

## STOCKBROKING COMPANY MARGIN LENDING LINKED ACCOUNT application form

**Please use this form when you wish:**

- to open a trading account in a company name, and
- to settle trades through a Margin Lender

**Please DO NOT use this form if you wish to open a trading account:**

- in your name
- in joint names
- as a TRUST Account (including SMSF), or
- as Trustee(s) for a minor.

**There are separate forms for these account types.**

**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.

**IMPORTANT**

Section A and Section B must be completed with the personal information of the Directors of the Company. If there are multiple Directors, a minimum of two Directors must provide their personal information and identification, and complete Section I. The details of any additional Directors must be provided in Section D (Proprietary companies only).

**If you require assistance when completing this form, please contact InvestSMART Financial Services on 1300 880 160.**

**Please mail your completed account form to the address below.**

**Introducing Adviser Use Only**

Brokerage Schedule:

Adviser Code:

## 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 notify us when you submit this form.

**Driver's licence number**   
Director 1

**Driver's licence number**   
Director 2

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.**

### Section A (PROVIDE ONE OF THE FOLLOWING)

- driver's licence (front and back) – MUST be current
- proof of age card issued by the RTA – MUST be current

**OR**

### Section B (PROVIDE ONE OF THE FOLLOWING)

- passport – current or expired within the past TWO years
- 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, financial statement or council rate notice – issued within the last six 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. To obtain a full list of ADIs in Australia, visit [www.apra.gov.au/adi/ADIList.cfm](http://www.apra.gov.au/adi/ADIList.cfm). 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

## Certifying your documents

In order for your certification to be accepted, it must be signed 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. We cannot accept a fax of a certified copy. 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 chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of a court
6. a Justice of the Peace
7. a notary public (for the purposes of the *Statutory Declaration Regulations 1993*)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*)
13. a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the *Statutory Declaration Regulations 1993*)
14. an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.

If you need help to meet these ID requirements, call InvestSMART Financial Services on **1300 880 160**.

## Section A – Director 1

**NB All fields are mandatory.**

Mr / Mrs / Miss / Ms / Dr / Other: \_\_\_\_\_

**Surname** \_\_\_\_\_

**Given Name(s)** \_\_\_\_\_

**Residential Address** \_\_\_\_\_

(PO Box not allowed)

Suburb/Town \_\_\_\_\_

State \_\_\_\_\_

Postcode \_\_\_\_\_

**Postal Address** \_\_\_\_\_

Same as above

Suburb/Town \_\_\_\_\_

State \_\_\_\_\_

Postcode \_\_\_\_\_

**Contact Numbers**

Work \_\_\_\_\_

Home \_\_\_\_\_

Mobile \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

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

**NB If this account has multiple Directors, trade confirmations will be sent to the postal address for Director 1.**

**Date of Birth**    /    /    \_\_\_\_\_

**Occupation** \_\_\_\_\_

**Will you be acting on the trading account on behalf of the Company (i.e. an Authorised Agent)?**

Yes

No

**If the Company has multiple Directors proceed to SECTION B >  
If the Company has only one Director proceed to SECTION C >**

## Section B – Director 2

**NB All fields are mandatory.**

Mr / Mrs / Miss / Ms / Dr / Other: \_\_\_\_\_

**Surname** \_\_\_\_\_

**Given Name(s)** \_\_\_\_\_

**Residential Address** \_\_\_\_\_

(PO Box not allowed)

Suburb/Town \_\_\_\_\_

State \_\_\_\_\_

Postcode \_\_\_\_\_

**Postal Address** \_\_\_\_\_

Same as above

Suburb/Town \_\_\_\_\_

State \_\_\_\_\_

Postcode \_\_\_\_\_

**Contact Numbers**

Work \_\_\_\_\_

Home \_\_\_\_\_

Mobile \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

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

**NB If this account has multiple Directors, trade confirmations will be sent to the postal address for Director 1.**

**Date of Birth**    /    /    \_\_\_\_\_

**Occupation** \_\_\_\_\_

**Will you be acting on the trading account on behalf of the Company (i.e. an Authorised Agent)?**

Yes

No

**NB Proprietary companies - If there are additional Directors, please provide their full names in SECTION D. Proceed to SECTION C >**

## Section C – Company Details

Please provide the details of the Company in this section.

Please ensure the Director(s) details are supplied in Sections A and B.

**Full Company Name** (as registered with ASIC) \_\_\_\_\_

**Type of Company**     **Proprietary**                       **Public (Sections D and E are not required)**

**Trading Name** (if any) \_\_\_\_\_

**Address of Registered Office** \_\_\_\_\_

**Address of Principal Place of Business** \_\_\_\_\_

**Postal Address** (if different) \_\_\_\_\_

Suburb/Town \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Your ACN is required to perform an ASIC check on the company to verify the Company Name and the Directors.

**ACN**     –  –

Please provide the Company's Tax File Number.

**Tax File Number**     –  –     OR    Exemption Code \_\_\_\_\_

If you do not provide your tax file number, any applicable taxation will be charged at the highest rate.

**Proceed to SECTION D >**

## Section D – Director Details (Proprietary companies only)

**If the Company has more than two Directors, please provide the full name of each additional Director:**

(If there are more than 4 Directors, please provide details on a separate sheet.)

**Full Name** \_\_\_\_\_

**Full Name** \_\_\_\_\_

**Full Name** \_\_\_\_\_

**Full Name** \_\_\_\_\_

**Proceed to SECTION E >**

## Section E – Details of Ultimate Beneficial Owners (Proprietary companies only)

**Please provide the full name and residential address of each ultimate beneficial owner.**

'Ultimate Beneficial Owner' means any individual who ultimately owns or controls (either directly or indirectly) through one or more shareholdings, more than 25 per cent of the issued capital in the company.

**Full Name** \_\_\_\_\_

**Residential Address** \_\_\_\_\_  
(PO Box not allowed)

**Full Name** \_\_\_\_\_

**Residential Address** \_\_\_\_\_  
(PO Box not allowed)

**Full Name** \_\_\_\_\_

**Residential Address** \_\_\_\_\_  
(PO Box not allowed)

**Proceed to SECTION F >**

## Section F – Margin Lender

**NB This section is mandatory.**

**Please supply the details of your Account with your Margin Lender.**

Name of Margin Lender: \_\_\_\_\_

Account Number: \_\_\_\_\_

(with Margin Lender)

**Proceed to SECTION G >**

## Section G – 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. 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.

**NB Not all Margin Lending Accounts are able to place orders online. This website can still be used to manage your portfolio and to research potential investments.**

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 login code to the website.**

#### Director 1

Existing login code (if applicable): \_\_\_\_\_

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

#### Director 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.**

### 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.

Director 1 Email Address: \_\_\_\_\_

Director 2 Email Address: \_\_\_\_\_

**Proceed to SECTION H >**

## SECTION H – 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 I >**

## Section I - Client Agreement & Declaration

**NB 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.**

	Director 1	Director 2
Client Signature(s)	_____	_____
Name(s) (printed)	_____	_____
Date	___ / ___ /20___	Date ___ / ___ /20___

**NB All account holders must complete the Margin Lending Linked Account Letter of Authority.**

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**.

**Existing Customers** - If you have previously appointed an Authorised Agent/s, their authority will extend to your trading account, unless you advise us in writing.