



Westpac Online Investment Loan Third Party Security Provider Application Form

Complete this form when security for your Westpac Online Investment Loan is being provided (owned) by someone other than the borrower(s) – i.e. a third party security provider. Please note that in the case of joint borrowers, where the security being provided is owned by one of the borrowers only, that borrower must also complete a Third Party Security Application Form.

FORM INSTRUCTIONS

Before you complete this Third Party Security Provider Application, please ensure that you read:

1. the Westpac Online Investment Loan – Product Disclosure Statement;
2. the CHESS explanation, Supplementary risk disclosure statement and the Third Party Security Provider additional risk disclosure statement;
3. The Westpac Online Investment Loan Facility Agreement;
4. the BT Securities Limited Financial Services Guide; and
5. The Westpac Privacy Statement and other reporting obligations.

You can download the above documents from our website westpac.com.au or you can phone our Customer Relations Consultants on **1300 551 744** for more information.

Who can provide Third Party Security on a Westpac Online Investment Loan Facility

We will accept Third Party Security Applications from:

1. Individuals who are Australian residents for tax purposes and reside in Australia.
2. Australian proprietary companies which are not subsidiaries of listed companies. The company directors must be Australian residents for tax purposes and reside in Australia.

How to complete this Third Party Security Provider Application Form

1. This form contains mandatory sections to complete, which are dependent on the entity providing the third party security i.e. individual or company.
2. The checklist opposite will assist you to complete this Third Party Security Provider Application Form accurately. You may care to tick the relevant sections as you go, to ensure that you are accurately completing the form, and that you are providing any additional attachments required to support this application.
3. Please use **BLACK PEN** and print in clear **CAPITAL LETTERS**.

Mandatory Sections for Completion per Third Party Security Provider Type

Third Party Security Provider Type	Complete	Description/Comment
Individual Third Party Security Providers	Section 1	Name of Borrower
	Section 2	Individual Third Party Security Provider – Personal Details
	Section 5	Third Party Security Provider Signing Section
Company Third Party Security Providers	Section 1	Name of Borrower
	Section 3	Company Third Party Security Provider Details
	Section 5	Third Party Security Provider Signing Section

Submitting your Third Party Security Provider Application Form

The original of this form and any other required information must be sent to:

Mail ➤ Westpac Online Investment Loan
GPO Box 3917
Sydney NSW 2001

Approval of your Third Party Security Provider Application

Please note that all applications are subject to our approval.

We will contact you to notify you of the decision and/or any additional information and conditions.

Questions?

If you need help while you are completing this form, **please call our Customer Relations Consultants on 1300 551 744**.

Phone lines are available Mon–Fri from 8.00am to 6.30pm (Sydney time).

1. NAME OF BORROWER TO WHOM THIRD PARTY SECURITY IS TO BE APPLIED

Borrower's name

Borrower's client code

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2. INDIVIDUAL THIRD PARTY SECURITY PROVIDERS – PERSONAL DETAILS

For a Third Party Security Application consisting of more than two individual security providers, please complete an additional Third Party Security Application Form, and attach a letter confirming all third party security providers to the Westpac Online Investment Loan.

2A INDIVIDUAL THIRD PARTY SECURITY PROVIDER 1

Title

 Mr Mrs Miss Ms

Other (please specify)

Given name(s) (include first and middle names)

Surname

Date of Birth (dd/mm/yyyy)

 / /

Daytime contact number

 ()

Email address*

**In the future, Westpac may elect to email correspondence to you.*

Mailing address (write "AS ABOVE" if the same as your current residential address. We may use this address for future correspondence, including for CHESS purposes.)

Street		
Suburb/City	State	Postcode

Tax file number (TFN)¹

2B INDIVIDUAL THIRD PARTY SECURITY PROVIDER 2

Title

 Mr Mrs Miss Ms

Other (please specify)

Given name(s) (include first and middle names)

Surname

Date of Birth (dd/mm/yyyy)

 / /

Daytime contact number

 ()

Email address*

**In the future, Westpac may elect to email correspondence to you.*

Mailing address (write "AS ABOVE" if the same as your current residential address. We may use this address for future correspondence, including for CHESS purposes.)

Street		
Suburb/City	State	Postcode

Tax file number (TFN)¹

3. COMPANY THIRD PARTY SECURITY PROVIDER

3A COMPANY DETAILS

Full name of company as registered by ASIC

Australian Company Number (ACN)

Australian Business Number (ABN)¹

Tax file number (TFN)¹

Mailing address (We may use this address for future correspondence, including for CHESS purposes.)

Street		
Suburb/City	State	Postcode

Name of contact person

Daytime contact number

Email address*

**In the future, Westpac may elect to email correspondence to you.*

3B COMPANY THIRD PARTY SECURITY PROVIDER DIRECTOR DETAILS

How many directors are there?

All company directors are to complete this section. If there are more than two company directors, attach a separate sheet.

DIRECTOR 1

Title

 Mr Mrs Miss Ms

Other (please specify)

Given name(s) (include first and middle names)

Surname

Date of Birth (dd/mm/yyyy)

Home phone number

Email address*

**In the future, Westpac may elect to email correspondence to you.*

Current residential address (PO Box is not acceptable)

Street		
Suburb/City	State	Postcode

Mailing address (write "AS ABOVE" if the same as your current residential address. We may use this address for future correspondence, including for CHESS purposes.)

Street		
Suburb/City	State	Postcode

Tax file number (TFN)¹

3B COMPANY THIRD PARTY SECURITY PROVIDER DIRECTOR DETAILS (continued)**DIRECTOR 2**

Title

 Mr Mrs Miss Ms

Other (please specify)

Given name(s) (include first and middle names)

Surname

Date of Birth (dd/mm/yyyy)

 / /

Home phone number

 ()

Email address*

*In the future, Westpac may elect to email correspondence to you.

Current residential address (PO Box is not acceptable)

Street		
Suburb/City	State	Postcode

Mailing address (write "AS ABOVE" if the same as your current residential address. We may use this address for future correspondence, including for CHESS purposes.)

Street		
Suburb/City	State	Postcode

Tax file number (TFN)¹

4. WESTPAC PRIVACY STATEMENT AND OTHER REPORTING OBLIGATIONS**Personal information**

We collect personal information from you to process your application, provide you with your product or service, and manage your product or service. We may also use your information to comply with legislative or regulatory requirements in any jurisdiction, prevent fraud, crime or other activity that may cause harm in relation to our products or services and help us run our business. We may also use your information to tell you about products or services we think may interest you.

If you do not provide all the information we request, we may need to reject your application or we may no longer be able to provide a product or service to you.

If you are a proposed guarantor, we collect your personal information in order to assess you as a guarantor, take a guarantee from you and administer that guarantee. If you do not provide all the information we request, we may be unable to accept you as a guarantor.

We may disclose your personal information to other members of the Westpac Group, anyone we engage to do something on our behalf and other organisations that assist us with our business.

We may disclose your personal information to an entity which is located outside Australia. Details of the countries where the overseas recipients are likely to be located are in our As a provider of financial services, we have obligations to disclose some personal information to government agencies and regulators in Australia, and in some cases offshore. We are not able to ensure that foreign government agencies or regulators will comply with Australian privacy laws, although they may have their own privacy laws. By using our products or services, you consent to these disclosures. We are required or authorised to collect personal information from you by certain laws. Details of these laws are in our privacy policy.

Our privacy policy is available at westpac.com.au or by calling us on 132 032. It covers:

- how you can access the personal information we hold about you and ask for it to be corrected;
- how you may complain about a breach of the Australian Privacy Principles or a registered privacy code and how we will deal with your complaint;
- how we collect, hold, use and disclose your personal information in more detail.

We will update our privacy policy from time to time.

4. WESTPAC PRIVACY STATEMENT AND OTHER REPORTING OBLIGATIONS *(continued)*

Credit information

We may:

- obtain consumer credit information about you from a credit reporting body to enable us to assess your creditworthiness;
- obtain information about your commercial activities or commercial creditworthiness from a business which provides information about the commercial creditworthiness;
- exchange personal information and credit information about you with other credit providers to assess your application and creditworthiness and to notify them of any defaults by you;
- disclose credit information and other personal information about you to a guarantor or to a proposed guarantor (for the purpose of them considering whether to offer to act as guarantor);
- give or obtain a banker's opinion about you.

If you are a proposed guarantor, we may obtain credit reporting information about you from a credit reporting body for the purpose of assessing whether to accept you as a guarantor.

If you have made your application or have been introduced to us through a broker or other intermediary, we may exchange credit information and other personal information about you with them.

We may also communicate with them directly in relation to your application instead of communicating with you.

The privacy page of our website westpac.com.au includes a "Statement of Notifiable Matters". These are matters you should be aware of in relation to the use and disclosure of your credit information. This statement includes:

- details of the credit reporting bodies to which we are likely to disclose your credit information, the types of credit information we may give them and how this information will be used;
- your rights over your credit information, including how you can access and correct your information and make complaints;
- your rights to direct a credit reporting body to limit the use of your information for direct marketing purposes and what protections are available if you believe you are a victim of fraud; and
- information about our Credit Reporting Policy.

You can call us on 132 032 for a hard copy of the Statement of Notifiable Matters.

Other acknowledgements and consents

- We may confirm the details of the information provided in this application.
- Where you have provided information about another individual, you must make them aware of that fact and the contents of the Privacy Statement and other reporting obligations.
- This application form is not an offer or acceptance of credit.

We and members of the Westpac Group will use or disclose your personal information to contact you or send you information about other products and services offered by the Westpac Group or its preferred suppliers. Please call us on 132 032, if you do not wish to receive marketing communications from us.

We are required to identify certain US persons in order to meet account information reporting requirements under local and international laws.

If you or (where you are an entity) any office bearer* of the entity and/or any individual who holds an interest in the entity of more than 25% (a Controlling Person) are a US citizen or US tax resident, you must telephone 1300 658 194 at the time of entering into this agreement. When you contact us you will be asked to provide additional information about your US tax status and/or the US tax status of any Controlling Person which will constitute certification of US tax status for the purposes of the application for this facility.

Unless you notify us that you and/or any Controlling Person are a US citizen or US tax resident as specified above, accepting the terms of this agreement constitutes certification that you and/or each Controlling Person are not a US citizen or US tax resident.

If at any time after entering into this agreement, information in our possession suggests that you and/or any Controlling Person may be a US citizen or US tax resident, we may request you to provide further information on your US tax status and/or the US tax status of any Controlling Person. Failure to respond may result in us imposing additional reporting requirements on the facility.

* Director of a company, partner in a partnership, trustee of a trust, chairman, secretary or treasurer of an association or co-operative.

Definitions

"We", "our", "us", "Westpac Group" means Westpac Banking Corporation ABN 33 007 457 141 and its related bodies corporate.

5. THIRD PARTY SECURITY PROVIDER SIGNING SECTION

5A POWER OF ATTORNEY

Without limiting any power of attorney given by me under the Westpac Online Investment Loan Facility Agreement (**Facility Agreement**), I appoint BT Securities Limited ABN 84 000 720 114 (**the Lender**) and each person who is at any time authorised by **the Lender** or a related body corporate of **the Lender** to exercise the powers contained in this power of attorney separately as my attorneys.

1. I agree to approve anything an attorney does under this power of attorney, until this power of attorney is revoked in accordance with its terms and each attorney becomes aware that it has been revoked.
2. I agree that this power of attorney cannot be revoked by me without the written consent of **the Lender**.
3. I give the authorisations, consents and acknowledgments set out in the Third Party Security Provider Application attached to this power of attorney.
4. I declare that the information given in the Third Party Security Provider Application is correct and that this power of attorney is given for valuable consideration.
5. I declare that the attorneys are authorised to do any act as a result of which a benefit may be conferred on an attorney.
6. An attorney may delegate to another person a power under this power of attorney and may appoint an attorney to act on their behalf, as a sub-attorney.
7. An attorney may, in my name:
 - (a) do everything needed (including completing any blanks) to execute and deliver the **Facility Agreement** and other documents listed in the Schedule in the Signing Section to this power of attorney and any other documents connected with them; and
 - (b) stamp and register at my cost any of the documents listed in the Schedule in the Signing Section to this power of attorney and any other document connected with them.
8. Without limiting clause 7, an attorney may also in my name execute any document or do any act in connection with:
 - (a) any notification to a share registry, **securities** issuer or CHES of a change of registration details (including the registered name) of any of my **securities** to correspond with the details advised by me to **the Lender** from time to time;
 - (b) any conversion request form, transfer form or other document, in relation to any **securities** for the purpose of converting or transferring those **securities** to or from my participant holding with BT (Queensland) Pty Limited ABN 49 009 818 875 (**the Nominee**) or **the Lender** and/or an agent of either of them;
 - (c) any document which relates in any way to my **securities** or entitlements that form part of the loan portfolio or that are otherwise related to the Facility Agreement including:
 - (i) directions to a company or share registry as to the address for payment of entitlements; and
 - (ii) any application for the issue of share certificate or other documents evidencing title pursuant to section 1070D of the Corporation Act in respect of **securities**; and
 - (d) any direction to **the Nominee** as nominee under the **Facility Agreement**; or
 - (e) stamping and registering any documents; or
 - (f) any instructions to a sponsor of my participant sponsored holding.
9. I declare that:
 - (a) I am the legal owner of the **securities** and entitlements that form the part of the loan portfolio applicable to me and am entitled to authorise the attorney to act in accordance with this power of attorney;
 - (b) anything done in exercising the powers given under this power of attorney will be as binding on me and anyone else as if I had done the acts myself; and
 - (c) any person who deals with the attorneys in good faith may accept as true, a statement the attorney signs which says:
 - (i) an act of the attorney is a proper exercise of the powers under this power of attorney; or
 - (ii) this power of attorney has not been revoked.
10. I agree to indemnify the attorneys against, and I must therefore pay the attorneys on demand for any loss or costs they suffer or incur in exercising powers under this power of attorney.
11. The meaning of the words printed **like this** and some other important words are explained in the section Meaning of words and interpretation in the **Facility Agreement** or in this power of attorney.
12. I, me, mine and similar terms are references to each person identified as a third party security provider in the BT Margin Lending Loan Application and executes this power of attorney separately.
13. Where the third party security provider in the Westpac Online Investment Loan Application is a company, I confirm that the directors of the company authorised me to advise that the provision of the third party security is considered to be in the best interest of the company because:

Schedule

- a) The **Facility Agreement** between me (possibly together with other borrowers and third party security providers), **the Lender** and **the Nominee**;
- b) one or more CHESS sponsorship agreements substantially in the form set out in the facility relating to **securities** and entitlements I hold either alone or together with another person.

By Signing Below, You Acknowledge, Declare and Confirm That:

- you have read and accept the terms of the Westpac Online Investment Loan – Product Disclosure Statement, the Westpac Online Investment Loan Facility Agreement (**Facility Agreement**), the Supplementary risk disclosure statement, the Third Party Security Provider additional risk disclosure statement, the BT Securities Limited Financial Services Guide, the CHESS explanation and the power of attorney conditions,
- you accept the risks of margin lending and your obligations if we approve your application,
- you give our officers and us the power to enter into agreements, which bind you and do other things on your behalf without referring to you, including to complete your HIN details in your sponsorship agreement,
- you acknowledge that you have read and accepted the information under the heading Westpac Privacy Statement and other reporting obligations, and consent to the collection, use and disclosure of personal information in accordance with the Westpac Privacy Statement and other reporting obligations,
- you grant the Power of Attorney in Section 5A of this Third Party Security Provider Application Form,
- all the information you have provided on this Third Party Security Provider Application Form is true and correct,
- you are an Australian resident for tax purposes residing in Australia, and
- you acknowledge receiving a copy of the sponsorship agreement contained in the Westpac Online Investment Loan Facility Agreement for your records.

For Company Third Party Security providers, either two Directors, or one Director and the Secretary, or the Sole Director and Sole Secretary must sign. Indicate your company capacity by marking the appropriate box below your signature.

Signature of **Third Party Security Provider 1**

Full name of **Third Party Security Provider 1** (please print)
 Director Sole Director/Sole Secretary
Signature of **Third Party Security Provider 2**

Full name of **Third Party Security Provider 2** (please print)
 Director Company Secretary

Date (dd/mm/yy)

- 1 You are not required by law to provide your TFN or ABN, however if you do not provide one, tax may be deducted from your dividends and distributions at the highest marginal tax rate (plus Medicare Levy). If you quote your TFN or ABN, you authorise BT Securities Limited ABN 84 000 720 114 to disclose it to its related bodies corporate, BT (Queensland) Pty Limited ABN 49 009 818 875, ASX Settlement Pty Limited ABN 49 008 504 532, fund managers, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the loan portfolio.