

## 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.

**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. You can also go to [cmcmarkets.com.au](http://cmcmarkets.com.au), click 'Open an account' and view 'ID requirements'.

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
- proof of age card issued by the RTA – MUST be current

#### Example: Driver's Licence (front and back)



**OR**

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

- Australian passport – current or expired within the past TWO years
- overseas passport - MUST be current
- 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 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. To obtain a full list of ADIs in Australia, visit [www.apra.gov.au/adi/ADList.cfm](http://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

#### Example: Australian Passport and Water Bill



### 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 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 in Australia, 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:

<http://www.comlaw.gov.au/Details/F2007L01000> (Section 1.2.1)

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

## Section A – Individual Applicant / Joint Applicant 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 applicants, trade confirmations will be sent to the postal address of the first applicant.**

**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** \_\_\_\_\_

**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

**NB ALL FIELDS ARE MANDATORY.**

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

Surname \_\_\_\_\_ Given Name(s) \_\_\_\_\_

**Residential Address**

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

**Postal Address**

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 applicants, trade confirmations will be sent to the postal address of the first applicant.**

**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** \_\_\_\_\_

**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 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](http://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 mailed hard 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: \_\_\_\_\_

### 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**.

**Do you wish to have dividends paid into this Cash Account?**

### Linked Bank Account

This section allows us 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

**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.**

**Account Holder 1**

**Account Holder 2**

Client Signature(s)

\_\_\_\_\_

\_\_\_\_\_

Name(s) (printed)

\_\_\_\_\_

\_\_\_\_\_

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'**.

## STOCKBROKING CASH ACCOUNT application form

### Details

## Cash Accounts offer competitive interest with no fees and charges.

To conveniently settle your share purchases or sales, we recommend opening a CMC Markets Cash Account with Bankwest, a division of the product issuer, Commonwealth Bank of Australia ABN 48 123 123 124 AFSL/Australian Credit Licence 234945.

### Advantages

- Bankwest offer a competitive interest rate, calculated on the daily balance of your account and credited monthly. These transactions appear on your monthly statement.
- There are no account fees and no government charges.
- The Financial Claims Scheme (FCS) applies to this cash account. The FCS is free and automatically covers the total aggregated balance of all your deposit accounts with an Authorised Deposit-taking Institution up to the limit of \$250,000. To obtain the information about FCS, visit [www.apra.gov.au](http://www.apra.gov.au)

A Cash Account is necessary if you are planning to trade online.

### How it works

Share purchases are debited from your account on the day of settlement and proceeds from share sales are credited to your account on the day of settlement.

There is no need to contact Bankwest – all enquiries about your account may be directed to Broker Services, including requests to withdraw funds.

If we receive your instruction to withdraw funds before 11.00am AEST/AEDT, we can draw a cheque on the same day. If your request is received after 11.00am, a cheque will be drawn the next business day or funds deposited into one of your other bank accounts.

### Opening an account

To open a Cash Account, simply complete and send us the attached application form with identification (if not already provided).

If your 'Corporate Trust' or your 'Company' trading account was opened before 2011, please complete a full trading application form to accompany the cash Account form.

Please call our Broker Services Team on **1300 557 561** for our current interest rates or if you require any further information.

Please note that funds on deposit with Bankwest are not protected by the ASX National Guarantee Fund.

### 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. You can also go to [cmcmarkets.com.au](http://cmcmarkets.com.au), click 'Open an account' and view 'ID requirements'.

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
- proof of age card issued by the RTA – MUST be current

#### Example: Driver's Licence (front and back)



**OR**

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

- Australian passport – current or expired within the past TWO years
- overseas passport - MUST be current
- 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 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. 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

#### Example: Australian Passport and Water Bill



### 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 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 in Australia, 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:

<http://www.comlaw.gov.au/Details/F2007L01000> (Section 1.2.1)

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

## Current Account (if applicable)

Current Account Number:

## Investments

Do you wish to have dividends paid into this Cash Account?

Yes

No

**Individual Applicants** – please complete Section A and E

**Joint Applicants** – please complete Section A, B and E

**Company Accounts** – please complete Section C and E

**Trust Accounts** – please complete Section D and E

## Section A – Individual Applicant/Joint Applicant 1

Purpose of investment: \_\_\_\_\_

Do you have any Citizenship/Tax Residency in any other countries? Yes  No

If yes, please provide the following (if you have Residency/Citizenship in more than one other country please provide details of each);

Country Name(s): \_\_\_\_\_

Citizenship: Yes  No  Citizenship (if more than one): \_\_\_\_\_

Tax Residency: Yes  No  Tax Residency (if more than one): \_\_\_\_\_

Tax Identification number(s) (TIN): \_\_\_\_\_

Why are you opening an Australian Banking Account? \_\_\_\_\_

## Section B – Joint Applicant 2

Purpose of investment: \_\_\_\_\_

Do you have any Citizenship/Tax Residency in any other countries? Yes  No

If yes, please provide the following (if you have Residency/Citizenship in more than one other country please provide details of each);

Country Name(s): \_\_\_\_\_

Citizenship: Yes  No  Citizenship (if more than one): \_\_\_\_\_

Tax Residency: Yes  No  Tax Residency (if more than one): \_\_\_\_\_

Tax Identification number(s) (TIN): \_\_\_\_\_

Why are you opening an Australian Banking Account? \_\_\_\_\_



## Section C – Company Accounts

Purpose of investment: \_\_\_\_\_  
\_\_\_\_\_

Industry: \_\_\_\_\_

Nature of Business Activity: \_\_\_\_\_

Is the company operating as a charity? Yes  No

If yes, what is the purpose of the charity? \_\_\_\_\_

### For Proprietary and Private Companies Only

Tick if the company's primary business activity is investing?

If ticked, does the entity derive more than 50% of its gross income from passive investment activities? (e.g. Rent, interest and dividends) or does more than 50% of the entity's assets produce or are held for the production of passive investment income? Yes  No

## Section D – Trust Accounts

Purpose of investment: \_\_\_\_\_  
\_\_\_\_\_

If the trust is a charity, what is the purpose of the charity? \_\_\_\_\_

If the trust was not established in Australia, please provide the below:

Country where the trust established: \_\_\_\_\_

What is the objective of the trust? \_\_\_\_\_

Why are you opening an Australian Banking Account? \_\_\_\_\_

### For Corporate Trustees; (Proprietary and Private Companies Only)

Is the company operating as a charity? Yes  No

If yes, what is the purpose of the charity? \_\_\_\_\_

Tick if the company's primary business activity is investing?

If ticked, does the entity derive more than 50% of its gross income from passive investment activities? (e.g. Rent, interest and dividends) or does more than 50% of the entity's assets produce or are held for the production of passive investment income? Yes  No

## Section E – Client Authorisation

### Client Authorisation – CMC Markets Cash Account – All Applications

By signing this Application Form, I/We agree, declare and/or certify to the following:

1. I/We have received and read the Cash Account Product Information Statement (PIS) in Australia, including the Product Schedule provided by CMC Markets.
2. I/We have read the section of the Cash Account PIS containing the information under the heading 'Privacy'. I am/We are aware that until I/We inform CMC Markets otherwise, I/We will be taken to have consented to all the uses and disclosure of my/our personal information. This consent includes my/our agreement to Bankwest collecting, using, exchanging and transferring overseas, my/our personal information as described and set out in Bankwest's Privacy Policy.
3. I/We declare that the details as shown within the application forms are complete and correct and that I/We will advise CMC Markets if these details change.
4. I/We hereby authorise CMC Markets and any person nominated by CMC Markets to act as my/our agent and act in accordance with the authority given under the terms contained within the CMC Markets Cash Account PIS.
5. I/We disclose to Bankwest or its nominees through CMC Markets any of my/our personal information required to open and administer the Cash Account.
6. Bankwest will only act on requests authorised by CMC Markets or any other person nominated by CMC Markets. Any requests conducted and authorised by CMC Markets and any person(s) acting on behalf of CMC Markets will be treated as if it has been actioned and authorised by me/us personally. By appointing CMC Markets, I/We are giving CMC Markets and any person(s) acting on behalf of CMC Markets authority to transact and modify details on the Cash Account until I/We provide written notification amending or revoking the authority above.
7. I/We indemnify Bankwest against all losses, liabilities and costs incurred directly or indirectly:
  - a. As a result of the appointment of CMC Markets and its nominees; and
  - b. In connection with any action or payment CMC Markets and its nominees makes on my/our Cash Account.
8. I/We release Bankwest from all claims and liabilities in connection with any act or omission relating to the appointment of CMC Markets and its nominees.
9. CMC Markets authority takes effect on the date when the Cash Account is set up and continues until cancelled. I/We can cancel this authority by telling CMC Markets in writing which has the effect of closing my/our Cash Account.
10. Bankwest may cancel the appointment of CMC Markets by telling me/us in writing.
11. CMC Markets will receive commission from Bankwest, or such other amount as agreed from time to time between Bankwest and CMC Markets and this has been disclosed to me/us.

#### Please tick for Trust/Company (only for Proprietary/Private Companies) Accounts:

I/We certify that the entity's activities and classification that I/We have provided is true and complete and that I/We will advise CMC Markets immediately if such information is to change.

#### Please tick for Individual/Joint Accounts

I/We certify that the Countries of Citizenship and tax residence information that I/We have provided is true and complete and that I/We will advise CMC Markets immediately if such information is to change.

Account Holder 1

Account Holder 2

Client Signature(s)

\_\_\_\_\_

Name(s) (printed)

\_\_\_\_\_

Title (if company)

Eg director, officer, secretary

\_\_\_\_\_

Date

\_\_\_\_\_