

STOCKBROKING TRUST ACCOUNT (inc SMSF) application form

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

- as a Trust Account (including SMSF)
- where the trustees are individual(s) or a company
- as Trustee(s) for a minor

Please DO NOT use this form if you wish:

- to open an account in your name
- to open an account in joint names
- to open an account in a Company Name, or
- for us to settle your trades through a margin lender.

There are separate forms for these account types.

In order to process your application we will need:

- your completed application form
- identification for each account holder (as specified over the page)
- a certified copy of an excerpt of the Trust Deed which clearly states the name of the Trust and the name of the Trustee.

IMPORTANT

If a Company is acting as Trustee, 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 K. The details of any additional Directors must be provided in Section D (Proprietary companies only).

If an Individual is acting as Trustee, all Trustees must provide their personal information in Section A and Section B and complete Section K. If there are more than two Trustees, please provide personal information on a separate sheet.

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

Trustee/Director 1

Driver's licence number

Trustee/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/ADList.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 – Trustee 1 / Company 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 Trustees/Directors, trade confirmations will be sent to the postal address for Trustee/Director 1.

Date of Birth ____ / ____ / ____

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.

Occupation _____

Will you be acting on the trading account on behalf of the Company (i.e. an Authorised Agent)? Yes No

If this account has multiple Trustees/Directors proceed to SECTION B >
If the account has a single Trustee/Director proceed to SECTION C >

Section B – Trustee 2 / Company 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 Trustees/Directors, trade confirmations will be sent to the postal address for Trustee/Director 1.

Date of Birth ____ / ____ / ____

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.

Occupation _____

Will you be acting on the trading account on behalf of the Company (i.e. an Authorised Agent)? Yes No

If there are more than two Individual Trustees, please provide their details on a separate sheet. All Trustees must sign in SECTION K.
Proceed to SECTION F >

If a Proprietary company is acting as Trustee, and there are more than two Directors, please provide their full names in SECTION D.
Proceed to SECTION C >

Section C – Company As Trustee

This section is applicable for Trust Accounts where a Company is acting as the Trustee.

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 I - 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 login code to the website.

Trustee 1/Director 1

Existing login code (if applicable): _____

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

Trustee 2/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.

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.

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 (required for online trading)

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.

Trustee 1 / Director 1 Email Address: _____

Trustee 2 / Director 2 Email Address: _____

Proceed to next page >

Cash Account (required for online trading)

We recommend opening a Cash Account for the 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**.

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

SECTION J – 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 J >](#)

Section K - 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 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 payments in relation to these securities transactions. [Proceed to SECTION K >](#)

	Trustee 1/Director 1	Trustee 2/Director 2	Trustee 3 (if applicable)
Client Signature(s)	_____	_____	_____
Name(s) (printed)	_____	_____	_____
Date	___ / ___ /20___	Date ___ / ___ /20___	Date ___ / ___ /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**.

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.