

## MARGIN LENDING ACCOUNT Application Form

**Please use this form when you wish to open a CMC Markets Share Trading Account:**

- and you wish to settle your trades through a Margin Lender

**Please DO NOT use this form if you wish to open an account:**

- in your name
- in joint names
- a TRUST Account (including SMSF)
- as Trustee(s) for a minor

**There are separate forms for these account types.**

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

- your completed application form
- certified copy of your identification for each account holder (as specified over the page)
- certified copy of an excerpt of the Trust Deed which clearly states the name of the Trust, Business Name of the Trust, Type of Trust, Country where Trust was established and the Full Name and Address of each Trustee (if the account is a Trust Account)

### IMPORTANT

If the account is to be opened in a Company Name, please supply the Director(s) personal information in **Sections A and B**.

If the account is a Trust Account, please supply the Trustee(s) personal information in **Sections A and B**.

**IF YOU REQUIRE ASSISTANCE COMPLETING THIS FORM, PLEASE CONTACT YOUR REPRESENTATIVE ON THE NUMBER LISTED BELOW.**

**PLEASE MAIL YOUR COMPLETED APPLICATION FORM AND IDENTIFICATION TO THE ADDRESS LISTED BELOW.**

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Trading and execution by CMC Markets Stockbroking Ltd

ABN 69 081 002 851  
AFSL 246381  
Participant of the Australian Securities Exchange Group

To complete this form we require that you provide us with an appropriate form of identification.  
The ID requirements are: **a certified copy\* of ONE ITEM from Category A.**

## CATEGORY A

1. **a Driver's Licence:** a current licence or permit issued under law of a State or Territory or equivalent authority of a foreign country for the purpose of driving a vehicle that contains a photo of the person
2. **a Passport** issued by the Commonwealth. This must be **current** or **less than two years expired**
3. **a Passport or Similar Document Issued for International Travel** that:
  - contains a photo and signature of the person
  - is issued by a foreign government, United Nations or an agency of the United Nations AND
  - is written in English
4. **a Card Issued under a Law of a State or Territory** for the purpose of proving the person's age which contains a photo (e.g. a Proof of Age Card)

If you cannot supply one of the above, you can supply **a certified copy\* of: ONE item from Category B plus ONE item from Category C.**

## CATEGORY B

- a **Birth Certificate** or birth extract issued by a State or Territory; or
- a **Citizenship Certificate** issued by the Commonwealth; or
- a **Pension Card** issued by Centrelink that entitles the person in whose name the card is issued, to financial benefits. **Both sides** of the card must be copied.

**Plus, one item from Category C**

## CATEGORY C

- **a Notice:**
  - (a) issued to an individual by the Commonwealth, State or Territory within preceding 12 months
  - (b) containing the name of the individual and the residential address, AND
  - (c) recording provision of financial benefits to the individual  
**e.g. a Centrelink Notice**
- **a Notice:**
  - (a) issued to an individual by the Australian Taxation Office within preceding 12 months
  - (b) containing the name of the individual and the residential address, AND
  - (c) recording a debt payable to or by the individual in respect of taxation  
**e.g. a Notice of Assessment from the Australian Tax Office**
- **a Notice:**
  - (a) issued to an individual by a local government body or utilities provider within the preceding three months
  - (b) containing the name of the individual and the residential address, AND
  - (c) recording the provision of services by the local government body or utilities provider to that address or to that person  
**e.g. a Rates Notice from your Local Council**

**\*Certified copy** means a document that has been certified as a true copy of an original document by one of the following persons:

- a Justice of the Peace
- an officer with two or more continuous years of service with one or more financial institution
- a person enrolled on the roll of the Supreme Court of a State or Territory, or the High Court, as a legal practitioner
- an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees
- a police officer
- a judge
- a magistrate
- a CEO of a Commonwealth court
- a registrar or deputy registrar of a court
- an agent of Australia Post in charge of supplying postal services
- a permanent employee of Australia Post (for at least two years) employed in an office
- a finance company officer with two or more continuous years of service with one or more finance companies
- 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

**In order for your ID to be accepted, it must be certified and the certifier is to state that the document is a certified copy of an original and then provide their details, such as: name, address, phone number and under what category of "certifier" they fall. We cannot accept a fax of a certified copy.**

**IF YOU ARE UNABLE TO MEET THESE ID REQUIREMENTS PLEASE CONTACT YOUR REPRESENTATIVE.**

## SECTION A – Account Holder 1 / Director 1 / Trustee 1

NB: All fields are *mandatory*.

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

Surname

Given Name(s)

Residential Address

Suburb/Town

State

Postcode

Postal Address

Same as above

Suburb/Town

State

Postcode

Contact Numbers

Work

Home

Fax

Mobile

Email

Please note:

**If this account has multiple Account Holders, trade Confirmations will be sent to the Postal Address for Account Holder 1**

Date of Birth

\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Occupation

Please ensure that Identification has been supplied for Account Holder 1 / Director 1 / Trustee 1  
(ID requirements are specified at the beginning of this form)

If the account has an individual Account Holders/Directors/Trustees proceed to SECTION C >  
If the account has multiple Account Holders/Directors/Trustees proceed to SECTION B >

## SECTION B – Account Holder 2 / Director 2 / Trustee 2

NB: All fields are *mandatory*.

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

Surname

Given Name(s)

Residential Address

Suburb/Town

State

Postcode

Postal Address

Same as above

Suburb/Town

State

Postcode

Contact Numbers

Work

Home

Fax

Mobile

Email

Please note:

**If this account has multiple Account Holders, trade Confirmations will be sent to the Postal Address for Account Holder 1**

Date of Birth

\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Occupation

Please ensure that Identification has been supplied for Account Holder 2 / Director 2 / Trustee 2  
(ID requirements are specified at the beginning of this form)

Proceed to SECTION C >



## SECTION F – Account Features / Online Trading

The CMC Markets Stockbroking website offers many useful tools and features for today's investor. 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. Best of all, access to the website is **free** for all our clients. 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.

**NB: Margin Lending Accounts are unable to place orders online. The 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 tick the box 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

Yes

### Account Holder 2:

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

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

Yes

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

## Electronic Confirmations

By providing us with an email address you authorise us to send you a confirmation of your trades electronically. If you authorise us to send your confirmation notes via email, you will not receive a mailed hard copy.

Email address Account Holder 1 \_\_\_\_\_

Email address Account Holder 2 \_\_\_\_\_

Proceed to SECTION G >

## SECTION G – Client Agreement & Declaration

**NB: 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 Terms and Conditions of Dealing with CMC Markets Stockbroking. I/We also acknowledge that I/we have read, received and understood the Benwest Investment Services Pty Limited Financial Services Guide and the CMC Markets Stockbroking Financial Services Guide.

I/We acknowledge that Benwest Investment Services Pty Limited 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    /    /    \_\_\_\_\_

Date    /    /    \_\_\_\_\_

**NB: All Account Holders must complete the Letter of Authority which appears over the page.**

If you would like to Authorise another person to act on your account, please complete and attach an **“Authorised Agent Form”**.

**Letter of Authority**



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

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

**Account Name** \_\_\_\_\_ (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 trailing commissions applicable to my account to CMC Markets Stockbroking

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

Account Holder 1

Account Holder 2

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

**Instructions**

We need you to authorise your Margin Lender to deal with us. Please fill out this form and send it back to us with your Application. We will lodge it on your behalf with your nominated Margin Lender.



Execution and Settlement Agent: CMC Markets Stockbroking Limited (ABN 69 081 002 851), ("CMC Markets Stockbroking") (AFSL No. 246381) a Participant of the ASX Group. Neither CMC Markets Stockbroking nor Benwest Investment Services Pty Ltd (ABN 88 003 352 707) (AFSL No. 258832) are representatives of each other. For a copy of the Terms and Conditions of dealing with CMC Markets Stockbroking please contact us on 1300 360 071 or visit our website at [www.cmcmarkets.com.au](http://www.cmcmarkets.com.au).