

**STOCKBROKING CHESS SPONSORED CLIENT OFF MARKET TRANSFER form** For non-Market Transactions

Please use BLOCK letters. Please have any changes initialled by all parties. Any use of correction fluid renders form invalid.

<b>1. Full Name of Security/Stock</b>			
<b>2. Full Description of Securities</b>	Class	If not fully paid, paid to	
<b>3. Quantity</b>	Words	Figures	
<b>4. Price</b>	<input type="checkbox"/> Use previous closing price	AUD\$	or specific price
<b>5. Full Name(s) of Seller(s) [Transferor(s)]</b>	Surname(s) / Company Name		
	Mr/Mrs/Ms/Miss	Given Name(s)	
	A/C Designation (if required)		
<b>6. Full Postal Address of Seller(s) [Transferor(s)]</b>			
			State
			Postcode
<b>7. PID or Broker Name</b>			
<b>8. SRN or HIN</b>			
<b>9. Client Account Number (Optional)</b>			
<b>10. Contact Details (Seller)</b> Work			
Mobile			
Email			
To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.			
<b>11. Consideration</b>	AUD\$	<b>12. Date of Purchase</b>	/ / 20
<b>13. Full Name(s) of Buyer(s) [Transferee(s)]</b>	Surname(s) / Company Name		
	Mr/Mrs/Ms/Miss	Given Name(s)	
	A/C Designation (if required)		
<b>14. Full Postal Address of Buyer(s) [Transferee(s)]</b>			
			State
			Postcode
<b>15. PID or Broker Name</b>			
<b>16. SRN or HIN</b>			
<b>17. Client Account Number (Optional)</b>			
<b>18. Contact Details (Buyer)</b> Work			
Mobile			
Email			
To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.			
I/We the registered holder(s) and undersigned Seller(s) for the above consideration do hereby transfer to the above name(s) hereinafter called the Buyer(s) the securities as specified above standing in my/our name(s) in the books of the above named Company, subject to the several conditions on which I/we held the same at the time of signing hereof and I/we the Buyer(s) do hereby agree to accept the said securities to the same conditions. I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which this transfer is signed.			
<b>19. Seller(s) [Transferor(s)] Sign Here &gt;</b>		<b>Company Use Only</b> (Please circle if relevant.)	
<input checked="" type="checkbox"/>		Sole Director	
<input checked="" type="checkbox"/>		Director/Secretary	
<input checked="" type="checkbox"/>		Director/Secretary	
<b>20. Date Signed (Seller)</b>		<b>Company Seal</b>	
<b>21. Buyer(s) [Transferee(s)] Sign Here &gt;</b>		Sole Director	
<input checked="" type="checkbox"/>		Director/Secretary	
<input checked="" type="checkbox"/>		Director/Secretary	
<b>22. Date Signed (Buyer)</b>			
<b>23. Identification (if not already provided). See overleaf.</b>			
<b>Your payment options</b>		<b>Email completed and signed form to email below.</b>	
<input type="checkbox"/> Direct Debit from your Cash Account		<input type="checkbox"/> Cheque	

Stockbroking services are provided by CMC Markets Stockbroking at the request of your Introducing Adviser. Neither CMC Markets Stockbroking nor your Introducing Adviser are representatives of each other.

CMC Markets Stockbroking is the trading name of CMC Markets Stockbroking Limited (ABN 69 081 002 851, AFSL No.246381), Participant of the ASX Group.

**Broker Services**

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Sydney NSW 2001

1300 557 561  
scrip@cmcmarkets.com.au

**Identification requirements**

overleaf >

## Identification

### 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 or council rate notice – issued within the last three months – showing your name and residential address. This can include one of the following:

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**.