

## CASH ACCOUNT application form

### Details

## CMC Markets Cash Accounts

To conveniently settle your share purchases or sales, we recommend opening a CMC Markets Cash Account with Bank of Western Australia Limited (Bankwest).

### Advantages

Bankwest offer a competitive interest rate, calculated on the daily balance of your account and credited monthly. These transactions appear on your monthly statement.

A CMC Markets Cash Account is necessary if you are planning to trade via the CMC Markets Stockbroking internet site.

### How it works

Share purchases are debited from your account on the day of settlement and proceeds from share sales are credited to your account on the day of settlement.

There is no need to contact Bankwest – all enquiries about your account may be directed to CMC Markets Stockbroking, including requests to withdraw funds.

If we receive your instruction to withdraw funds before 11.00am AEST/AEDT, we can draw a cheque on the same day. If your request is received after 11.00am, a cheque will be drawn the next business day or funds deposited into one of your other bank accounts.

### Opening an account

To open a CMC Markets Cash Account, simply complete and send us the attached application form with identification (if not already provided).

If your 'Corporate Trust' or your 'Company' trading account was opened before 2011, please complete a full trading application form to accompany the cash Account form.

Please call **1300 360 071** or visit our website at [cmcmarkets.com.au/stockbroking](http://cmcmarkets.com.au/stockbroking) for our current interest rates or if you require any further information.

Please note that funds on deposit with Bankwest are not protected by the ASX National Guarantee Fund.

### 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.

**Driver's licence number**  
Director 1

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**Driver's licence number**  
Director 2

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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. You can also go to [cmcmarkets.com.au](http://cmcmarkets.com.au), click 'Open an account' and view 'ID requirements'.

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
- proof of age card issued by the RTA – MUST be current

#### Example: Driver's Licence (front and back)



**OR**

#### Section B (PROVIDE ONE OF THE FOLLOWING)

- Australian passport – current or expired within the past TWO years
- overseas passport - MUST be current
- 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, financial statement or council rate notice – issued within the last three months – showing your name and residential address. This can include one of the following:

- a financial statement (savings, credit, mortgage) issued by an Approved Deposit-taking Institution (ADI) in Australia. To obtain a full list of ADIs in Australia, visit [www.apra.gov.au/adi/ADIList.cfm](http://www.apra.gov.au/adi/ADIList.cfm).

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 in Australia, 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:

<http://www.comlaw.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**.

## Current Account (if applicable)

Current Account Number:

## Investments

Do you wish to have dividends paid into this Cash Account?

 Yes  No

**Individual and Joint Applicants** – please complete Section C

**Company Accounts** – please complete Section A and C

**Trust Accounts** – please complete Section B and C

## Section A – Company Accounts

Purpose of investment:

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Industry:

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Nature of Business Activity:

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Is the company operating as a charity?

 Yes  No

If yes, what is the purpose of the charity?

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### For Proprietary and Private Companies Only

Tick if the company's primary business activity is investing?

If ticked, does the entity derive more than 50% of its gross income from passive investment activities? (e.g. Rent, interest and dividends) or does more than 50% of the entity's assets produce or are held for the production of passive investment income?

 Yes  No

## Section B – Trust Accounts

Purpose of investment: \_\_\_\_\_

\_\_\_\_\_

If the trust is a charity, what is the purpose of the charity? \_\_\_\_\_

If the trust was not established in Australia, please provide the below:

Country where the trust established: \_\_\_\_\_

What is the objective of the trust? \_\_\_\_\_

Why are you opening an Australian Banking Account? \_\_\_\_\_

### For Corporate Trustees; (Proprietary and Private Companies Only)

Is the company operating as a charity?  Yes  No

If yes, what is the purpose of the charity? \_\_\_\_\_

Tick if the company's primary business activity is investing?

If ticked, does the entity derive more than 50% of its gross income from passive investment activities?  
(e.g. Rent, interest and dividends) or does more than 50% of the entity's assets produce or are held  
for the production of passive investment income?  Yes  No

**Client Authorisation – CMC Markets Cash Account – All Applications**

**By signing this Application Form, I/We agree, declare and/or certify to the following:**

1. I/We have received and read the Cash Account Product Information Statement (PIS) in Australia, including the Product Schedule provided by CMC Markets.
2. I/We have read the section of the Cash Account PIS containing the information under the heading 'Privacy'. I am/We are aware that until I/We inform CMC Markets otherwise, I/We will be taken to have consented to all the uses and disclosure of my/our personal information. This consent includes my/our agreement to Bankwest collecting, using, exchanging and transferring overseas, my/our personal information as described and set out in Bankwest's Privacy Policy.
3. I/we wish to open a CMC Markets Cash Account for the purpose of investing in equities and other products offered by CMC Markets.
4. I/We declare that the details as shown within the application forms are complete and correct and that I/We will advise CMC Markets if these details change.
5. I/We hereby authorise CMC Markets and any person nominated by CMC Markets to act as my/our agent and act in accordance with the authority given under the terms contained within the CMC Markets Cash Account PIS.
6. I/We disclose to Bankwest or its nominees through CMC Markets any of my/our personal information required to open and administer the Cash Account.
7. Bankwest will only act on requests authorised by CMC Markets or any other person nominated by CMC Markets. Any requests conducted and authorised by CMC Markets and any person(s) acting on behalf of CMC Markets will be treated as if it has been actioned and authorised by me/us personally. By appointing CMC Markets, I/We are giving CMC Markets and any person(s) acting on behalf of CMC Markets authority to transact and modify details on the Cash Account until I/We provide written notification amending or revoking the authority above.
8. I/We indemnify Bankwest against all losses, liabilities and costs incurred directly or indirectly:
  - a. As a result of the appointment of CMC Markets and its nominees; and
  - b. In connection with any action or payment CMC Markets and its nominees makes on my/our Cash Account.
9. I/We release Bankwest from all claims and liabilities in connection with any act or omission relating to the appointment of CMC Markets and its nominees.
10. CMC Markets authority takes effect on the date when the Cash Account is set up and continues until cancelled. I/We can cancel this authority by telling CMC Markets in writing which has the effect of closing my/our Cash Account.
11. Bankwest may cancel the appointment of CMC Markets by telling me/us in writing.
12. I/we agree to pay CMC Markets a fee ("Adviser Fee") of 1% per annum calculated daily on the closing balance, for services provided by CMC Markets to me/us in respect of the Cash Account. I/we further authorise CMC Markets to request Bankwest to deduct the Adviser Fee from my/our CMC Markets Cash Account and pay this directly to CMC Markets.

**Please tick for Individual/Joint Accounts**

- I/We certify that the Countries of Citizenship and tax residence information that I/We have provided is true and complete and that I/We will advise CMC Markets immediately if such information is to change.
- My/Our nominated broker has collected the required AML/CTF information for myself/us using the relevant identification form. The information contained within the relevant identification form is true and correct.

**Please tick for company accounts:**

- I/We certify that the entity's activities and classification that I/We have provided is true and complete and that I/We will advise CMC Markets immediately if such information is to change.
- My/Our Adviser has collected the required AML/CTF information for myself/us, the Entity and other individuals or officeholders of the Entity using the relevant identification forms. The information contained within the relevant identification forms is true and correct.
- Where the AML/CTF information collected by my/our Adviser relates to other individuals or officeholders related to the Entity, they have been provided with a copy of this declaration and the Bankwest Privacy Policy.

**Please tick for Trust accounts:**

- I/We certify that the entity's activities and classification that I/We have provided is true and complete and that I/We will advise CMC Markets immediately if such information is to change.
- My/Our nominated broker has collected the required AML/CTF information for myself/us, the trust and if applicable the corporate trustee and other individuals or officeholders of the corporate trustee using the relevant identification forms. The information contained within the relevant identification forms is true and correct
- Where the AML/CTF information collected by my/our nominated broker relates to other individuals or officeholders related to the corporate trustee, they have been provided with a copy of this declaration and the Bankwest Privacy Policy.

**Account Holder 1**

**Account Holder 2**

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

\_\_\_\_\_

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

\_\_\_\_\_

Title  
e.g. Director or Trustee \_\_\_\_\_

\_\_\_\_\_

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

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