

**STOCKBROKING ULTIMATE BENEFICIAL OWNER/CONTROLLER/APPOINTER/
SETTLOR/BENEFICIARY form**

Current Account Details

Existing Trading Account Number or Application Reference

Account Name

Company account

- **Ultimate Beneficial Owner/Controller:** Proceed to SECTION A

Please sign and date SECTION E

Trust account

- **Appointor:** Proceed to SECTION B
- **Settlor:** Proceed to SECTION C
- **Beneficiaries:** Proceed to SECTION D

Please sign and date SECTION E

Please provide the details of each ultimate beneficial owner or controller as described below:

- Individual(s) who own (directly or indirectly) 25 per cent or more in the Company (Beneficial Owner)
- If an individual does not meet the above criteria as Beneficial Owner, please provide details of the company's controllers below. A company's controller is someone who can make strategic decisions at a senior executive level (eg Director, CEO, CFO)

Section A – Details of the Ultimate Beneficial Owner or Controller of the Company

Ultimate Beneficial Owner or Controller of the Company 1

Mr Mrs Miss Ms Dr Other (please specify) _____

Full name _____ Also known as _____

Date of Birth / / Place of Birth _____ Gender Male Female

Driver's licence/
Passport number _____

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

We require some information about your citizenship and tax residency to comply with international tax regulations.

Are you a citizen of the United States of America? Yes No

If the answer above is 'Yes' please supply the relevant Tax Identification Number: _____

Are you an Australian citizen? Yes No

Are you a tax resident or citizen anywhere other than Australia or the US? Yes No

If you answered 'Yes', please complete the below table for each country you are a tax resident and/or citizen for:

Country	Citizen	Tax resident	Primary tax residency (select one)	Tax Identification Number (TIN)
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Please email your completed and signed form to stockbroking.forms@cmcmarkets.com

Section A continued overleaf >

Ultimate Beneficial Owner or Controller of the Company 2

Mr Mrs Miss Ms Dr Other (please specify) _____

Full name _____ Also known as _____

Date of Birth / / Place of Birth _____ Gender Male Female

Driver's licence/
Passport number _____

Residential Address _____

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

We require some information about your citizenship and tax residency to comply with international tax regulations.

Are you a citizen of the United States of America? Yes No

If the answer above is 'Yes' please supply the relevant Tax Identification Number: _____

Are you an Australian citizen? Yes No

Are you a tax resident or citizen anywhere other than Australia or the US? Yes No

If you answered 'Yes', please complete the below table for each country you are a tax resident and/or citizen for:

Country	Citizen	Tax resident	Primary tax residency (select one)	Tax Identification Number (TIN)
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

Proceed to **Section B** >

Section B – Details of the Appointor of the Trust

- **For a discretionary trust** – the Appointor of the Trust (may be referred to as the Custodian or the Principal).
- **For a fixed trust** – any individuals entitled to 25 per cent or more of the Trust assets or, where there are no such individuals, the Appointor of the Trust.

First Name _____ Middle Name (not mandatory) _____ Last Name _____

Proceed to **Section C** >

Section C – Details of the Settlor of the Trust

First Name _____ Middle Name (not mandatory) _____ Last Name _____

Proceed to **Section D** >

Section D – Details of the Beneficiaries of the Trust

Please provide the details each beneficiary, or where there is a class of beneficiary, the name of the class.
This section is not applicable to SMSFs.

Beneficiary 1

Individual Full Name/Name of Class _____

Beneficiary 2

Individual Full Name/Name of Class _____

Beneficiary 3

Individual Full Name/Name of Class _____

Beneficiary 4

Individual Full Name/Name of Class _____

Proceed to **Section E** >

Section E – Client Agreement and Declaration

Please sign here:

I/ We understand and accept that I/we am/are providing the declarations below on behalf of the Company or Trust (as applicable) and I/we confirm that I/we have proper authorisation to do so.

I/we certify to CMC Markets Stockbroking Limited that I am/we are authorised to provide the personal details presented, which relate to me/us and other individuals linked to the Company or Trust (as applicable). I/we consent to this information being checked with the document issuer or official record holder via a third party system for the purpose of confirming my/our identity and the identity of those other individuals.

	Trustee / Director 1	Trustee / Director 2	Trustee 3 (if applicable)
Signature	_____	_____	_____
Print name	_____	_____	_____
Date	____ / ____ / 20____	____ / ____ / 20____	____ / ____ / 20____