

# Westpac Self-Funding Instalments Application Form



Application Number  
(Adviser and office use only)

## Before completing this Application Form

Please carefully read the Product Disclosure Statement for Westpac SFIs (**PDS**) dated 1 July 2013 issued by Westpac Banking Corporation (ABN 33 007 457 141) (AFSL 233714) and the relevant Supplementary Product Disclosure Statement (**SPDS**) and the Westpac Instalment Warrants Financial Services Guide (**FSG**). By completing this Application Form you declare that you have read the PDS and relevant SPDS.

Please also review the list of required supporting documents you may need to provide when you submit your Application. In order for an Application to be accepted, you need to ensure that you submit this information with your Application.

It is important to ensure that your Application Form is completed correctly. Any errors or missing information will result in delays in the processing time. We also request that you use block letters to reduce the chances of errors being made when processing your Application.

We have set out a checklist in Section 12 (How to Apply), to help you complete your Application. Please call us on 1800 990 107 if you have any questions. We will be happy to help.

Please send the completed Application Form and any supporting documentation to:

Westpac Structured Investments  
Reply Paid 3297  
Sydney NSW 2001

Your Application Form should:

- have been provided to you with the PDS for Westpac SFIs, and not separately;
- be completed and stamped in Section A by your stock broker or investment adviser (if applicable); and
- be returned with the necessary supporting documents, as listed in the checklist.

Words used in this Application Form that are defined in the PDS have the meaning given in the PDS, unless the context otherwise requires. If you require a copy of the PDS, please call us on 1800 990 107 or visit [www.westpac.com.au/structuredinvestments](http://www.westpac.com.au/structuredinvestments).

## A Adviser details (if applicable)

Adviser Name

Planner Code (if applicable)

Dealer Group

AFSL Number (mandatory)

Company Name

Street

Suburb

State

Postcode

Country

Work Phone

Mobile Phone

Fax

Email Address

## Adviser Undertaking

I confirm that:

1. I hold or I am an authorised representative of an entity that holds a current Australian Financial Services Licence and no application has been made or is pending to vary, amend or remove this licence;
2. I have or I am an authorised representative of an entity that has entered into a distribution agreement with Westpac Banking Corporation (ABN 33 007 457 141, AFSL 233714);
3. I hold or I am an authorised representative of an entity that holds all appropriate licences and authorities and I am accredited to sell the financial product described in Westpac SFI PDS;
4. I have not held myself out to any investor(s) disclosed in this Application Form, unless I am entitled to do so by law, as being a representative of Westpac Banking Corporation or any member of Westpac Group;
5. I have not misled, or misrepresented the arrangements to the investor(s) disclosed in this Application Form and I have acted honestly, responsibly and lawfully in providing financial products and services described in and associated with the investments referred to in this Application Form; and
6. I have, on behalf of Westpac Banking Corporation (ABN 33 007 457 141, AFSL 233714), provided the investor(s) with the PDS and any SPDS in relation to Westpac SFIs.
7. I agreed the Adviser Service Fee specified on page 3 of this Application Form with the Applicant and advised the Applicant that the Applicant is authorising me to receive the Adviser Service Fee, before the Applicant signed this Application Form. I will advise Westpac in writing immediately if I am no longer entitled to receive any Adviser Service Fee for any reason.
8. The payment of any Adviser Service Fee to me will not at any time breach any law.
9. I consent to the payment of the Adviser Service Fee in accordance with the Adviser Service Fee Form below. I acknowledge that Westpac is only obliged to pay to me an Adviser Service Fee (i) if it accepts the Applicant's application to use the Adviser Service Fee Facility; and (ii) to the extent the Adviser Service Fee is funded from a Securityholder Cash Back amount, a Rollover Cash Back amount, the proceeds of Existing Westpac SFIs or from a payment received from the Applicant.

Adviser Signature

Adviser Stamp

Print Name

Date

 /  / 

## Adviser Service Fee Form

Terms defined in the Glossary in section 9 of the PDS have the same meanings in this Adviser Service Fee Form.

By completing and signing this Adviser Service Fee Form:

1. I/we confirm that I/we wish to use the Adviser Service Fee Facility to pay to my/our adviser specified on page 2 of this Application Form (Adviser) an Adviser Service Fee in the amount of:

\$  (complete amount in dollars)

or  % of the First Payment for each Series of Westpac SFIs I/we apply for (**Cash Applications only**)

or  % of the value of the Underlying Security for each Westpac SFI I/we apply for as at the time the Application is Accepted minus the Loan Amount plus the Initial Interest Amount per Westpac SFI at that time (**Securityholder Applications and Rollover Applications**)

(complete one only)

2. For a Cash Application, I/we undertake to pay the Adviser Service Fee amount to Westpac with the First Payment.
3. For a Securityholder Application, I/we direct Westpac to pay the Adviser Service Fee to the Adviser out of my/our Securityholder Cash Back.
4. For a Rollover Application:
  - (a) in respect of which I am/we are entitled to receive a Rollover Cash Back that is sufficient to cover the Adviser Service Fee, I/we direct Westpac to pay the Adviser Service Fee to the Adviser out of my/our Rollover Cash Back;
  - (b) in respect of which I am/we are entitled to receive a Rollover Cash Back, but the Rollover Cash Back is not sufficient to cover the Adviser Service Fee, I/we direct Westpac to apply the Rollover Cash Back towards part payment of the Adviser Service Fee and I/we:
    - undertake to pay the shortfall to Westpac on demand; or
    - direct Westpac to sell down Existing Westpac SFIs to satisfy the shortfall.

(Check one box only. If you do not check a box, you will be deemed to direct Westpac to sell down Existing Westpac SFIs to satisfy the shortfall)

- (c) in respect of which I am/we are required to make a Rollover Payment, I/we:
  - undertake to pay the Adviser Service Fee to Westpac with the Rollover Payment; or
  - direct Westpac to sell down Existing Westpac SFIs to satisfy the Adviser Service Fee.

(Check one box only. If you do not check a box, you will be deemed to direct Westpac to sell down Existing Westpac SFIs to satisfy the Adviser Service Fee payment)

5. I/we direct Westpac, as my/our agent, to pay to the Adviser the Adviser Service Fee amount.
6. I/we confirm that I/we agreed the Adviser Service Fee with the Adviser before signing this Application Form.
7. I/we confirm that:
  - (a) the Adviser Service Fee relates to the issue or sale of a financial product by the Adviser to me/us, or financial product advice given by the Adviser to me/us; and
  - (b) the payment of the Adviser Service Fee to the Adviser will not at any time breach any law.
8. I/we acknowledge and agree that Westpac will only make an Adviser Service Fee payment if Westpac accepts my/our application to use the Adviser Service Fee Facility and to the extent that:
  - (a) in relation to a Cash Application, I/we have paid the Adviser Service Fee to Westpac along with my/our First Payment;
  - (b) in relation to a Securityholder Application, the Securityholder Cash Back is greater than or equal to the Adviser Service Fee amount;
  - (c) in relation to a Rollover Application in respect of which I am/we are required to make a Rollover Payment, I/we have paid the Adviser Service Fee to Westpac along with my/our Rollover Payment, or I/we have directed Westpac to sell down Existing Westpac SFIs to satisfy the Rollover Payment and the Adviser Service Fee and the sale proceeds are sufficient to cover both of those amounts; and
  - (d) in relation to a Rollover Application in respect of which I am/we are entitled to receive a Rollover Cash Back, the Rollover Cash Back is sufficient to cover the Adviser Service Fee or I/we have directed Westpac to sell down Existing Westpac SFIs to cover the shortfall and the proceeds received are sufficient.

Signature of Holder 1/Director 1/Individual Trustee 1

Print Name

  


Date

 /  / 

Signature of Holder 2/Director 2/Individual Trustee 2

Print Name

  


Date

 /  / 

## B Type of Application

Please tick (✓) which type of application you are using (please tick (✓) only one box):

Cash  Securityholder\*  Rollover

\* Please note that Westpac will not accept these Applications from trustees of superannuation funds.

## C Applicant details

Entity Type

Individual(s)  Sole Trader  Company  Trust – Individual as Trustee  Trust – Company as Trustee

### C1-1 Applicant 1/Director 1/Individual Trustee 1/Sole Trader Applicant

Title  Mr  Mrs  Ms  Miss  Dr Other (specify)

Surname

Full Given Name(s)

Other names known by (if any)

Date of Birth

 /  / 

Occupation

Employment Status

Full Time  Part Time  Temporary  Self Employed  Other (specify)

Tax File Number or Exemption Number and reason for exemption

If you do not provide a TFN, Westpac may have to sell down your Westpac SFIs to pay withholding tax on dividends and distributions paid by the Listed Entity. As such, it is highly recommended that your TFN is correctly quoted.