

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 Broker Services team on 1300 557 561.

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

Broker Services

GPO Box 5351
Sydney NSW 2001

1300 557 561
forms@cmcmarkets.com.au

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 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, 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 confirm that you are fully authorised to provide the personal details presented, which relate to you and, if applicable, other individuals linked to the entity. Furthermore, you are fully authorised to grant CMC Markets Stockbroking permission to carry out checks with the document issuer or official record holder via third party systems to verify your identity and the identity of those individuals.

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____