

## INSTITUTIONAL – AUTHORISED AGENT form

### Client Account Details

Client Account Number







ACN: \_\_\_\_\_

### Authorised Agents

Name of Company: \_\_\_\_\_

ACN: \_\_\_\_\_

Street Address

(PO Box not allowed)

Suburb/Town \_\_\_\_\_

State \_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Contact Numbers

Mobile \_\_\_\_\_

Home \_\_\_\_\_

Work \_\_\_\_\_

Email \_\_\_\_\_

To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.

Contact Name: \_\_\_\_\_

All employees of the company **listed above** are to be Authorised Agents

Yes

**OR** the individual employees listed below are to be Authorised Agents.

### Employee details

If you are appointing more than three (3) Authorised Agents, please complete a separate sheet.

#### EMPLOYEE 1

Title: \_\_\_\_\_

Surname: \_\_\_\_\_

Given Name(s): \_\_\_\_\_

Residential Address (PO Box not allowed): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Phone: \_\_\_\_\_

Email (required for emailed confirmations)

if an email address is not provided the agent will not receive trading confirmations:

Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access): \_\_\_\_\_

Signature: \_\_\_\_\_

#### EMPLOYEE 2

Title: \_\_\_\_\_

Surname: \_\_\_\_\_

Given Name(s): \_\_\_\_\_

Residential Address (PO Box not allowed): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Phone: \_\_\_\_\_

EEmail (required for emailed confirmations)

if an email address is not provided the agent will not receive trading confirmations:

Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access): \_\_\_\_\_

Signature: \_\_\_\_\_

#### EMPLOYEE 3

Title: \_\_\_\_\_

Surname: \_\_\_\_\_

Given Name(s): \_\_\_\_\_

Residential Address (PO Box not allowed): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Phone: \_\_\_\_\_

Email (required for emailed confirmations)

if an email address is not provided the agent will not receive trading confirmations:

Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access): \_\_\_\_\_

Signature: \_\_\_\_\_

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

Continued overleaf >

## Authorisation

This Authorised Agent (Authorised Person) Form is notification by the Client to CMC Markets Stockbroking Ltd ABN 69 081 002 851, AFSL No. 246381 ('CMC Markets') of the appointment of the above person(s) as Authorised Agent(s) of the Client pursuant to the Institutional Terms and Conditions. This appointment is effective from the date CMC Markets receives this authority.

The Client authorises the Authorised Agent(s) to operate all existing and future Accounts, in respect of which the Client is listed in CMC Markets' records as an account holder (whether solely or jointly), including but not limited to a, Client Trading Account, and to do and execute all acts, documents and things in connection with the Accounts, including, without limitation:

1. to make withdrawals to the Linked Bank Account;
2. to receive statements in respect of the Accounts;
3. to pay money, cheques, notes, drafts and other documents to credit the Accounts;
4. to operate and enter into agreements to operate the Accounts on behalf of the Client;
5. to open and close Accounts on behalf of the Client;
6. to acquire, buy, deal in, dispose of or sell any financial products, including, without limitation, shares, warrants, options and Low Exercise Price Options (LEPOs) (together the Financial Products);

7. to make and receive payment for any Financial Product transactions (including ASX Transactions) and attendant expenses by any means whatsoever and to give good receipts and discharges for the proceeds of sales of Financial Products (where applicable);
8. to execute all contracts and other documents necessary or proper for the custody, dealing and transfer of Financial Products and related matters;
9. to receive, hold and arrange custody of and deliver share certificates, holding statements and other evidence of title to Financial Products;
10. to execute all rights and privileges and perform all duties and obligations which may now or in future pertain to the Client as holder of Financial Products; and
11. to accept and act upon any instructions issued by the Authorised Agent as contemplated by this authority.

The authority of the Authorised Agent(s) expressly excludes any of the following in relation to the Accounts:

1. To provide instructions to CMC Markets to amend the Client's login and/or password;
2. To provide new or amend existing Linked Bank Account details.

## Acknowledgements and undertakings

The Client acknowledges that:

1. any operation of any of the Client's Accounts will be binding on the Client;
2. this authority in relation to the Client's Accounts will bind the Client until the Client expressly revokes it in writing and the revocation is received by CMC Markets;
3. CMC Markets may rely on any communication from the Authorised Agent without further enquiry if it is given, or apparently given, by the Authorised Agent;
4. the Client remains solely liable and responsible for all acts and omissions of the Authorised Agent notwithstanding the act or omission of the Authorised Agent was:
  - (a) outside the Client's actual or ostensible authority; or
  - (b) in error, fraudulent, negligent, in breach of the Authorised Agent's fiduciary duties or criminal;
5. the Client agrees not to make, and releases CMC Markets from any right the Client may have to make, any Claim against CMC Markets for any Loss incurred or suffered by the Client which may arise in connection with any act or omission by the Authorised Agent.

The Client undertakes to ratify whatever the Authorised Agent will lawfully do or cause to be done in accordance with this authority. Executed in accordance with section 127 of the *Corporations Act 2001* (Cth).

Date \_\_\_\_\_ / \_\_\_\_\_ / 20\_\_\_\_\_

**Individual 1 / Director 1**

**Individual 2 / Director 2**

Client Signature(s) \_\_\_\_\_

\_\_\_\_\_

Name(s) (printed) \_\_\_\_\_

\_\_\_\_\_

Title (if company)  
e.g. director, officer, secretary \_\_\_\_\_

\_\_\_\_\_

Would you like emailed confirmations for this account also sent to your Authorised Agent?  Yes  No

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