

CMC MARKETS STOCKBROKING – SYSTEM ACCESS form

Instructions: This form must be completed by all new advisers/users prior to gaining access to CMC Markets Stockbroking systems.
Please email your completed and signed form to brokerservices@cmcmarkets.com.au

Section A – New User Details

Mr Mrs Miss Ms Dr Other (please specify) _____ Date of Birth ____ / ____ / ____

Surname _____ Given Name(s) _____

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

Suburb/Town _____ State _____ Postcode _____

Contact Numbers Mobile (recommended) _____ Home _____

Email _____

Driver's licence/
Passport number _____ Occupation _____

To verify identification please refer to requirements on page 2.

Section B – Licensee Details

AFSL Group Name _____

AFSL Number _____

ACN / ABN _____

CAR Name (If applicable) _____ CAR Number _____

AFS Representative number _____

Section C – Access Level

Access Level required: Trading Access View Only Access (Admin) | Options Trading Level: ADA01 ADA02

Client Access required: Specific clients of advisor Entire client list of AFSL/CAR (please specify) _____
 Other (please specify) _____

Additional Products required: IRESS viewpoint Full IRESS | Advantage Pro Dynamic Data

IRESS username (existing) _____

Other (please specify) _____

Section D – Authorisation

The form needs to be signed by the AFSL licensee/Director/Authorised Signatory.

Signature(s) _____

Name(s) (printed) _____

Date ____ / ____ / 20 ____ / ____ / 20 ____

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Stockbroking services are provided by CMC Markets Stockbroking at the request of your Introducing Adviser. Neither CMC Markets Stockbroking nor your Introducing Adviser are representatives of each other.

CMC Markets Stockbroking is the trading name of CMC Markets Stockbroking Limited (ABN 69 081 002 851, AFSL No.246381), Participant of the ASX Group.

Broker Services

GPO Box 5351
Sydney NSW 2001

1300 557 561

brokerservices@cmcmarkets.com.au

Identification (if not already provided)

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:

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**.