

CHANGE OF NAME / DESIGNATION form

Please use this form for the below account types:

- Individual
- Joint
- Company
- Trust/SMSF

For **change of individuals/Trustees/Directors name**, please complete **Sections A, B & E**, and provide the below listed documents:

1. For legal change of name, please provide original certified copy of change of name certificate that has been issued by the Registry of Birth, Deaths and Marriages AND original certified copy of Driver's Licence /Passport in the new name
2. For change of name due to Marriage, please provide original certified copy of Marriage Certificate AND original certified copy of Driver's Licence/Passport in the new name
3. For adding or removing middle name, please provide original certified copy of Driver's Licence/Passport that displays your full name
4. For reverting to your previous name, please provide original certified copy of Birth Certificate and original certified copy of Marriage / Divorce Certificate
5. For extending your first name, please provide original certified copy of Driver's Licence/Passport.

NOTE: For company's Directors, please make sure the name has been updated with ASIC before you submit your request to update your name.

For **change of Company name**, please complete **Sections A, C & E**.

NOTE: Please update the company name with ASIC before you submit your request to update trading account.

For **change of Designation** (e.g. Trust Name/Superfund), please complete **Sections A, D & E**, and provide the below listed documents:

1. Original certified copy of the Deed of Variation (to show the old and the new name of the trust and/or SMSF)
2. Copy of photo ID (Driver's License/Passport) for each Account Owner/Trustee/Director

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 _____
Trading Account Name _____
Account Designation < _____ Account >

Proceed to **Section B** >

Section B – Change of Individual's Name

Individual Name 1

Mr Mrs Miss Ms Dr Other (please specify) _____

Former Name: First _____ Middle (optional) _____ Last _____

Current Name: First _____ Middle (optional) _____ Last _____

Reason for the change Legal change of name Due to marriage Due to divorce

Individual Name 2

Mr Mrs Miss Ms Dr Other (please specify) _____

Former Name: First _____ Middle (optional) _____ Last _____

Current Name: First _____ Middle (optional) _____ Last _____

Reason for the change Legal change of name Due to marriage Due to divorce

Proceed to **Section C** >

Section C – Change of Company Name

Company ACN _____
or
Company ABN _____
Former Company Name _____
Current Company Name _____

Proceed to **Section D** >

Section D – Change of Designation

Trust ABN _____
Former Trust Name _____
Current Trust Name _____

Proceed to **Section E** >

Section E – Client Agreement and Declaration

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. I/we acknowledge the instructions provided will supersede previous name details.

Date / / 20

Account Owner/ Trustee/ Director 1

Account Owner/ Trustee/ Director 2

Signature _____

Signature _____

Name (Printed) _____

Name (Printed) _____

Account Owner/ Trustee/ Director 3

Account Owner/ Trustee/ Director 4

Signature _____

Signature _____

Name (Printed) _____

Name (Printed) _____

Please note:

- For **Joint accounts** – all account holders must sign this form.
- For **Company & Corporate trustee trust/SMSF accounts** – if the company has two or more directors, at least two directors must sign the form.
- For **Change of Designation** – all trustees must sign this form.
- For **Individual trustees** – only the trustee's name that is being changed needs to sign the form

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