



# Westpac Margin Lending Separately Managed Accounts (SMA) – Holding Lock and/or Exemption Form

Use this form to place a holding lock (keep a specified number of units of an individual security in your Praemium SMA account and exclude them from rebalancing) and/or exempt a specified security from being purchased in the investment.

**Note:** You can only hold or exempt up to 5 securities in your SMA portfolio at any time.

**Reporting Tracking error:** When you place a Holding Lock and/or an Exemption on any stock in your SMA account, the performance of your SMA portfolio may be affected, and not track the performance of the benchmark Index as closely.

## Questions?

If you need help completing this form, please call us on 1800 816 222.  
Phone lines are available Mon – Fri from 8.30am – 5.30pm (Sydney time).

## 1. Borrower's details

Borrower's name(s)

Borrower's Client Code

Praemium SMA account number

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## 2. Apply a security holding lock

Specify the security and number of units you want to lock. This will prevent those units from being sold in the rebalancing of your SMA portfolio.

**Note:** You can also add an exemption on the security to prevent any further purchase of the security (complete section 3).

### 1. Security holding lock.

Security code

Security name

No. of shares to hold

Exempt this stock from further purchasing?

No  Yes (please complete section 3)

### 2. Security holding lock.

Security code

Security name

No. of shares to hold

Exempt this stock from further purchasing?

No  Yes (please complete section 3)

### 3. Security holding lock.

Security code

Security name

No. of shares to hold

Exempt this stock from further purchasing?

No  Yes (please complete section 3)



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### 3. Apply a security exemption

Specify the security details you want excluded from your SMA account.

**Note: If you do not apply a holding lock at the same time as the exemption, any units you currently hold in this stock will be sold.**

#### 1. Security exemption.

Security code

Security name

Hold this stock at specified levels?

No  Yes (please complete section 2)

#### 2. Security exemption.

Security code

Security name

Hold this stock at specified levels?

No  Yes (please complete section 2)

#### 3. Security exemption.

Security code

Security name

Hold this stock at specified levels?

No  Yes (please complete section 2)

### 4. Signing section

The borrower(s) is/are required to sign this form.

For Company or Company Trustee, or Borrowers, either two Directors, or one Director and the Secretary or the Sole Director and Secretary must sign. Please indicate your company capacity by marking the appropriate box below your signature.

By signing this form you authorise Westpac Margin Lending to facilitate the above matters and instruct the responsible entity for the SMA as necessary.

Signature of **Borrower**

Date

Signatory's full name (please print)

Director  Sole Director/Sole Secretary



#### 4. Signing section (continued)

Signature of **Additional Borrower**

X

Date

/ /

Signatory's full name *(please print)*

Director     Company Secretary

**You can submit this form by:**

🏠 Westpac Margin Lending  
GPO Box 3917, Sydney NSW 2001

✉️ [mltransact@westpac.com.au](mailto:mltransact@westpac.com.au)

