

# STOCKBROKING INDIVIDUAL/JOINT MARGIN LENDING LINKED ACCOUNT application form

**Please use this form when you wish:**

- to open a trading account in your name
- to open a trading account in joint names, and
- to settle trades through a Margin Lender

**In order to process your application we will need:**

- your completed application form
- your completed letter of authority
- a certified copy of your identification for each account holder (as specified over the page) or your Driver's Licence Number to conduct an identification check.

**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](mailto:forms@cmcmarkets.com.au)**

**Introducing Adviser Use Only**

Brokerage Schedule:

Adviser Code:

**Broker Services**

GPO Box 5351  
Sydney NSW 2001

**1300 557 561**  
[forms@cmcmarkets.com.au](mailto:forms@cmcmarkets.com.au)

**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.

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.

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
- Australian passport – current or expired within the past TWO years
- overseas passport – MUST be current and show the signature page

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



**OR**

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

- current Medicare card
- 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.

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 Australia and New Zealand, 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: [www.comlaw.gov.au/Details/F2007L01000](http://www.comlaw.gov.au/Details/F2007L01000) (Section 1.2.1)

If you need help to meet these ID requirements, call our Broker Services Team on **1300 557 561**.

## Section A – Individual Applicant / Joint Applicant 1

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

Surname \_\_\_\_\_

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

Also known as \_\_\_\_\_

Residential Address \_\_\_\_\_

(PO Box not allowed)

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

State \_\_\_\_\_

Postcode \_\_\_\_\_

Postal Address \_\_\_\_\_

Same as above

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

State \_\_\_\_\_

Postcode \_\_\_\_\_

Contact Numbers

Mobile (recommended) \_\_\_\_\_

Home \_\_\_\_\_

Work \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

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

If this account has multiple applicants, trade confirmations will be sent to the postal address of the first applicant.

Gender  Male  Female

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

Place of Birth \_\_\_\_\_

Driver's licence/  
Passport number \_\_\_\_\_

Occupation \_\_\_\_\_

Tax File Number

--

OR Exemption Code \_\_\_\_\_

The collection of your Tax File Number is authorised by Australian privacy and taxation laws. Declining to provide your tax file number is not an offence however any applicable taxation will be charged at the highest rate.

We require some information about your citizenship and tax residency to comply with international tax regulations.

Are you a citizen of the United States of America?

Yes  No

If the answer above is 'Yes' please supply the relevant Tax Identification Number: \_\_\_\_\_

Are you an Australian citizen?

Yes  No

Are you a tax resident or citizen anywhere other than Australia or the US?

Yes  No

If you answered 'Yes', please complete the below table for each country you are a tax resident and/or citizen for:

Country	Citizen	Tax resident	Primary tax residency (select one)	Tax Identification Number (TIN)
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

INDIVIDUAL APPLICANTS ONLY:

Are you a sole trader?

Yes  No

If Yes please provide the following: ABN \_\_\_\_\_

Full Business Name (if any) \_\_\_\_\_

Principal place of business (if any) \_\_\_\_\_

If this is a JOINT ACCOUNT proceed to SECTION B >  
If this is an INDIVIDUAL ACCOUNT proceed to SECTION C >

## Section B – Joint Applicant 2

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

Surname \_\_\_\_\_

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

Also known as \_\_\_\_\_

Residential Address \_\_\_\_\_

(PO Box not allowed)

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

State \_\_\_\_\_

Postcode \_\_\_\_\_

Postal Address \_\_\_\_\_

Same as above

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

State \_\_\_\_\_

Postcode \_\_\_\_\_

Contact Numbers

Mobile (recommended) \_\_\_\_\_

Home \_\_\_\_\_

Work \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

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

If this account has multiple applicants, trade confirmations will be sent to the postal address of the first applicant.

Gender  Male  Female

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

Place of Birth \_\_\_\_\_

Driver's licence/  
Passport number \_\_\_\_\_

Occupation \_\_\_\_\_

Tax File Number -- OR Exemption Code \_\_\_\_\_

The collection of your Tax File Number is authorised by Australian privacy and taxation laws. Declining to provide your tax file number is not an offence however any applicable taxation will be charged at the highest rate.

We require some information about your citizenship and tax residency to comply with international tax regulations.

Are you a citizen of the United States of America?

Yes  No

If the answer above is 'Yes' please supply the relevant Tax Identification Number: \_\_\_\_\_

Are you an Australian citizen?

Yes  No

Are you a tax resident or citizen anywhere other than Australia or the US?

Yes  No

If you answered 'Yes', please complete the below table for each country you are a tax resident and/or citizen for:

Country	Citizen	Tax resident	Primary tax residency (select one)	Tax Identification Number (TIN)
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

**PARTNERSHIP APPLICANTS ONLY:**

Are you a partnership:  Yes  No

If Yes please provide the following: **ABN** \_\_\_\_\_

**Full Business Name** (if any) \_\_\_\_\_

**Principal place of business** (if any) \_\_\_\_\_

Proceed to SECTION C >

## Section C – Margin Lender

**This section is mandatory.**

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

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

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

HIN (with Margin Lender): \_\_\_\_\_

**Proceed to SECTION D >**

## Section D – Account Features

### Online Trading

Our website is simple to use, and can assist investors in managing their portfolio efficiently. Our website provides live prices for equities, fixed interest and derivative products and also comprehensive research on the top 300 companies. This trading account can be linked to your existing login code. This will enable you to keep a record of the trades and holdings which occur on your account.

**Not all Margin Lending Accounts are able to place orders online. This website can still be used to manage your portfolio and to research potential investments.**

If you have an **existing** login code to our website, please supply it here. If you do not have a login code, but wish to receive one, please complete the details below.

**Each account holder must have their own login code to the website.**

#### Account Holder 1

Existing login code (if applicable): \_\_\_\_\_

I do not have a login code, but wish to receive one.

#### Account Holder 2

Existing login code (if applicable): \_\_\_\_\_

I do not have a login code, but wish to receive one.

**By supplying your login code, or requesting a login code above, you agree that you have received, read and agree to the CMC Markets Stockbroking Terms and Conditions, Part B Online Trading.**

### Electronic Confirmations

By providing an email address you authorise CMC Markets Stockbroking to send you a confirmation of your trades electronically. 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 mailed hard copy. **As per ASIC Market Integrity Rules at least one of the emails provided below MUST belong to the applicant(s).**

Account Holder 1 Email Address: \_\_\_\_\_

Account Holder 2 Email Address: \_\_\_\_\_

**Proceed to SECTION E >**

## SECTION E – Disclosure of Information

From time to time, your Introducing Adviser may request your personal information, including your trading activity.

**By completing this application form, you provide consent for CMC Markets Stockbroking to disclose your personal information, including your trading activity, to your Introducing Adviser and their authorised representatives. For further information please contact CMC Markets Stockbroking or your Introducing Adviser.**

**Proceed to SECTION F >**

## SECTION F – Client Agreement & Declaration

This Section is mandatory for all account holders.

By signing this Application Form I/we agree to be bound by Part A and any other relevant Parts of the CMC Markets Stockbroking Terms and Conditions. I/We also acknowledge that I/we have read, received and understood the CMC Markets Stockbroking Financial Services Guide and the Financial Services Guide of my/our Introducing Adviser.

I/We acknowledge that my/our Introducing Adviser may charge brokerage on trading in securities which may differ to the brokerage rates published by CMC Markets Stockbroking from time to time; and CMC Markets Stockbroking may receive fees or pay rebates in relation to these securities transactions.

Account Holder 1

Account Holder 2

Client Signature(s)

\_\_\_\_\_

\_\_\_\_\_

Name(s) (printed)

\_\_\_\_\_

\_\_\_\_\_

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

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

**All account holders must complete the Margin Lending Linked Account Letter of Authority.**

If you would like to Authorise your Introducing Adviser or another person to act on your trading account, please complete and attach an **'Authorised Agent (Authorised Person) Form'**.

# STOCKBROKING MARGIN LENDING LINKED ACCOUNT LETTER OF AUTHORITY

To: \_\_\_\_\_  
(name of Margin Lender)

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

**Account Name:** \_\_\_\_\_  
(with Margin Lender)

HIN:           (with Margin Lender)

I/We hereby authorise the Margin Lender nominated above to:

1. settle equity transactions on my behalf with CMC Markets Stockbroking
2. pay any trailing commissions applicable to my account with CMC Markets Stockbroking. I am aware that these commissions are paid by the Margin Lender to CMC Markets Stockbroking directly at no additional cost to me
3. share any of my/our personal information or information relating to the above Margin Lending Account with CMC Markets Stockbroking.

## Account Holder 1

## Account Holder 2

Client Signature(s)	_____	_____
Name(s) (printed)	_____	_____
Title (if company) e.g. director, officer, secretary	_____	_____
Date	____ / ____ / 20____	____ / ____ / 20____

### Instructions

We need you to authorise your Margin Lender to deal with us.  
We will lodge it on your behalf with your nominated Margin Lender.