

## OPTIONS ACCOUNT application form

Please use this form when you wish to:

- add options trading to your existing trading account

In order to process your application we will need:

- your completed application form

### IMPORTANT

If the account is to be opened in a Company Name, please supply the Director(s) personal information in Sections A & B.

If the account is a Trust Account, please supply the Trustee(s) personal information in Sections A & B.

**Thank you for choosing CMC Markets Stockbroking.**

If you require assistance when completing this form, please contact our Client Services team on [1300 360 071](tel:1300360071).

Please email your completed and signed form to [stockbroking.forms@cmcmarkets.com](mailto:stockbroking.forms@cmcmarkets.com)

## OPTIONS ACCOUNT application form

### New Design and Distribution Obligations

CMC Markets has design and distribution obligations for retail clients ("Clients") under Chapter 7 of the Corporations Act 2001, which means we may only issue and distribute Exchange Traded Options ("ETOs") to you if we have taken reasonable steps to ensure that you are likely to fall within our target market.

As set out more fully in our Target Market Determination for ETOs ("TMD"), available [here](#), we consider that the target market for ETOs includes a Client who falls into one (or more) of the following categories:

- **High Risk Tolerance Investors** – Clients who have a higher risk appetite, relatively high and stable income, substantial spare capital, are able to withstand material losses and seek to make a profit trading ETOs;
- **Risk Mitigation Investors** – Clients seeking to hedge potential risk from existing or forthcoming investments or exposures, or lock in a price to purchase or sell underlying investments; or
- **Premium Generation Investors** – Clients seeking to earn income by selling options covered by holdings or underlying investments.

For further details in relation to the target market (including the likely objectives, financial situation and needs) and Clients for whom ETOs are unsuitable, refer to our TMD.

If you do not fall under at least one of the target market classifications, you may not be suitable to trade our ETOs. Otherwise, by clicking I AGREE below, you acknowledge that (i) you have read and understood the TMD, and (ii) you fall within the target market as defined in the TMD.

**I AGREE** – By clicking this box, I acknowledge that I have read and understood the TMD and I fall within the target market, as defined in the TMD.

## Current Account (if applicable)

Current Account Number:

[Proceed to SECTION A >](#)

## Section A – Account Holder 1 / Director 1 / Trustee 1

ALL FIELDS ARE MANDATORY.

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

Surname \_\_\_\_\_ Given Name(s) \_\_\_\_\_

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 \_\_\_\_\_

NB: If this account has multiple Trustees/Directors, trade confirmations will be sent to the Postal Address for Account Holder 1.

Date of Birth \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Occupation \_\_\_\_\_

If this account has an individual Account Holder/Director/Trustee proceed to [SECTION C >](#)

If this account has multiple Account Holders/Directors/Trustees proceed to [SECTION B >](#)

## Section B – Account Holder 2 / Director 2 / Trustee 2

ALL FIELDS ARE MANDATORY.

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

Surname \_\_\_\_\_ Given Name(s) \_\_\_\_\_

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 \_\_\_\_\_

NB: If this account has multiple Trustees/Directors, trade confirmations will be sent to the Postal Address for Account Holder 1.

Date of Birth \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Occupation \_\_\_\_\_

[Proceed to SECTION C >](#)

## Section C – Margin Lender

**This section is applicable for all Margin Lending Linked Accounts.**

Please supply the details of your Account with your Margin Lender.

Name of Margin Lender \_\_\_\_\_

Account Number  
(with Margin Lender): \_\_\_\_\_

Proceed to SECTION D >

## Section D – Company Account

**This section is applicable for Company Accounts and Trust Accounts where a Company is acting as Trustee.**

Please ensure the Director(s) details are supplied in Sections A and B.

Company Name \_\_\_\_\_

Company Address \_\_\_\_\_

Suburb/Town \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Your ACN is required to perform an ASIC check on the company to verify the Company Name and the Directors.

ACN --

If this account is not a Trust Account proceed to SECTION F >  
If this account is a Trust Account proceed to SECTION E >

## Section E – Account Designation

**This section is applicable for Trust Accounts. Please nominate the name of the Trust.**

If you are opening a Superannuation fund account, you would nominate the name of the superannuation fund here.  
For example 'WEST SUPER FUND A/C'.

If you are opening the account for a minor, you nominate the name of the minor in this section.  
For example 'EDGAR WEST A/C'.

If you are opening the account for any other registered Trust, please nominate the name of that Trust in this section.  
For example 'WEST FAMILY A/C'.

**Please note that CHES regulations state that the word 'Trust' is not included in the Designation.**

The designation must not be greater than 24 characters and must end in 'A/C' (Account).

If necessary, you may use abbreviations.

<  A/C >

Proceed to SECTION F >

## Section F – Notice and Electronic Confirmations (required for online trading)

By providing an email address you authorise CMC Markets Stockbroking to send you electronically:

- a confirmation of your trades; and
- notice as required by the CMC Markets Stockbroking Limited Terms and Conditions;
- other communications from CMC Markets.

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 paper copy. CMC Markets Stockbroking 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 G >

## Section G – Client Agreement & Declaration

**This Section is mandatory for all account holders.**

Before you complete this part of the Application Form, ensure you have received and read the Exchange Traded Options Product Disclosure Statement (PDS) issued by CMC Markets Stockbroking and the ASX explanatory booklet, 'Understanding Options Trading'. The PDS can be accessed via our website and the ASX explanatory booklet 'Understanding Options Trading' can be accessed at [asx.com.au](http://asx.com.au), or contact us and we will send them to you.

By signing below you confirm you have received, read and understood, and agree to be bound by the PDS, the CMC Markets Stockbroking Financial Services Guide and CMC Markets Stockbroking Terms and Conditions.

You agree to:

- authorise the Broker to reserve the financial products in the ASX Clear Subposition so that the financial products come under the control of ASX Clear and are subject to the security interest granted in favour of ASX Clear to secure performance by the relevant Clearing Participant of its obligations to ASX Clear under and in accordance with the ASX Clear Operating Rules;
- authorise any subsequent dealing (including, without limitation, any transfer) of the reserved Financial Products in accordance with the Rules and ASX Clear Operating Rules;
- acknowledge that the financial products will remain subject to that security interest for so long as those financial products remain reserved in the ASX Clear Subposition in accordance with ASX Clear Operating Rules; and
- authorise the Participant to take whatever other action is reasonably required by ASX Clear in accordance with the ASX Clear Rules and ASX Settlement Rules to give effect to that arrangement.

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	Account Holder 1	Account Holder 2
Client Signature(s)	_____	_____
Name(s) (printed)	_____	_____
Date	____ / ____ / 20____	____ / ____ / 20____