

STOCKBROKING CHANGE OF DIRECTORS/ULTIMATE BENEFICIAL OWNERS/CONTROLLER form

Please use this form for the below account types:

- Company
- Trust and SMSF (where the trustee is a company)

Please note:

- That new director(s) are required to provide ID when submitting this form for purposes of signature verification
- The new director(s), ultimate beneficial owner(s) or controller must be updated first on the ASIC company register/ Company VEDA before we are able to process the change request
- Please also provide Guarantee Agreement form for Company or Trust account (except for SMSF)
- For removing director(s), please fill in Section A and Section G

Thank you for choosing CMC Markets Invest.

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

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

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:

<https://www.legislation.gov.au/Details/F2007L01000> (Section 1.2.1)

If you need help to meet these ID requirements, call our Client Services Team on **1300 360 071**.

Section A – Trading Account Details

Trading Account Number

Company Account ACN --

Account Name _____

Account Designation < _____ Account >

Proceed to **Section B** >

Section B – Company Director 1

Mr Mrs Miss Ms Dr Other (please specify) _____

Surname _____ Given Name(s) _____

Also known as _____

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

Suburb/Town _____ State _____ Postcode _____

Postal Address
 Same as above

Suburb/Town _____ State _____ Postcode _____

Contact Numbers

Mobile (recommended) _____ Home _____

Work _____ Fax _____

Email _____

If this account has multiple Directors, trade confirmations will be sent to the postal address for Director 1.

Gender Male Female

Date of Birth _____ / _____ / _____ Place of Birth _____

Driver's licence/
Passport number _____

Occupation _____

Industry _____

We require some information about your citizenship and tax residency to comply with international tax regulations.
(Not applicable for SMSF)

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"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

If the Company has multiple Directors to be changed proceed to **Section C** >
If the Company has only one Director proceed to **Section D** >

Section C – Company Director 2

Mr Mrs Miss Ms Dr Other (please specify) _____

Surname _____ Given Name(s) _____

Also known as _____

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

Suburb/Town _____ State _____ Postcode _____

Postal Address
 Same as above

Suburb/Town _____ State _____ Postcode _____

Contact Numbers

Mobile (recommended) _____ Home _____

Work _____ Fax _____

Email _____

If this account has multiple Directors, trade confirmations will be sent to the postal address for Director 1.

Gender Male Female

Date of Birth ____ / ____ / ____ Place of Birth _____

Driver's licence/
Passport number _____

Occupation _____

Industry _____

**We require some information about your citizenship and tax residency to comply with international tax regulations.
(Not applicable for SMSF)**

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"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

If the Company has changed ultimate beneficial owner(s) proceed to **Section D** >

Section D – Details of Ultimate Beneficial Owners or Controller of the Company

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

- Any individual who own 25 per cent or more in the Company (Beneficial Owner)
- Where Beneficial Owners cannot be identified, any individual who has voting rights of 25 per cent or more for the Company (Controller)
- Where Controllers cannot be identified, any individual who makes key strategic or financial decisions for the Company, eg. CEO or Managing Director

Director 1 is an Ultimate Beneficial Owner/Controller of the Company, details as per Section B

Director 2 is an Ultimate Beneficial Owner/Controller of the Company, details as per Section C

Please complete the following for additional Ultimate Beneficial Owners 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.
(Not applicable for SMSF)**

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"/>	_____

Section D 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.
(Not applicable for SMSF)**

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"/>	_____

Ultimate Beneficial Owner or Controller of the Company 3

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.
(Not applicable for SMSF)**

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"/>	_____

Ultimate Beneficial Owner or Controller of the Company 4

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.
(Not applicable for SMSF)**

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"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Proceed to **Section E** >

Section E – 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 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 unique login code to the website.

Director 1

Existing login code (if applicable): _____

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

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 Invest Terms and Conditions, Part B Online Trading.

Notice and Electronic Confirmations (required for online trading)

By providing an email address you authorise the Broker to send you electronically:

- a confirmation of your trades;
- notice as required by the CMC Markets Invest Terms and Conditions; and
- other service related communications.

If you authorise the Broker to send your confirmations via email, you will not be charged the postage and handling fee and you will not receive a paper copy. **The Broker requires that you provide the email address of the account holder to us so that we satisfy our requirements to confirm client trades under the ASIC Market Integrity Rules.**

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Email address of account holder(s) to receive trade confirmation, legal notification and other communications from CMC Markets:

Proceed to **Section F** >

Section F – Client Agreement and Declaration

I/we have complied with the terms of our agreement with CMC Markets Stockbroking Limited and all relevant legislation. I/we acknowledge that I/we have read, received and understood the CMC Markets Invest Terms and Conditions and associated legal documents, accessible on CMC Markets' website (<https://www.cmcmarkets.com/en-au/legal-documents/stockbroking-legal-documents>) or by contacting CMC Markets.

By signing this form I/we agree to be, or continued to be bound by the CMC Markets Invest Terms and Conditions.

I/We understand and accept that I/we am/are providing the declarations below on behalf of the entity 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 entity. 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.

.....
Date / /20

Director 1

Director 2

Director's Signature _____

Director's Name
(Printed) _____

Director 3

Director 4

Director's Signature _____

Director's Name
(Printed) _____

Please note: If the company has **two or more** directors, at least two existing directors must sign this form, along with the new director(s)

Proceed to **Guarantee Agreement Form** >

GUARANTEE AGREEMENT form

The undersigned (each, a **Guarantor**) wish to establish a Guarantee Agreement in respect of the account noted below (**Account**) held in the name of the client noted below (Client) with CMC Markets Stockbroking Limited (ABN 69 081 002 851, AFSL No. 246381) (**CMC Markets**).

The undersigned hereby guarantees all amounts due and payable to CMC Markets in respect of the Account, any other accounts with CMC Markets operated and/or held by the Client, or any other amounts owed by the Client to CMC Markets. In the event of a Client not paying any moneys outstanding at the time and in the manner imposed by any agreement between the Client and CMC Markets, the Guarantor agrees to be liable and pay the moneys due and payable to CMC Markets immediately and on demand. A demand may be made irrespective of whether a demand has been made on the Client, and may be made at any time.

As a separate and independent obligation, the Guarantor indemnifies CMC Markets against all claims and proceedings and all liability, loss (including consequential losses and all legal costs and expenses on a full indemnity basis) and damage CMC Markets suffers or incurs as a direct result of the Account (provided that such indemnity does not arise as a result of the negligence, fraud or wilful misconduct on the part of CMC Markets) as a sum equal

to the amount of any loss in respect of which an indemnity is given to CMC Markets on demand. The Guarantor is liable for and must pay a sum equal to the amount of any loss in respect of which an indemnity is given to CMC Markets on demand.

The Guarantor further agrees that the Guarantor must not make any claim, enforce any right or counter-claim to reduce its liability under this Guarantee Agreement against CMC Markets.

Each Guarantor represents and declares the following:

- (a) The obligations of the Guarantor under this Guarantee Agreement are principal obligations and as such are imposed upon the Guarantor as principal debtor.
- (b) CMC Markets may make a claim or demand against any Guarantor under this Guarantee Agreement without CMC Markets having first proceeded against, made any claim against, or taken steps to enforce any right, collateral security or remedy against, the Client, another Guarantor or any other person.
- (c) The Guarantor has been advised to, and has had the opportunity to, obtain independent legal advice in respect of providing the Guarantee and has either obtained such advice or has waived their right to obtain such advice.

Note: The below witness cannot be related to the Guarantor, reside at the same address, be a beneficiary or beneficial owner of the entity.

Client Account Name _____

Account (if known)

<p>Guarantor name _____ <small>(Full Name)</small></p> <p>Address _____ _____</p> <p>Signature _____</p> <p>Date / / 20 _____</p>	<p>Witness name _____ <small>Your witness must be third party (eg. Non-family member, not living at same address)</small></p> <p>Residential Address _____ _____</p> <p>Signature _____</p> <p>Date / / 20 _____</p>
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<p>Guarantor name _____ <small>(Full Name)</small></p> <p>Address _____ _____</p> <p>Signature _____</p> <p>Date / / 20 _____</p>	<p>Witness name _____ <small>Your witness must be third party (eg. Non-family member, not living at same address)</small></p> <p>Residential Address _____ _____</p> <p>Signature _____</p> <p>Date / / 20 _____</p>
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Proceed to **Section G** >

Section G – Removing Director(s)

Please list the former director(s) below requiring removal from the trading account:

Director to be removed _____

Director to be removed _____

Please note: The director(s) must be updated first on the ASIC company register/Company VEDA before we are able to remove the director(s) on the trading account.

Client Agreement

Date _____ / _____ /20

Director 1

Director 2

Director's Signature _____

Director's Name
(Printed) _____

Please note: At least **two** continuing/remaining directors must sign this form, unless the corporate entity now fall under a sole directorship.