

STOCKBROKING INDIVIDUAL/JOINT ACCOUNT application form

Please only use this form when you wish to open a trading account:

- in your name, or
- in joint names

In order to process your application we will need:

- your completed application form
- a certified copy of your identification for each account holder (as specified over the page) or your Driver's Licence Number to conduct an identification check.

Thank you for choosing CMC Markets Stockbroking.

If you require assistance when completing this form, please contact our Broker Services team on 1300 557 561.

Please email your completed and signed form to forms@cmcmarkets.com.au

Introducing Adviser Use Only

Brokerage Schedule:

Adviser Code:

Broker Services

GPO Box 5351
Sydney NSW 2001

1300 557 561
forms@cmcmarkets.com.au

Identification

Electronic verification check

We are required to verify your identity. We may be able to verify your identity by conducting an electronic verification check. If you **do not** wish us to conduct an electronic verification check, please refer to the non-electronic verification requirements below.

Providing your driver's licence number will help us to conduct your electronic verification check. We will not use your driver's licence number for any other purpose than to conduct your electronic verification check.

Non-electronic verification check

If we notify you that your electronic verification check was unsuccessful, or you do not wish us to conduct an electronic verification check, you'll need to provide us with certified copies of **original identification verifying your full name, your current residential address and your date of birth**. In either case, all the documents you'll need to provide are listed below.

Your application must be accompanied by a certified (true) copy of **EITHER** one document from Section A, **OR** one document from Section B and one from Section C, **for each applicant**.

The original certified copy of your ID must be returned by post. The signature of the certifier must be the original signature. We cannot accept faxes or scanned copies.

Section A (provide ONE of the following)

- driver's licence (front and back) – MUST be current
- Australian passport – current or expired within the past TWO years
- overseas passport – MUST be current and show the signature page

Example: Driver's Licence (front and back)



OR

Section B (provide ONE of the following)

- current Medicare card
- birth certificate or birth extract issued by a State or Territory
- citizenship certificate issued by the Commonwealth
- pension card issued by Centrelink (front and back)

and

Section C (provide ONE of the following)

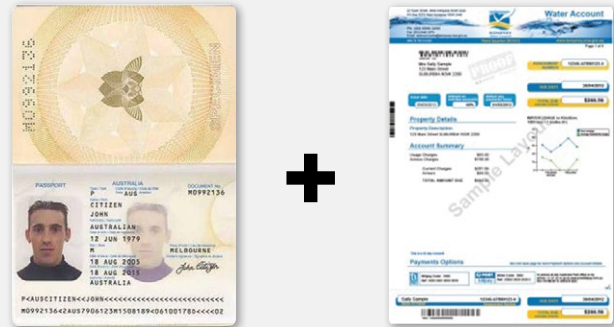
A recent utility bill or council rate notice – issued within the last three months – showing your name and residential address. This can include one of the following:

- a financial statement (savings, credit, mortgage) issued by an Approved Deposit-taking Institution (ADI) in Australia.

Please note that an electronic statement issued by any institution (including ADIs) may be accepted at CMC Markets' discretion

- gas, electricity, water, home phone, internet (dial-up, broadband), mobile phone bill, Foxtel bill
- a council rates notice
- a notice or assessment issued by the RTA or a government body
- a lease agreement, contract for sale of a property or rental bond lodgement document
- home and/or contents insurance policy statement

Example: Australian Passport and Water Bill



Certifying your documents

In order for your certification to be accepted, it must be **signed and dated (within the last three months)** and the certifier is to state that the document is a certified copy of an original. They must provide their **name, address, phone number**, and in **what category of certifier they fall**. For copies of your documents to be considered certified, they must be signed by any one of the following:

1. 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)
2. a judge of a court
3. a magistrate
4. a registrar or deputy registrar of a court
5. a Justice of the Peace
6. a police officer
7. a permanent employee of the Australian Postal Corporation with two or more years of continuous service
8. a finance company officer with two or more continuous years of service with one or more finance companies
9. a member of the Institute of Chartered Accountants Australia and New Zealand, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.



For a full list of acceptable certifiers refer to: www.comlaw.gov.au/Details/F2007L01000 (Section 1.2.1)

If you need help to meet these ID requirements, call our Broker Services Team on **1300 557 561**.

Section A – Individual Applicant / Joint Applicant 1

Mr Mrs Miss Ms Dr Other (please specify) _____

Surname _____ Given Name(s) _____

Also known as _____

Residential Address

(PO Box, GPO Box, C/O, RMB, PMB and Locked Bag is **not** allowed)

Suburb/Town _____ State _____ Postcode _____

Postal Address

Same as above

Suburb/Town _____ State _____ Postcode _____

Contact Numbers Mobile (recommended) _____ Home _____

Work _____ Fax _____

Email _____

To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.

If this account has multiple applicants, trade confirmations will be sent to the postal address of the first applicant.

Gender Male Female

Date of Birth ____ / ____ / ____ Place of Birth _____

Driver's licence/
Passport number _____

Occupation _____

Tax File Number -- OR Exemption Code _____

The collection of your Tax File Number is authorised by Australian privacy and taxation laws. Declining to provide your tax file number is not an offence however any applicable taxation will be charged at the highest rate.

We require some information about your citizenship and tax residency to comply with international tax regulations.

Are you a citizen of the United States of America? Yes No

If the answer above is 'Yes' please supply the relevant Tax Identification Number _____

Are you an Australian citizen? Yes No

Are you a tax resident or citizen anywhere other than Australia or the US? Yes No

If you answered 'Yes', please complete the below table for each country you are a tax resident and/or citizen for:

Country	Citizen	Tax resident	Primary tax residency (select one)	Tax Identification Number (TIN)
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

Individual Applicants only:

Are you a sole trader? Yes No

If 'Yes' please provide the following: ABN _____

Full Business Name (if any) _____

Principal place of business (if any) _____

If this is a **Joint Account** proceed to **Section B** >
If this is an **Individual Account** proceed to **Section C** >

Section B – Joint Applicant 2

Mr Mrs Miss Ms Dr Other (please specify) _____

Surname _____ Given Name(s) _____

Also known as _____

Residential Address

(PO Box, GPO Box, C/O, RMB, PMB and Locked Bag is **not** allowed)

Suburb/Town _____ State _____ Postcode _____

Postal Address

Same as above

Suburb/Town _____ State _____ Postcode _____

Contact Numbers Mobile (recommended) _____ Home _____

Work _____ Fax _____

Email _____

To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.

If this account has multiple applicants, trade confirmations will be sent to the postal address of the first applicant.

Gender Male Female

Date of Birth ____ / ____ / ____ Place of Birth _____

Driver's licence/
Passport number _____

Occupation _____

Tax File Number -- OR Exemption Code _____

The collection of your Tax File Number is authorised by Australian privacy and taxation laws. Declining to provide your tax file number is not an offence however any applicable taxation will be charged at the highest rate.

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If the answer above is 'Yes' please supply the relevant Tax Identification Number _____

Are you an Australian citizen? Yes No

Are you a tax resident or citizen anywhere other than Australia or the US? Yes No

If you answered 'Yes', please complete the below table for each country you are a tax resident and/or citizen for:

Country	Citizen	Tax resident	Primary tax residency (select one)	Tax Identification Number (TIN)
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

Individual Applicants only:

Are you a sole trader? Yes No

If 'Yes' please provide the following: ABN _____

Full Business Name (if any) _____

Principal place of business (if any) _____

Proceed to **Section C** >

Section C – Account Features

Online Trading

Our website is simple to use, and can assist investors in managing their portfolio efficiently. Our website provides live prices for equities, fixed interest and derivative products and also comprehensive research on the top 300 companies.

You have the ability to place your orders online without having to speak to a Dealer. Our website utilises 'Straight Through Processing'. This means that your order is sent directly to the market. Even if you choose to trade online, you still retain the ability to trade over the phone with our experienced dealing team.

If you want to trade online, you will be required to be CHESS sponsored with CMC Markets Stockbroking and to open a Cash Account. You have to receive your confirmation notes by email. There is no charge for these services.

This trading account can be linked to your existing login code. This will enable you to keep a record of the trades and holdings which occur on your account.

If you have an **existing** login code to our website, please supply it here. If you do not have a login code, but wish to receive one, please complete the details below.

Each account holder must have their own unique login code to the website.

Account Holder 1

Existing login code (if applicable) _____

I do not have a login code, but wish to receive one.

Account Holder 2

Existing login code (if applicable) _____

I do not have a login code, but wish to receive one.

By supplying your login code, or requesting a login code above, you agree that you have received, read and agree to the CMC Markets Stockbroking Terms and Conditions, Part B Online Trading.

CHESS Sponsorship (required for online trading)

CHESS Sponsorship is a free service provided by the ASX to electronically register share holdings.

An explanation of the effect of CHESS Sponsorship is available on our website cmcmarkets.com.au/stockbroking

I/We wish to appoint CMC Markets Stockbroking as my/our CHESS Sponsor and agree to be bound by the CHESS Sponsorship Agreement contained in Part G of the CMC Markets Stockbroking Terms and Conditions.

OR

I/We have CHESS sponsored Holdings with another broker, and would like to transfer them to this account with CMC Markets Stockbroking. I/We wish to appoint CMC Markets Stockbroking as my CHESS Sponsor and agree to be bound by the CHESS Sponsorship Agreement contained in Part G of the CMC Markets Stockbroking Terms and Conditions.

** Please attach a completed 'Transfer CHESS Holdings' form with this application.

Electronic Confirmations

By providing an email address you authorise CMC Markets Stockbroking to send you a confirmation of your trades electronically. If you authorise CMC Markets Stockbroking to send your confirmations via email, you will not be charged the postage and handling fee and you will not receive a paper copy. **As per ASIC Market Integrity Rules at least one of the emails provided below MUST belong to the applicant(s).**

Account Holder 1 Email Address _____

Account Holder 2 Email Address _____

Section C continued overleaf >

Cash Account (required for online trading)

We recommend opening a Cash Account for the Cash settlement of your share transactions. This facility is provided by BankWest and managed by CMC Markets Stockbroking on your behalf. There are no account-keeping fees or government charges.

To open a Cash Account, please complete and attach a **Cash Account Application Form**.

Dividends

We can instruct the share registries (on your behalf) to direct deposit dividend payments into your Cash Settlement Account. This applies to your CHESS sponsored holdings only.

I wish to have dividends paid into my Cash Settlements Account

Please note: not all companies support direct crediting of dividends to a bank account. If you hold shares in one of these companies, you may still receive a dividend cheque sent to your registered address.

Linked Bank Account

This section allows CMC Markets Stockbroking to link an external bank account to your trading account. This will allow you to

- Transfer funds from your Cash Account directly to this external account
- Have sale proceeds credited directly to your external bank account

This authority does **not** allow CMC Markets Stockbroking or your Introducing Adviser to **debit** funds from this account. It only allows funds to be transferred **into** this account.

I/We authorise and request CMC Markets Stockbroking to arrange for funds to be credited from my/our trading account or Cash Account to the Financial Institution identified below. Further, I/We authorise:

1. CMC Markets Stockbroking to verify the details of the Account below with the relevant Financial Institution; and
2. The Financial Institution to release information to CMC Markets Stockbroking for the purpose of verifying the Account details.

This authorisation is to remain in force until the Account Holder(s) expressly revokes it in writing and the revocation is received by CMC Markets Stockbroking.

Account Name _____
This account should be in the same name as your trading account.

Name of Financial Institution or Bank _____

Branch Name _____

Bank State Branch (BSB) Number - Account Number

Proceed to **Section D** >

Section D – Disclosure of Information

From time to time, your Introducing Adviser may request your personal information, including your trading activity.

By completing this application form, you provide consent for CMC Markets Stockbroking to disclose your personal information, including your trading activity, to your Introducing Adviser and their authorised representatives. For further information please contact CMC Markets Stockbroking or your Introducing Adviser.

Proceed to **Section E** >

Section E – Client Agreement & Declaration

THIS SECTION IS MANDATORY FOR ALL ACCOUNT HOLDERS

By signing this Application Form I/we agree to be bound by Part A and any other relevant Parts of the CMC Markets Stockbroking Terms and Conditions. I/we also acknowledge that I/we have read, received and understood the CMC Markets Stockbroking Financial Services Guide and the Financial Services Guide of my/our Introducing Adviser.

I/We acknowledge that my/our Introducing Adviser may charge brokerage on trading in securities which may differ to the brokerage rates published by CMC Markets Stockbroking from time to time; and CMC Markets Stockbroking may receive fees or pay rebates in relation to these securities transactions.

I/We confirm that I/we am/are fully authorised to provide the personal details presented, which relate to me/us and, if applicable, other individuals linked to the entity. Furthermore, I/we are fully authorised to grant CMC Markets Stockbroking permission to carry out checks with the document issuers or official record holder via third party systems to verify my identity and the identity of those other individuals.

	Account Holder 1	Account Holder 2
Client Signature	_____	_____
Name (Printed)	_____	_____
Date	____ / ____ / 20____	____ / ____ / 20____

If you would like to Authorise your Introducing Adviser or another person to act on your trading account, please complete and attach an **'Authorised Agent (Authorised Person)' Form**.