



ONE OFF TRADE SERVICE APPLICATION

1. WHO THIS SERVICE IS FOR:

The One Off Trade Service (Service) provided by Trader Dealer Online Pty Ltd (TDO) is for persons who don't have a trading account and wish to sell shares on a one off basis. The Service allows you to sell your **issuer sponsored holdings** quickly and in a secure environment without the need for opening a trading account.

The Service can be used to sell shares acquired from floats and employee share schemes or shares held in the name of your spouse or non-adult child. The Service cannot be used if you are a Company, registered body or superannuation trust or if your shares are broker sponsored.

2. BEFORE YOU CAN PLACE YOUR ORDER TO SELL SHARES YOU WILL NEED TO:

- Read and accept the One Off Trade Service relevant Documentation¹.
- Provide all necessary Identification Documentation (see Section 4).
- Obtain and provide your Shareholder Reference Number (SRN) as detailed on your Issuer Sponsored Holding Statement. The SRN is a 10 digit number, usually prefixed by the letter "I". If the prefix is the letter "X", these shares are broker sponsored. Broker Sponsored shares need to be sold through the Broker on the Holding Statement or transfer your shares to TDO by opening a TDO trading account.
- Complete and sign the TDO One Off Trade Service Application, attach Identification Documentation (as per Section 4), Issuer Sponsored Holding Statement and current bank Statement (for payments requested to nominated bank accounts) and send by post, email or fax to TDO as follows:

Post: **Trader Dealer Online Pty Ltd**
PO Box 274
Collins Street West
Melbourne Vic 8007

Email: Send scanned documents to
dtr@traderdealer.com.au

Fax: (03) 9617 0699

3. PROCESS:

- Upon satisfactory completion of the above and receipt by TDO we will have:
 - your holdings confirmed with the Registry. If there are any discrepancies with the details, we will endeavor to contact you on the phone number provided and have these rectified;
 - your Identification documentation verified by independent and reliable sources; and
- Your sell order will be placed on market at the prevailing market price as soon as practicable.

- Payment of sale proceeds to the registered holder(s) of the shares as per the Issuer Sponsored Holding Statement as follows:

- Proceeds will be processed for transfer into your nominated bank account on the day of settlement (if you have nominated this as your preferred option on the Application and provided a current Bank Account Statement with the same account name as that of your Identification Documentation and Issuer Sponsored Holding Statement; or
- a cheque will be posted to the registered address as shown on your Issuer Sponsored Holding Statement.

4. IDENTIFICATION REQUIREMENTS:

Under the Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) legislative regime, certain due diligence must be conducted on any prospective client before certain services may be provided to that person. The due diligence includes verifying a prospective client's identity. Applications made without providing this information cannot be processed until all the necessary information has been provided.

The AML/CTF compliance program will also include ongoing customer due diligence and reporting of suspicious matters to AUSTRAC as necessary, which may require TDO or Pershing to collect further information.

1. INDIVIDUALS

To be provided by	- each individual client - each individual who is a trustee
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Please provide copies of one Primary Photographic Document **OR** one document from the Primary Non-Photographic list **AND** Secondary Identification list for **EACH** such individual.

Primary Photographic (one proof required)

- Current photographic Australian driver's licence
- Current Australian passport
- Current State or Territory photographic ID card
- Current foreign passport*
- Current ID card issued by a foreign government, the United Nations or an agency of the United Nations containing a photograph & signature*
- Current foreign driver's licence with photograph & date of birth*

OR

Primary Non-Photographic (one proof required)

- Birth certificate or birth extract issued by a State or Territory
- Commonwealth citizenship certificate
- Centrelink Pension card
- Health Care card issue by Centrelink
- Foreign citizenship certificate or birth certificate*

AND

Secondary Identification (one proof required)

- Commonwealth, State and Territory financial benefits notice (less than 12 months old)
- ATO Tax notice (less than 12 months old)
- Local government body or utilities provider notice (less than 3 months old) recording provision of services to the person at the address
- Notice issued within the last 3 months by school principal for a person under 18, recording period of time person attended school and person's residential address

¹ Documentation includes: (1) Trader Dealer Online Pty Ltd One off Trade Service Application, Terms and Conditions and Financial Services Guide; (2) D2MX Terms and Conditions and Financial Services Guide; and (3) Pershing Disclosure Document, Financial Services Guide and Privacy Statement.



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INTERNAL USE ONLY	
Account Number:	
Advisor Code:	

1. YOUR DETAILS

All details must be exactly the same as those shown on your Issuer Sponsored Holding Statement and identification documents. For joint holders, both holders must complete this section.

Issuer Sponsored Holding:	Holder 1 (Applicant 1)		Holder 2 (Applicant 2)	
Title:				
Given Names:				
Surname:				
Designation (if applicable):				
Registered Address:				
State:		Postcode:		Postcode:
Phone Number:				
Email Address:				
Date of Birth:				
Occupation:				

Confirmation Notes will be sent to the email address provided unless you advise otherwise. If no email is provided, Confirmation Notes will be mailed to the Registered Address.

2. YOUR BANK DETAILS

The bank account name details must be exactly the same as those shown on your Issuer Holding Statement and identification documents. If bank account details including a copy of a current bank account are not provided, sale proceeds will be sent by cheque made payable in the same name as that detailed on the Issuer Sponsored Holding Statement and sent to the registered address as shown on that Issuer Sponsored Holding Statement.

Bank:		Account Name:	
BSB:		Account:	

3. INSTRUCTIONS TO SELL BELOW SECURITIES " AT MARKET "

Shareholder Reference No. (SRN)	ASX Code:	Quantity:

4. ACKNOWLEDGMENTS

By signing the Application form below, you:

1. instruct Trader Dealer Online Pty Ltd (hereafter "TDO") Application at the prevailing market rate as soon as practicable after TDO receives this Application together with satisfactory identification requirements;
2. acknowledge and agree that all ASX transactions are executed by D2MX Pty Ltd (AFSL 297950) and cleared by Pershing Securities Australia Pty Ltd (AFSL 338264);
3. acknowledge receipt and understanding of the following
 1. Trader Dealer Online Pty Ltd One off Trade Service Application, Terms and Conditions and Financial Services Guide;
 2. D2MX Terms and Conditions and Financial Services Guide; and
 3. Pershing Disclosure Document, Financial Services Guide and Privacy Statement; and
4. agree, represent and warrant that you agree to be bound by such Documentation.

Issuer Sponsored Holding:	Registered Holder 1 (Applicant 1)	Registered Holder 2 (Applicant 2)
Signature:		
Date:		