## **OPTIONS ACCOUNT** application form

■ add o	options trading to your existing trading account			
In order	to process your application we will need:			
	ur completed application form			
IMP	ORTANT			
If the	e account is to be opened in a Company Name, please supply the Director(s) personal information			
	ections A & B.			
If the	e account is a Trust Account, please supply the Trustee(s) personal information in Sections A & B.			
Thank y	ou for choosing CMC Markets Stockbroking.			
It you re	equire 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				

Securities Exchange), SSX (Sydney Stock Exchange) and Chi-X (Chi-X Australia).

**Broker Services** 

Current Account (if appl	icable)			
Current Account Number:				
				Proceed to SECTION
Section A – Account Ho	older 1 / Director 1 / Tr	ustee 1		
ALL FIELDS ARE MANDATOR	Y			
	Mr Mrs Mi			
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			
Section B – Account Ho	If this	ccount has an individual Account H account has multiple Account Hole ustee 2		
ALL FIELDS ARE MANDATOR				
	Mr Mrs Mi	· · · ·	1	
Surname		Given Name(s	)	
Residential Address (PO Box not allowed)	Culturale /Terrore		Ctata	Destands
Dantal Address	Suburb/Town		State	Postcode
Postal Address  Same as above	Suburb/Town		State	Postcode
Contact Numbers		Homo	State	rosicode
Contact Numbers		Home		
	Mobile	Fax		
	Email			
NB: If this account has multip	ole Trustees/Directors, trade o	confirmations will be sent to the Pos	stal Address for A	ccount 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 w	here 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						
Value ACN is a serviced to morform on ACIC about on the company to waif	the Common Name and the Directors						
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 <u>not</u> a Trust Account proceed to SECTION F >						
Section E – Account Designation	If this account is a Trust Account proceed to SECTION E >						
This section is applicable for Trust Accounts. Please nominate the name	e 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 CHESS regulations state that the word 'Trust' is not inc.  The designation must not be greater that 24 characters and must end in 'A  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. 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:

- (a) 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.
- (b) you confirm that you are 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:

- (a) 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;
- (b) authorise any subsequent dealing (including, without limitation, any transfer) of the reserved Financial Products in accordance with the Rules and ASX Clear Operating Rules;
- (c) 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
- (d) 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.

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