

Client Relationship Information (Mandatory)

Expected Value of Future Transactions: (Per transaction)

Up to \$10,000
 \$10,001 to \$50,000
 \$50,001 to \$100,000
 \$100,001 to \$500,000
 Greater than \$500,000

Expected Volume of Future Transactions: (Per annum)

Up to 10
 11 to 50
 51 to 100
 Greater than 100

Reasons for Investing in Australia: (You may select more than one)

Australian Citizen or resident who will be
 Returning to Australia
 Business interests in Australia
 Access to Australian Equities
 Other (Please specify)

Source of Wealth (You may select more than one)

Salary
 Company profits
 Sale of Business
 Investments
 Inheritance
 Other (Please specify)

Company Information (Mandatory for Company Accounts Only)

Country of formation, incorporation or registration:

What is the nature of the business activities conducted by your Company?

Registered Foreign Companies

Is your company registered by the Australian Securities and Investments Commissions (ASIC)? Please (✓)

NO: Please complete the section below 'Unregistered Foreign Companies'.

YES: Please supply ARBN:

Unregistered Foreign Companies

Is your company registered by a foreign registration body? Please (✓)

NO YES – PLEASE COMPLETE THE FOLLOWING

Registration Body:

Identification Number:

Signatures: Mandatory For All Overseas Clients

SIGNATURES: ALL APPLICANTS MUST SIGN HERE

SIGNATURE APPLICANT #1	PRINT NAME	DATE SIGNED
<input type="text"/>		
SIGNATURE APPLICANT #2	PRINT NAME	DATE SIGNED
<input type="text"/>		
SIGNATURE APPLICANT #3	PRINT NAME	DATE SIGNED
<input type="text"/>		

SIGN HERE

Addendum: Identification of Foreign Entities Continued

Cash Settlement to an Overseas Bank Account

Please complete this Section if you wish to set up a standing instruction for ad hoc payments or the automatic payment of sale proceeds to a foreign bank account.

Standing Instruction Payment Type

Please select one of the options below.

Ad hoc payments (not necessarily related to trading activity) from our linked money market or cash management account. I/We authorise Canaccord Genuity Financial to accept emailed or phoned instructions to transfer amounts up to.

Amount (in numbers)

Amount (in words)

Currency (in letters)

Currency (in words)

OR

Automatic payments of all sale proceeds and credits on the trading account (including any funds currently held).

Currency (in letters)

Currency (in words)

Signed instructions are not required to action future transfer requests. This facility is limited to the named bank account only.

Destination Account Details

Beneficiary Details:

Country

Account Number

Account Name (*)

() Note: At least one of the account holders must also be the same as the account holder with Canaccord Genuity Financial.*

Beneficiary Bank Details:

Bank Name

Branch Address

City

SWIFT code (BIC code)

Branch Identifier (BSB/Sort Code/ABA or Routing Number)

Intermediary's Bank Details (if applicable):

Country

Bank Name

Branch Address

City

SWIFT code (BIC code)

Branch Identifier (BSB/Sort Code/ABA or Routing Number)

FOR FURTHER CREDIT/REFERENCE (IF APPLICABLE)

IMPORTANT NOTE

For an Individual or Joint account, all account holders must sign below.

For a Sole Director company account, the Sole Director must sign below.

For a non-Sole Director company account, two Directors or a Director and the Company Secretary must sign below and those signing must have been previously identified on the Canaccord Genuity Financial account.

SIGNATURES: ALL APPLICANTS MUST SIGN HERE

SIGNATURE APPLICANT #1	PRINT NAME	DATE SIGNED
<input type="text"/>		
SIGNATURE APPLICANT #2	PRINT NAME	DATE SIGNED
<input type="text"/>		
SIGNATURE APPLICANT #3	PRINT NAME	DATE SIGNED
<input type="text"/>		

SIGN HERE

IMPORTANT INFORMATION AND DISCLAIMER

1. Canaccord Genuity Financial Limited ("Canaccord Genuity Financial") is not liable for any losses incurred as a result of incomplete overseas account details provided by the client.
2. All overseas payments incur an AUD Overseas Telegraphic Transfer ("OTT") fee, charged by Canaccord Genuity Financial. Please refer to the most recent Canaccord Genuity Financial Financial Services Guide for applicable fees. This fee will be deducted from the transfer proceeds or withdrawn from the linked Money Market or Cash Management Account if sufficient funds are available. The Beneficiary Bank and / or the Intermediary Bank (if applicable) may deduct further fees from the transfer amount. Please contact your bank for further information.
3. Any outbound foreign currency conversion will be executed at the spot rate provided by Canaccord Genuity Financial's bank (Westpac Banking Corporation, ABN: 33 007 457 141) which may include commission or fees charged by the Bank and Canaccord Genuity Financial (refer to FSG). A recipient bank may also levy commissions and charges on any foreign currency conversion they perform.
4. Canaccord Genuity Financial must hold current identification for all Canaccord Genuity Financial Trading Account ("Trading Account") holders before funds can be transferred overseas.
5. Canaccord Genuity Financial may decline, at its sole discretion, to transfer funds to an account that is not in the name of the Trading Account and / or may require additional information to be provided by the account holder before such transfer will be made.
6. For Overseas clients, funds will only be paid to the domicile of the client's registered business / postal address.
7. For further information regarding overseas payments, please contact your Adviser.