

**TANDEM CAPITAL**

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# **TANDEM MARGIN LENDING**

**Application Form**

**3 February 2026**



**How must this application be completed?**

- Application must be signed with a black or blue pen
- Application must be witnessed by an adult who is not a relative of or a related party to a borrower or guarantor
- The document must be printed and completed in full and returned as a single continuous document
- Applicants must complete all sections required for the application type

**Identity Verification**

To complete our customer identification procedure and meet our regulatory obligations under the Anti-Money Laundering and Counter Terrorism Financing Act 2006 (Cth), we need to verify your identity. By signing this application, you agree and consent to the use of your personal information as stated in the Tandem Margin Lending Terms and Conditions.

Please note that where necessary, we may request additional information required for verification purposes.

If you have an existing account with Tandem Capital (ABN 54 085 797 735) we may obtain information to support the account opening process.

**Registration of Shares**

The address for the registration of shares will be established as the postal address. To register the shares under a different address, please contact Tandem Capital on 1800 100 822.

DOCUMENTS	APPLICANT TYPE
<b>Income Verification documents:</b> <ul style="list-style-type: none"><li>■ Copies of two recent pay slips or</li><li>■ A copy of your most recent tax return and</li><li>■ A copy of your portfolio statement</li></ul>	<ul style="list-style-type: none"><li>■ Based on response to Section 26</li></ul>
<b>Identity Verification</b> <ul style="list-style-type: none"><li>■ Certified copy of your identification documents</li></ul>	<ul style="list-style-type: none"><li>■ All Applicant Types</li></ul>
<b>Bank Statement</b> <ul style="list-style-type: none"><li>■ A copy of the bank statement</li></ul>	<ul style="list-style-type: none"><li>■ All Applicant Types</li></ul>
<b>Trust Deed</b> <ul style="list-style-type: none"><li>■ A certified copy of the full trust deed including any subsequent amendments</li></ul>	<ul style="list-style-type: none"><li>■ Individual Trustee</li><li>■ Corporate Trustee</li></ul>

## FATCA/CRS INFORMATION RELEVANT FOR ENTITIES (COMPANIES AND TRUSTS)

Certain definitions are used to collect information to fulfill our Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) obligations. Understanding these definitions is important for accurately identifying the Entity Classifications and Controlling Persons needed to complete this form.

### ENTITY CLASSIFICATION GUIDANCE

**Passive NFE:** If your entity meets the following criteria, the entity is likely to be classified as a Passive NFE.

**Main Activity:** Holding assets like shares, bonds, futures, options, forwards, swaps or real estate to earn passive income (e.g. dividends, interest, gains/losses from financial assets or rent).

**Criteria<sup>1</sup>:** During the last year, the entity

- earned 50% or more of its gross income from passive investment activities or,
- 50% or more of its assets produce or are held for producing passive investment income.

**Active NFE:** If your entity meets the following criteria, the entity is likely to be classified as an Active NFE.

**Main Activity:** Running an active business but may have some passive income investments.

**Criteria<sup>1</sup>:** During the last year, the entity

- earned less than 50% of its gross income from passive investment activities or,
- less than 50% of its assets produce or are held for producing passive investment income.

If you don't satisfy the above criteria, please refer Appendix B: FATCA/CRS (Section 2: Entity Classifications) of this application for a more detailed list of what constitutes an Active NFE.

**Financial Institution:** If your entity meets the following criteria, it may be classified as a Financial Institution.

**Criteria<sup>1</sup>:** If all or part of an investment portfolio is managed for you (e.g. your trust has a professional trustee, or your entity has a fund manager).

**'ENTITY CLASSIFICATION REFERENCE:** For a more detailed list and explanation on the Entity Classifications for FATCA/CRS, please refer Appendix B: FATCA/CRS (Section 2: Entity Classifications) of this application. Alternatively, you can visit <https://www.ato.gov.au/about-ato/international-tax-agreements/in-detail/international-arrangements/automatic-exchange-of-information-crs-and-fatca/8-glossary> and seek your own tax advice if required.

### CONTROLLING PERSONS

Controlling Person(s) means the natural person(s) who exercise control over an entity.

**For a company**, it's anyone who directly or indirectly owns 25% or more of the shares or voting rights, or an individual with control over management of the company such as a director or chief executive.

**For a trust**, it means the settlor(s), trustee(s), protector(s) (if any), appointor(s), beneficiary(ies), and anyone exercising effective ultimate control over the trust.

For more information on Controlling Persons please see Appendix B: FATCA/CRS (Section 3: Controlling Persons).

Please see the below checklist as reference on what sections may need to be completed based on the type of application you wish to submit. Optional sections or fields have been marked accordingly within the *application form*.

INDIVIDUAL(S)	INDIVIDUAL TRUSTEE(S)	COMPANY	CORPORATE TRUSTEE(S)
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## PART A: ACKNOWLEDGEMENTS

List of documents and Tandem Margin Lending Terms and Conditions to be read and understood before signing of this application.

Section 1	✓	✓	✓	✓
Section 2	✓	✓	✓	✓

## PART B: BORROWER DETAILS

Applicant details and verification of identity.

Section 3	✓	✓		
Section 4	✓	✓		
Section 5	✓	✓		
Section 6	✓	✓		
Section 7	✓	✓		
Section 8	✓	✓		
Section 9			✓	✓
Section 10			✓	✓
Section 11		✓		✓
Section 12		✓		✓
Section 13	✓	✓	✓	✓
Section 14	✓	✓	✓	✓

## PART C: GUARANTOR DETAILS

*Guarantor* details and verification of identity. For borrowing companies, all directors are required to be an individual *guarantor*. For individual applicants, adding a *guarantor* is optional.

Section 15		✓	✓	
Section 16		✓		✓
Section 17		✓		✓
Section 18		✓		✓
Section 19		✓		✓
Section 20		✓		✓
Section 21				
Section 22				
Section 23				
Section 24				

## PART D: FINANCIAL INFORMATION

*Credit limit* and contribution information. You may need to provide information on your financials for a suitability assessment.

Section 25	✓	✓	✓	✓
Section 26	✓	✓	✓	✓

## PART E: EXECUTION

Execution by the *borrowers* and *guarantors*.

Section 27	✓	✓	✓	✓
Section 28			✓	✓

## A. ACKNOWLEDGEMENTS

### 1. TANDEM MARGIN LENDING DOCUMENTATION

By signing this application form, each person named as a *borrower* or *guarantor* acknowledges that they have read and understood each of the following documents available on our website (<https://www.tandemcapital.com.au/tandem-margin-lending/>):

- Tandem Margin Lending Product Disclosure Statement
- Tandem Margin Lending Brochure
- Tandem Margin Lending Approved Securities List
- Bell Financial Trust Product Disclosure Statement and Additional Information

### 2. TERMS AND CONDITIONS - TANDEM MARGIN LENDING BROCHURE

By signing the application form each person named as a *borrower* or *guarantor* has read, understood, and agrees to be bound by the Tandem Margin Lending Terms and Conditions of the Portfolio *Loan* including each of the following sections:

- *Part A – Definitions and Interpretations*
- *Part B - Loan Facility Agreement*
- *Part C – Security Agreement*
- *Part D – Guarantee*
- *Part E – CHESS Sponsorship Agreement*
- *Part F – Nominee Agreement*
- *Part G – Representations, Warranties and Indemnities*
- *Part H – Power of Attorney*
- *Part I – Options Agreement*
- *Part J – Your Privacy, Credit Reporting and Tax Information*
- *Part K – AML/CTF Laws*
- *Part L – General*

# TANDEM MARGIN LENDING APPLICATION FORM

# TANDEM CAPITAL

GPO Box 4718, Melbourne VIC 3001  
Toll Free 1800 100 822  
support@tandemcapital.com.au  
www.tandemcapital.com.au

## B. BORROWER DETAILS

### 3. INDIVIDUAL BORROWER 1

<b>Title</b>	<b>Given Name</b>	<b>Middle Name</b>
<b>Surname</b>	<b>Date of Birth (dd/mm/yyyy)</b> / / /	
<b>Nationality</b>	<b>Country of Birth</b>	
<b>Occupation</b>	<b>Employer</b>	
<b>Residential Address</b>		
<b>Postal Address (if different from above)</b>		
<b>Mobile Phone</b> ( )	<b>Phone (Optional)</b> ( )	<b>Email Address</b>

### 4. TAX INFORMATION - INDIVIDUAL BORROWER 1

Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship. A person can be a tax resident in more than one country and does not need to pay tax to be a tax resident. For further information on tax residency rules by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>.

By law you are not required to provide your Australian Tax File Number (TFN). However, if you are a tax resident of Australia, and you do not provide it, withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions.

#### 4.1 Are you a tax resident of Australia?

Yes  No (please proceed to 4.3)

**Tax File Number / Exemption Code (Optional)**

#### 4.2 Are you a tax resident of another country?

Yes  No (please proceed to section 5)

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#### 4.3 If you are a tax resident of a country other than Australia, please provide your country of tax residence and your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN. For further information on TINs by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>.

Country	TIN	If no TIN, list reason A, B or C. If reason B applies, provide an explanation

Reason A: The country of tax residency does not issue TINs to tax residents

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

#### 5. VERIFICATION OF IDENTITY

Please select your preferred method to verify your identity:

##### Account Number

I am an existing client of Tandem Capital

I will provide a certified copy of a current Australian Driver's Licence or Passport (Australian or Foreign) containing my signature and photograph. Please refer to Appendix A: Certification and Copy Requirements

#### 6. INDIVIDUAL BORROWER 2

Title	Given Name	Middle Name
Surname	Date of Birth (dd/mm/yyyy) / /	
Nationality	Country of Birth	
Occupation	Employer	
Residential Address		
Postal Address (if different from above)		
Mobile Phone ( )	Phone (Optional) ( )	Email Address

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## 7. TAX INFORMATION - INDIVIDUAL BORROWER 2

Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship. A person can be a tax resident in more than one country and does not need to pay tax to be a tax resident. For further information on tax residency rules by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>.

By law you are not required to provide your Australian Tax File Number (TFN). However, if you are a tax resident of Australia, and you do not provide it, withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions.

### 7.1 Are you a tax resident of Australia?

Yes                    No (please proceed to 7.3)

Tax File Number / Exemption Code (Optional)

### 7.2 Are you a tax resident of another country?

Yes                    No (please proceed to section 8)

**7.3 If you are a tax resident of a country other than Australia, please provide your country of tax residence and your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.**

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN. For further information on TINs by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>.

Country	TIN	If no TIN, list reason A, B or C. If reason B applies, provide an explanation

Reason A: The country of tax residency does not issue TINs to tax residents

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

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## 8. VERIFICATION OF IDENTITY

Please select your preferred method to verify your identity:

I am an existing client of Tandem Capital	<b>Account Number</b>
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I will provide a certified copy of a current Australian Driver's Licence or Passport (Australian or Foreign) containing my signature and photograph. Please refer to Appendix A: Certification and Copy Requirements

## 9. COMPANY OR CORPORATE TRUSTEE BORROWER

<b>Company or Corporate Trustee Name</b>	
<b>Full Address of Company's Registered Office in Australia</b>	
<b>Full Address of Company's Principal Place of Business</b>	
<b>Postal Address (if different from above)</b>	
<b>ACN</b>	<b>ABN (Optional)</b>
<b>Principal business activity</b>	
<b>Phone</b> ( )	<b>Email Address</b>

## 10. TAX INFORMATION – COMPANY

By law you are not required to provide the company Tax File Number (TFN). However, if the company is a tax resident of Australia and you do not provide the TFN or Australian Business Number (ABN), withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions. Please refer to Appendix B for further details on FATCA /CRS terms used in this section.

### 10.1 Is the company a tax resident of Australia?

Yes      No (please complete Appendix B: Section 1. Foreign Tax Residency)

### 10.2 Company Tax File Number

Company Tax File Number / Exemption Code (Optional)

### 10.3 Is the company a tax resident of a country other than Australia?

Yes (please complete Appendix B: Section 1. Foreign Tax Residency)      No

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[www.tandemcapital.com.au](http://www.tandemcapital.com.au)

#### 10.4 Is the company a Passive NFE (Non-Financial Entity)?

**10.5 If the company is a Passive NFE, are any of the Controlling Persons of the company a tax resident of any country other than Australia?**

Yes (please complete Appendix B: Section 3. Controlling Persons)  No

## 11. TRUST DETAILS (This section is required for trustee applicants)

Full Name of Trust	ABN (Optional)
Account Designation (Optional) e.g. <Susan Brown Family A/C>	
Full Address of Trust	
Full Name of the Settlor of the Trust (Required if the Settlor contributed more than \$10,000 when the Trust was established)	
Principal business activity	ABN (Optional)

## 12. TAX INFORMATION - TRUST DETAILS (This section is required for trustee applicants)

By law you are not required to provide the trust's Tax File Number (TFN). However, if the trust is a tax resident of Australia and you do not provide the TFN or Australian Business Number (ABN), withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions. Please refer to Appendix B for further details on FATCA/CRS terms used in this section.

## 12.1 Is the trust a tax resident of Australia?

## 12.2 Trust Tax File Number

Tax File Number for the Trust / Exception Code (Optional)

### 12.3 Is the trust a tax resident of a country other than Australia?

Yes (please complete Appendix B: Section 1. Foreign Tax Residency)  No

#### 12.4 Is the trust a Passive NFE (Non-Financial Entity)?

Yes \_\_\_\_\_ No (please complete Appendix B: Section 2. Entity Classifications)

**12.5 If the trust is a Passive NFE, are any of the Controlling Persons of the trust a tax resident of any country other than Australia?**

Yes (please complete Appendix B: Section 3. Controlling Persons)  No

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## 13. AUTHORISED PERSONS (OPTIONAL)

In addition to the account holder(s), the person whose signature appears below is authorised to give instructions to, and transact on, my *facility*. This authorisation remains effective until notice of its revocation is received in writing by *Tandem Capital*.

<b>Title</b>	<b>Given Name</b>	<b>Middle Name</b>
<b>Surname</b>		<b>Date of Birth (dd/mm/yyyy)</b> / /
<b>Relationship to Client</b>		
<b>Residential Address</b>		
<b>Mobile Phone</b> ( )	<b>Phone (Optional)</b> ( )	<b>Email Address</b>
<b>Signature of Authorised Persons</b>		

Please select the preferred method to verify the *authorised person's* identity:

### Account Number

I am an existing client of Tandem Capital

I will provide a certified copy of a current Australian Driver's Licence or Passport (Australian or Foreign) containing my signature and photograph. Please refer to Appendix A: Certification and Copy Requirements

## 14. ACCOUNT INFORMATION

### A. BELL FINANCIAL TRUST

By completing this application form you are authorising *Bell Potter Capital Limited* to apply for a unit in the *Bell Financial Trust* on your behalf.

The *Bell Financial Trust* and your margin loan will be administered as one combined facility:

- When your loan balance is in credit at the close of a business day, you will accrue interest on that balance at the applicable interest rate.
- We lend 100% against your investment in the *Bell Financial Trust*.
- The combined facility will be allocated the same BSB and account number which would make payments into and withdrawals from the linked accounts easier. For example, you can choose to use the *Bell Financial Trust* to receive dividends.
- The *Bell Financial Trust* does not have any account opening or maintenance fees.
- The *Bell Financial Trust* annual report will be sent to you electronically. You can also obtain a copy of the annual report by visiting *our website*. If you wish to receive a copy of the annual report by mail, please contact a member of our account management team on 1800 100 822.

If you do not wish to open a linked *Bell Financial Trust*, please mark this checkbox.

### B. NOMINATED BANK ACCOUNT

By providing a nominated bank account, you are able to arrange transfers from your Tandem Margin Lending *facility* to this account. The nominated bank account must be an Australian bank account and in the same name as the *facility* that you are opening. Please provide a copy of a current bank statement (within the last 3 months) to confirm your name, BSB and account number.

<b>Account Name</b>	<b>Bank Name</b>
<b>BSB Number</b>	<b>Bank Account Number</b>

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## C. DIVIDEND DIRECTION AUTHORITY (Optional)

We can arrange to send account details via Clearing House Electronic Subregister System (CHESS) to share registries for the purpose of receiving dividends. We cannot guarantee that share registries will act on these instructions. Please tick the appropriate box below.

Please arrange for dividends to be credited to the above nominated bank account.

Please arrange for dividends to be credited to my loan account.

## D. EMAIL CORRESPONDENCE BY ASX AND/OR REGISTRIES (Optional)

If you would like correspondence initiated by the ASX and/or registries to be sent via email (rather than mail) please confirm your preference below:

All electronic communication

Electronic ASX settlement communication

All electronic issuer communication

Please also confirm the email address to be used for this correspondence.

Individual 1 / Director 1 or

Individual 2 / Director 2 or

Company

## E. TRADING ACCOUNT (Optional)

Please confirm if you have an existing trading account that you wish to link the *facility* with.

Broker Name	Broker Account Number
Broker Phone (optional)	Broker Email (optional)
Participant Identification Number (PID)	

Contract notes will need to be sent to operations@tandemcapital.com.au. For assistance with arranging the delivery of settlement requests from your broker or if you have any questions, please contact Tandem Capital on 1800 100 822.

## F. ADVISER DETAILS (Optional and to be completed by the adviser)

By completing this section, I/We hereby authorise the adviser whose details appears below, to be able to receive information and view my *facility*. This authorisation remains effective until notice of its revocation is received in writing by Tandem Capital.

Adviser Name	Adviser Registration Number
Adviser/Dealer Group	Adviser Mobile
Adviser Email	

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## C. GUARANTOR DETAILS

The details in this section must be completed by all directors of borrowing companies and should also be completed where a third party (*guarantor*) is providing stock to support the *facility*. If that stock is to be provided by a corporate *guarantor*, please complete section 21. All *guarantors* must also sign the agreement at section 28.

### 15. DIRECTOR 1 / GUARANTOR 1

<b>Title</b>	<b>Given Name</b>	<b>Middle Name</b>
<b>Surname</b>	<b>Date of Birth (dd/mm/yyyy)</b> / / /	
<b>Nationality</b>	<b>Country of Birth</b>	
<b>Occupation</b>	<b>Employer</b>	
<b>Residential Address</b>		
<b>Postal Address (if different from above)</b>		
<b>Mobile Phone</b> ( )	<b>Phone (Optional)</b> ( )	<b>Email Address</b>

### 16. TAX INFORMATION – DIRECTOR 1 / GUARANTOR 1

Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship. A person can be a tax resident in more than one country and does not need to pay tax to be a tax resident. For further information on tax residency rules by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>.

By law you are not required to provide your Australian Tax File Number (TFN). However, if you are a tax resident of Australia, and you do not provide it, withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions.

#### 16.1 Are you a tax resident of Australia?

Yes                    No (please proceed to 16.3)

Tax File Number / Exemption Code (Optional)

#### 16.2 Are you a tax resident of another country?

Yes                    No (please proceed to section 17)

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## 16.3 If you are a tax resident of a country other than Australia, please provide your country of tax residence and your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN. For further information on TINs by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>.

Country	TIN	If no TIN, list reason A, B or C. If reason B applies, provide an explanation

Reason A: The country of tax residency does not issue TINs to tax residents

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

## 17. VERIFICATION OF IDENTITY

Please select your preferred method to verify your identity:

### Account Number

I am an existing client of Tandem Capital

I will provide a certified copy of a current Australian Driver's Licence or Passport (Australian or Foreign) containing my signature and photograph. Please refer to Appendix A: Certification and Copy Requirements

## 18. DIRECTOR 2 / GUARANTOR 2

Title	Given Name	Middle Name
Surname		Date of Birth (dd/mm/yyyy) / / /
Nationality		Country of Birth
Occupation		Employer
Residential Address		
Postal Address (if different from above)		
Mobile Phone ( )	Phone (Optional) ( )	Email Address

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## 19. TAX INFORMATION – DIRECTOR 2 / GUARANTOR 2

Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship. A person can be a tax resident in more than one country and does not need to pay tax to be a tax resident. For further information on tax residency rules by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>.

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### 19.1 Are you a tax resident of Australia?

Yes                    No (please proceed to 19.3)

Tax File Number / Exemption Code (Optional)

### 19.2 Are you a tax resident of another country?

Yes                    No (please proceed to section 20)

### 19.3 If you are a tax resident of a country other than Australia, please provide your country of tax residence and your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN. For further information on TINs by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>.

Country	TIN	If no TIN, list reason A, B or C. If reason B applies, provide an explanation

Reason A: The country of tax residency does not issue TINs to tax residents

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

## 20. VERIFICATION OF IDENTITY

Please select your preferred method to verify your identity:

### Account Number

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## 21. COMPANY GUARANTOR OR CORPORATE TRUSTEE GUARANTOR

<b>Company or Corporate Trustee Name</b>	
<b>Full Address of Company's Registered Office in Australia</b>	
<b>Full Address of Company's Principal Place of Business</b>	
<b>Postal Address (if different from above)</b>	
<b>ACN</b>	<b>ABN (Optional)</b>
<b>Principal business activity</b>	
<b>Phone</b> ( )	<b>Email Address</b>

## 22. TAX INFORMATION – COMPANY GUARANTOR OR CORPORATE TRUSTEE GUARANTOR

By law you are not required to provide the company Tax File Number (TFN). However, if the company is a tax resident of Australia and you do not provide the TFN or Australian Business Number (ABN), withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions. Please refer to Appendix B for further details on FATCA/CRS terms used in this section.

### 22.1 Is the company a tax resident of Australia?

Yes      No (please complete Appendix B: Section 1. Foreign Tax Residency)

### 22.2 Company Tax File Number

Company Tax File Number / Exception Code (Optional)

### 22.3 Is the company a tax resident of a country other than Australia?

Yes (please complete Appendix B: Section 1. Foreign Tax Residency)      No

### 22.4 Is the company a Passive NFE (Non-Financial Entity)?

Yes      No (please complete Appendix B: Section 2. Entity Classifications)

### 22.5 If the company is a Passive NFE, are any of the Controlling Persons of the company a tax resident of any country other than Australia?

Yes (please complete Appendix B: Section 3. Controlling Persons)      No

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## 23. TRUST DETAILS (This section is required for trustee applicants)

Full Name of Trust	
Account Designation (Optional) e.g. <Susan Brown Family A/C>	
Full Address of Trust	
Full Name of the Settlor of the Trust (Required if the Settlor contributed more than \$10,000 when the Trust was established)	
Principal business activity	ABN (Optional)

## 24. TAX INFORMATION - TRUST DETAILS (this section is required for trustee applicants)

By law you are not required to provide the company Tax File Number (TFN). However, if the trust is a tax resident of Australia and you do not provide the TFN or Australian Business Number (ABN), withholding tax may be deducted in the circumstances described in our Tandem Margin Lending Terms and Conditions. Please refer to Appendix B for further details on FATCA/CRS terms used in this section.

### 24.1 Is the trust a tax resident of Australia?

Yes                    No (please complete Appendix B: Section 1. Foreign Tax Residency)

### 24.2 Trust Tax File Number

Tax File Number for the Trust / Exception Code (Optional)

### 24.3 Is the trust a tax resident of a country other than Australia?

Yes (please complete Appendix B: Section 1. Foreign Tax Residency)                    No

### 24.4 Is the trust a Passive NFE (Non-Financial Entity)?

Yes                    No (please complete Appendix B: Section 2. Entity Classifications)

### 24.5 If the trust is a Passive NFE, are any of the Controlling Persons of the trust a tax resident of any country other than Australia?

Yes (please complete Appendix B: Section 3. Controlling Persons)                    No

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## D. FINANCIAL INFORMATION

### 25. CREDIT LIMIT

*Credit Limit Requested*

\$

Details of the security you will contribute for your *portfolio*:

Cash

\$

Shares and Managed Funds\*

\$

\* If you would like to refinance an existing margin loan or transfer in broker or issuer sponsored holdings, please complete the form in Appendix C: Refinance and Transfer In Holdings Request.

#### Individual/Joint Individual 1/Company/Trust:

Source of Contribution (e.g. employment income / financial investments / inheritance)

#### Joint Individual 2:

Source of Contribution (e.g. employment income / financial investments / inheritance)

Do you have an existing loan that was used to fund any of this security?

Yes

No

Was the loan secured against your home?

Yes

No

## 26. FINANCIAL INFORMATION

### A. INDIVIDUAL INVESTOR INFORMATION

All applicants are a Sophisticated Investor or Wholesale Client and will provide a copy of a certificate issued by a qualified accountant or

All applicants have completed the Statement of Financial Position on **Section 26 B**, and will provide supporting documents for verification of income.

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## B. STATEMENT OF FINANCIAL POSITION

This section is required to be completed based on your response in Section 26 A.

<b>GROSS ANNUAL INCOME DETAILS</b>	<b>APPLICANT 1</b>	<b>APPLICANT 2</b>	<b>COMBINED</b>
Base Salary/Income			
Other Income (bonuses, overtime etc.)			
Investment Income			
<b>TOTAL</b>			
Number of Dependents			

  

<b>MONTHLY FINANCIAL COMMITMENTS</b>	<b>APPLICANT 1</b>	<b>APPLICANT 2</b>	<b>COMBINED</b>
Home Loan Repayments/Rent			
Investment Loan Repayments			
Other Financial Commitments			
Living and other Expenses			
<b>TOTAL</b>			

  

<b>ASSETS</b>	<b>APPLICANT 1</b>	<b>APPLICANT 2</b>	<b>COMBINED</b>
Value of Home			
Other Real Estate Owned			
Other Investment Assets (excluding Superannuation)			
Cash			
<b>TOTAL</b>			

  

<b>LIABILITIES</b>	<b>APPLICANT 1</b>	<b>APPLICANT 2</b>	<b>COMBINED</b>
Loan against Home			
Other Real Estate Loans			
Other Investment Loans			
Other Loans			
Credit Card Debt			
<b>TOTAL</b>			

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## E. EXECUTION

### 27. EXECUTION BY THE BORROWER(S)

By signing this *application form*, each person named below:

- (a) acknowledges that they have read and understood the *terms* of the margin loan;
- (b) agrees, if the *borrower's* application is successful, to be bound by the *terms* of the margin loan that apply from time to time;
- (c) acknowledges that the *terms* of the margin loan that apply at any time will be available on the *lender's* website or on request from the *lender*;
- (d) acknowledges that, under the *terms* of the margin loan, they will give a *guarantee* and grant a *security interest* to the *lender*;
- (e) acknowledges that they have read and understood disclosures as set out in section A of this *application form* and provides their consent to the use of personal information and the collection and use of credit reporting information;
- (f) acknowledges that all information they have provided is correct, and the *lender* can rely on it until the *borrower* provides written notice of any changes to that information;
- (g) acknowledges that they will notify us of changes to any information within 30 days of the change occurring; and
- (h) provides consent to disclose information required under all laws, regulations and requirements in force from time to time in Australia and in any jurisdiction worldwide covering FATCA and CRS.

\* EACH INDIVIDUAL BORROWER MUST HAVE THEIR SIGNATURE WITNESSED BY AN ADULT WHO IS NOT A RELATIVE OR A RELATED PARTY TO A BORROWER OR A GUARANTOR.

#### EXECUTION BY INDIVIDUAL BORROWER(S):

Signed and delivered by:

Execution Date

BORROWER 1

<b>Name of Borrower</b>	<b>Signature</b>
<b>Name of Witness*</b>	<b>Signature</b>

Signed and delivered by:

Execution Date

BORROWER 2

<b>Name of Borrower</b>	<b>Signature</b>
<b>Name of Witness*</b>	<b>Signature</b>

#### EXECUTION BY CORPORATE BORROWER(S):

(If signing as Sole Director/Sole Secretary tick here)

Execution Date

<b>Name of Company</b>	
<b>Name of Director</b>	<b>Signature</b>
<b>Name of Director/Secretary</b>	<b>Signature</b>

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## 28. EXECUTION BY THE GUARANTOR(S)

By signing this *application form*, each person named below:

- a) acknowledges that it has read and understood the *terms* of the margin loan;
- b) agrees, if the *borrower's* application is successful, to be bound by the *terms* of the margin loan that apply from time to time;
- c) acknowledges that the *terms* of the margin loan that apply at any time will be available on the *lender's website* or on request from the *lender*;
- d) acknowledges that, under the *terms* of the margin loan, it will give a *guarantee* and grant a *security interest* to the *lender*;
- e) acknowledges that you have read and understood disclosures as set out in section A of this *application form* and provide consent to the use of personal information and the collection and use of credit reporting information;
- f) acknowledges that the information they have provided is correct, and the *lender* can rely on it until the *guarantor* provides written notice of any changes to that information;
- g) acknowledges that you will notify us of changes to any information within 30 days of the change occurring; and
- h) provides consent to disclose information required under all laws, regulations and requirements in force from time to time in Australia and in any jurisdiction worldwide covering FATCA and CRS.

\* EACH GUARANTOR MUST HAVE THEIR SIGNATURE WITNESSED BY AN ADULT WHO IS NOT A RELATIVE OR A RELATED PARTY TO A BORROWER OR A GUARANTOR.

### EXECUTION BY INDIVIDUAL GUARANTOR(S):

Signed and delivered by:

Execution Date

GUARANTOR 1

Name of <i>Guarantor</i>	Signature
Name of <i>Witness*</i>	Signature

Signed and delivered by:

Execution Date

GUARANTOR 2

Name of <i>Guarantor</i>	Signature
Name of <i>Witness*</i>	Signature

### EXECUTION BY CORPORATE GUARANTOR(S):

(If signing as Sole Director/Sole Secretary tick here)

Execution Date

Name of Company

Name of Director	Signature
Name of Director/Secretary	Signature

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## Appendix A: Identity certification requirements

### IDENTITY VERIFICATION DOCUMENT REQUIREMENTS

#### Option A

- Australian Passport
- Foreign Passport
- Australian Driver's Licence

#### Option B

- Australian or foreign birth certificate or,
- Australian or foreign citizenship certificate,

**AND**

- One recent (i.e. current) Commonwealth, State, or Territory financial benefit letter or,
- Tax office advice letter (less than 12 months old) or,
- Municipal or utilities bill or,
- Letter of advice (less than 3 months old) containing the individuals name and residential address (to verify residential address).

**AND**

- Document containing signature
- For overseas clients, proof of residential address

**OR**

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## List of persons who can certify that a photocopy or scanned copy is a true copy of the original document:

<b>LEGAL</b>	<ul style="list-style-type: none"><li>■ A solicitor or barrister (that is, a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)</li><li>■ A Judge of a Court</li><li>■ A Magistrate</li><li>■ A Chief Executive Officer of a Commonwealth Court</li><li>■ A Registrar or Deputy Registrar of a Court</li><li>■ A Notary Public (for the purposes of the Statutory Declaration Regulations 1993)</li></ul>
<b>JP</b>	<ul style="list-style-type: none"><li>■ A Justice of the Peace</li></ul>
<b>POLICE</b>	<ul style="list-style-type: none"><li>■ A Police Officer</li></ul>
<b>ACCOUNTANT</b>	<ul style="list-style-type: none"><li>■ A member of the Institute of Chartered Accountants in Australia, Certified Practicing Accountants of Australia or the National Institute of Accountants with two (2) or more years of continuous membership.</li></ul>
<b>POST OFFICE</b>	<ul style="list-style-type: none"><li>■ An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li><li>■ A permanent employee of the Australian Postal Corporation with two (2) or more years of continuous service who is Employed in an office supplying postal services to the public</li></ul>
<b>DIPLOMATIC SERVICE</b>	<ul style="list-style-type: none"><li>■ An Australian Consular Officer (Consul-General; Consul; Vice-Consul; Trade Representative or Consular Agent)</li><li>■ An Australian Diplomatic Officer (Ambassador; High Commissioner; Minister; Head of a Mission; Commissioner; Charge d'affaires; or Counsellor; Secretary or Attaché at an Embassy, High Commissioner's office, Legation or other post) within the meaning of the Consular Fees Act 1955.</li></ul>
<b>FINANCIAL CORPORATIONS (BANK, BUILDING SOCIETY, CREDIT UNION AND AFSL HOLDERS)</b>	<ul style="list-style-type: none"><li>■ An Officer with two (2) or more continuous years of service with one or more Financial Institutions (for the purposes of the Statutory Declaration Regulations 1993)</li><li>■ A Finance Company Officer with two (2) or more continuous years of service with one or more Finance Companies (for the purposes of the Statutory Declaration Regulations 1993)</li><li>■ An Officer with, or Authorised Representative of; or a holder of an Australian Financial Services License, having two (2) or more continuous years' service with one or more Licensees.</li></ul>

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## How should the document(s) photocopy be certified:

DOCUMENT TYPE	EXAMPLE TEXT
Documents that contain a photograph of the signatory	<i>I certify that I have seen the original documentation and that the photograph is a true likeness, and this copy is a complete and accurate copy of that original</i>
Documents that contain no photograph of signatory	<i>I certify that I have seen the original documentation and that this copy is a complete and accurate copy of that original</i>

## DETAILS TO BE INCLUDED OF THE AUTHORISED CERTIFIER (Authorised certifiers cannot certify their own identity documents)

- Title and Full Name
- Signature
- Business Address (PO box is not acceptable)
- Capacity to certify
- Contact Number
- Certification Date

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## Appendix B: FATCA/CRS

**Entity (Company or Trust) Name:**

As part of our Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) obligations we will need to collect the information outlined below.

**SECTION 1: FOREIGN TAX RESIDENCY**

As you have indicated in the application that the entity is a tax resident of a country other than Australia, please provide their country of tax residence and Tax Identification Number (TIN) or equivalent below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or an Employer Identification Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN. For further information on TINs by country see <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Country	TIN	If no TIN, List reason A, B or C. If reason B applies, provide an explanation

Reason A The country of tax residency does not issue TINs to tax residents

Reason B The entity has not been issued with a TIN

Reason C The country of tax residency does not require the TIN to be disclosed

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## SECTION 2: ENTITY CLASSIFICATION

**Financial institution** means a Custodial Institution, Depository Institution, an Investment Entity, or a Specified Insurance Company. A financial institution may be non-reporting or deemed compliant (e.g. a trustee-documented trust, sponsored investment entity), as defined for FATCA and CRS. Further information for Australian entities is available here: <https://www.ato.gov.au/about-ato/international-tax-agreements/in-detail/international-arrangements/automatic-exchange-of-information-crs-and-fatca/2-financial-institutions>.

**NFE** is any entity that is not a financial institution.

**Active NFE** is an entity that is not a financial entity and meets one of the criteria below. A financial entity includes an entity that: (a) carries on a business of investing in or managing financial assets on behalf of other persons; or (b) another entity that is a financial entity managing all or part of the assets of the investment entity.

- Less than 50% of the entity's gross income for the preceding year or other appropriate reporting period is passive income (e.g. interest, dividends, rent, royalties, annuities, gains from financial assets) and less than 50% of the assets held by the entity during the preceding year or other appropriate reporting period are assets that produce or are held for the production of passive income
- A publicly listed non-financial entity whose shares/units are regularly traded on an established securities market or its subsidiaries
- A Governmental Entity, International Organisation, Central Bank, or an entity wholly-owned by one of these
- An entity where substantially all of the activities of the entity consist of holding the shares of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than financial/investment activities, but excluding entities that acquire or fund non-financial entities for investment purposes
- Established in the last 24 months, not yet operating a business and has no prior operating history (a start-up NFE) but is investing capital into assets with the intent to operate a business other than a financial/investment business
- Not a financial/investment entity in the last 5 years and is in the process of liquidating or reorganising to carry on a business other than a financial/investment business
- Treasury centre that is a member of a non-financial/investment group
- A tax-exempt, not-for-profit entity operating exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; a professional organisation, business league, chamber of commerce, labour organisation; or an organisation operated exclusively for the promotion of social welfare

**Passive NFE** means an entity that is not a financial entity (including not an entity that carries on an investment business (or is managed by another entity that is a financial entity or investment entity)) and does not satisfy any of the criteria above to be an Active NFE. An Investment Entity that is tax resident in a jurisdiction that is not a signatory to the OECD Common Reporting Standard is also treated as a Passive NFE (e.g. an investment entity located in the US). For example, an entity is a passive entity if during the last year the entity earned 50% or more of its total income from passive investment activities (e.g. dividends, interest or rent) or 50% or more of its assets produce or are held for producing passive investment income.

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If you have indicated on the application that you are not a passive NFE, please confirm the entity classification below:

## Financial Institution

Provide the entity's Global Intermediary Identification Number (GIIN)

### GIIN

If the entity is a Financial Institution but does not have a GIIN, please specify its FATCA Status:

Self-managed superannuation fund or small APRA fund

Trustee-documented Trust or Sponsored Investment Entity. Please provide the Trustee/Sponsor name and GIIN.

### Trustee/Sponsor Name

### Trustee/Sponsor GIIN

US Financial Institution

Other (e.g. Non-Reporting FI/Deemed Compliant FFI other than a Trustee Documented Trust or Sponsored Investment Entity) – please specify:

Is the entity an Investment Entity that is a resident in a Non-Participating Jurisdiction for CRS purposes and managed by another Financial Institution?

Yes: please provide details of the controlling persons in Section 3 below

No – Other Investment Entity

## Active NFE

- Less than 50% of the entity's gross income from the preceding calendar year is passive income and less than 50% of its assets during the preceding calendar year are assets held for the production of passive income.
- Corporation whose stock is regularly traded on an approved stock exchange or a related entity of a regularly traded corporation.

Name of listed entity and name of exchange:

### Listed entity/Exchange name

- Governmental Entity, International Organisation or Central Bank
- Australian Registered Charity
- Other:

### Please specify:

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## SECTION 3: CONTROLLING PERSONS

Controlling Person depends on the type of entity:

- For a company, Controlling Persons include any natural person that holds directly or indirectly (tracing through interposed entities) 25% or more of the shares or voting rights of the entity as a beneficial owner. If no such person exists, then it is any natural person(s) that otherwise exercise control over the management of the entity (for example, the senior managing official of the company, such as a director, chief executive, etc.).
- For a trust, the term Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), appointor(s), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust. The settlor(s) and all beneficiaries of the trust are always Controlling Persons. A corporate trustee needs to be traced through to its Controlling Persons.

Please complete the below table if the entity is either:

- An Investment Entity that is resident in a Non-Participating Jurisdiction for CRS purposes (and managed by another Financial Institution); or
- A Passive NFE.

If a TIN for a controlling person is not provided, please provide a reason from the following options:

Reason A The country of tax residency does not issue TINs to tax residents

Reason B The individual has not been issued with a TIN

Reason C The country of tax residency does not require the TIN to be disclosed

### CONTROLLING PERSONS 1

Same as Individual Borrower 1

Same as Director 1 / Guarantor 1

Full Name	Date of Birth (dd/mm/yyyy)
Residential Address	
Country of Tax Residence	
TIN or equivalent	
Reason A, B or C if no TIN provided. If reason B applies, provide an explanation	

### CONTROLLING PERSONS 2

Same as Individual Borrower 2

Same as Director 2 / Guarantor 2

Full Name	Date of Birth (dd/mm/yyyy)
Residential Address	
Country of Tax Residence	
TIN or equivalent	
Reason A, B or C if no TIN provided. If reason B applies, provide an explanation	

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## CONTROLLING PERSONS 3

Full Name	Date of Birth (dd/mm/yyyy)
Residential Address	
Country of Tax Residence	
TIN or equivalent	
Reason A, B or C if no TIN provided. If reason B applies, provide an explanation	

### Certification

I/We declare that the information I/We have provided on this form is to the best of my/our knowledge and belief, correct and complete.

I/We declare to provide an updated Form within 30 days of any change in circumstances that causes the information contained herein to become incorrect.

I/We are authorised by law to sign on behalf of the entity.

I/We provide consent to disclose information required under all laws, regulations and requirements in force from time to time in Australia and in any jurisdiction worldwide covering FATCA and CRS.

Name	Authorised Signature
Date (dd/mm/yyyy)	
Name	Authorised Signature
Date (dd/mm/yyyy)	

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## Appendix C: Refinance and transfer in holdings request

### 1. FACILITY NAME

Tandem Margin Lending Facility Name

### 2. REFINANCE

I/We authorise Tandem Capital to refinance my/our existing margin loan from the lender shown below:

Existing Margin Lender	Existing Account Number (if known)
Existing Facility Name	HIN (if known)

Please tick one of the following options.

- A** Please transfer my HIN and ALL my sponsored holdings. This will retain my existing Tax File Number and dividend payment instructions. Please proceed to section 4.
- B** Please transfer PART of my sponsored holdings as indicated below. This may require me to re-nominate my dividend payment instructions as well as re-submit my Tax File Number. Please proceed to section 3.

### 3. TRANSFER IN HOLDINGS

Please tick one of the following options. For broker sponsored holding transfers, please also provide the broker details.

- A** Please transfer my HIN and ALL my sponsored holdings. This will retain my existing Tax File Number and dividend payment instructions. Please proceed to section 4.
- B** Please transfer PART of my sponsored holdings as indicated below. This may require me to re-nominate my dividend payment instructions as well as re-submit my Tax File Number. Please proceed to section 3.

Other Broker's Name	Broker PID (if known)
Broker Sponsored HIN	

- C** Please transfer in my Issuer Sponsored Holdings. Please proceed to section 3.

## **TANDEM MARGIN LENDING APPLICATION FORM**

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[www.tandemcapital.com.au](http://www.tandemcapital.com.au)

#### **4. HOLDINGS TRANSFER LIST**

## 5. AUTHORISATION

Name	Authorised Signature
Date (dd/mm/yyyy)	
Name	Authorised Signature
Date (dd/mm/yyyy)	

**Tandem Capital**

Level 29, 101 Collins Street  
Melbourne VIC 3001, Australia

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