

**INDIVIDUAL/JOINT ACCOUNT application form**

**Please use this form when you wish to open a CMC Markets Share Trading Account:**

- in your name, or
- in joint names.

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

- in a Company Name,
- a TRUST Account (including a SMSF) or,
- if you wish 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
- 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.**

**WE LOOK FORWARD TO MEETING YOUR INVESTMENT NEEDS NOW, AND IN THE FUTURE.**

**If you require assistance when completing this form, please contact our Client Services team on 1300 360 071.**

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

## Identification

We are required to verify your identity prior to opening your account. We 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 application form.

**Driver's licence number**   
Account holder 1

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 other than to conduct your electronic verification check.

**Driver's licence number**   
Account holder 2

### 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. 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**.

#### 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 our Client Services Team on **1300 360 071**.

## Section A – Individual Applicant / Joint Applicant

**NB: All fields are mandatory**

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

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

**Given Names** \_\_\_\_\_

**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** --

If you do not provide your tax file number, any applicable taxation will be charged at the highest rate or Exemption Code \_\_\_\_\_

**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):** \_\_\_\_\_

**Where did you hear about us?** Please specify Online  Newspaper  Magazine  Television  Radio

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 Names** \_\_\_\_\_

**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:** --

If you do not provide your tax file number, any applicable taxation will be charged at the highest rate or Exemption Code \_\_\_\_\_

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

Proceed to **SECTION C >**

## Section C – Account Features

### Online Trading

The CMC Markets Stockbroking website offers many useful tools and features for today's investor. 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 CMC Markets Cash Account. You have to receive your confirmation notes by email. There is no charge for these services.**

Best of all, access to the website is **free** for all our clients.

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: Yes

#### Account Holder 2:

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

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

**By supplying your login code, or requesting a login code above, you agree that you have received, read and agree to the Terms and Conditions of Dealing with CMC Markets Stockbroking, 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)

Yes  **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 Terms and Conditions.**

Yes  **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 Terms and Conditions.**

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

### Electronic Confirmations (required for online trading)

By providing CMC Markets Stockbroking with 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.

Account Holder 1 \_\_\_\_\_

Account Holder 2 \_\_\_\_\_

## Section C – Account Features (continued)

### 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.

A copy of Bankwest's Product Disclosure Statement (PDS) can be accessed through our website or contact us and we will send you one. By choosing to open an account, you confirm you have read and understood the PDS and provide us with the following authority:

*I/We authorise CMC Markets Stockbroking to open a Cash Account with Bankwest in my/our name. I/We authorise CMC Markets Stockbroking (and/or my/our Authorised Agent) to transfer monies held in their Trust account to my/our Cash Account and to withdraw funds when required in accordance with the Terms and Conditions and my/our instructions.*

Yes  **Do you wish to open a CMC Markets Cash Account?**

If you are CHESS sponsored, you can elect to have your dividends from your holdings paid directly into this Cash Account.

Yes  **I would like my dividends paid into this CMC Markets Cash Account**

Please ensure you have provided each account holder's TFN details in Sections A & B. If you do not supply your TFNs, any applicable taxation will be charged at the highest rate.

### 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 CMC Markets 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 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 CMC Markets Cash Account to the Financial Institution identified below. Further, I/we authorise and direct:

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 the Broker.

Account Name	_____	This account should be in the same name, or include the same name, as your CMC Markets Share Trading Account.	
Name of Financial Institution or Bank	_____		
Branch Name	_____		
Bank State Branch (BSB) Number	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	Account Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**Proceed to SECTION D >**

## SECTION D – 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 Terms and Conditions of Dealing with CMC Markets Stockbroking. I/we also acknowledge that I/we have read, received and understood the CMC Markets Stockbroking Financial Services Guide.**

	Account Holder 1	Account Holder 2
Client Signature(s)	_____	_____
Name(s) (printed)	_____	_____
Date	____ / ____ / ____	____ / ____ / ____

## SECTION D – Client Agreement & Declaration (continued)

### Existing CMC Markets Account

Do you currently have an existing stockbroking account or a CFD trading account with CMC Markets? Yes  No

If you know your Account Number, please enter it here:

By linking your CMC Markets CFD account to your CMC Markets Stockbroking account we will be able to offer you benefits in the future as we combine our services.

If you would like to Authorise another person to act on your 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 Account, unless you advise us in writing.