

## INDIVIDUAL/JOINT ACCOUNT Application Form

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

- in your name, or
- in joint names.

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

- in a Company Name,
- a TRUST Account (including a SMSF) or,
- if you wish for us to settle your trades through a Margin Lender.

**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)

**IF YOU REQUIRE ASSISTANCE WHEN COMPLETING THIS FORM,  
PLEASE CONTACT YOUR INVESTSMART FINANCIAL SERVICES PTY LTD REPRESENTATIVE ON 1300 880 160.**

**InvestSmart Financial  
Services Pty Ltd**

Level 2, 1 Darling Island Road  
Pyrmont NSW 2009  
Australia

ABN 70 089 038 531  
AFSL 226435

**Postal address**

GPO Box 4477  
Sydney NSW 2001  
Australia

**Phone** 1300 880 160  
**Int. calls** +61 2 8596 4980  
**Fax** 1300 880 260  
**Int. calls** +61 2 8596 4976

**Email** [admin@investsmart.com.au](mailto:admin@investsmart.com.au)  
**Web** [www.investsmart.com.au](http://www.investsmart.com.au)

Trading and execution by CMC Markets Stockbroking Limited

ABN 69 081 002 851  
AFSL No. 246381  
Participant of the ASX 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 Drivers 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; or
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) contains the name of the individual and the residential address, AND
  - (c) records 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) contains the name of the individual and the residential address, AND
  - (c) records 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) contains the name of the individual and the residential address, AND
  - (c) records 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 InvestSmart Financial Services on 1300 880 160.**

## SECTION A - Individual Applicant / Joint Applicant

NB: a "\*" denotes a mandatory field.

Your account will not be processed if you do not complete the mandatory fields

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

Surname\*

Given Names\*

Residential Address\*

Suburb/Town

State

Postcode

Postal Address\*

Same as above

Suburb/Town

State

Postcode

Contact Numbers\*

Work

Home

Fax

Mobile

Email

**NB: If this account has multiple Applicants, trade Confirmations will be sent to the Postal Address of the first Applicant**

Date of Birth\*

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

Tax File Number:

-  -

If you do not provide your tax file number, any applicable taxation will be charged at the highest rate

or Exemption Code \_\_\_\_\_

Occupation\*

Please ensure that Identification has been supplied for the Individual Applicant/ Joint Applicant 1 (ID requirements are specified at the beginning of this form)

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

Please note: a "\*" denotes a mandatory field.

Your account will not be processed if you do not complete the mandatory fields

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

Surname\*

Given Names\*

Residential Address\*

Suburb/Town

State

Postcode

Postal Address\*

Same as above

Suburb/Town

State

Postcode

Contact Numbers\*

Work

Home

Fax

Mobile

Email

**NB: If this account has multiple Applicants, trade Confirmations will be sent to the Postal Address of the first Applicant**

Date of Birth\*

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

Tax File Number:

-  -

If you do not provide your tax file number, any applicable taxation will be charged at the highest rate

or Exemption Code \_\_\_\_\_

Occupation\*

Please ensure that Identification has been supplied for the Joint Applicant 2 (ID requirements are specified at the beginning of this form)

Proceed to SECTION C >

## SECTION C – Account Features

### Online Trading

The CMC Markets Stockbroking website offers many useful tools and features for today's investor. The website is simple to use, and can assist investors in managing their portfolio efficiently. The website provides live prices for equities, fixed interest and derivative products and also comprehensive research on the top 300 companies.

You have the ability to place your orders online without having to speak to a Dealer. The website utilises **"Straight Through Processing"**. This means that your order is sent directly to the market. Even if you choose to trade online, you still retain the ability to trade over the phone with CMC Markets Stockbroking experienced dealing team.

**If you want to trade online, you will be required to be CHESS sponsored with CMC Markets Stockbroking and to open a CMC Markets Share Trading Account. You have to receive your confirmation notes by e-mail. There is no charge for these services.**

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.

If you have an **existing** login code to the 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, Section D Online Trading.***

## SECTION C – Account Features (continued)

### Chess Sponsorship (required for online trading)

CHESS Sponsorship is a free service provided by the ASX to electronically register share holdings.

An explanation of the effect of CHESS Sponsorship is available on our website: [cmcmarkets.com.au/stockbroking](http://cmcmarkets.com.au/stockbroking)

Yes  **I/We wish to appoint CMC Markets Stockbroking as my/our CHESS Sponsor and agree to be bound by the CHESS Sponsorship Agreement contained in Part G of the Terms and Conditions.**

Yes  **I/We have CHESS sponsored Holdings with another broker, and would like to transfer them to this account with CMC Markets Stockbroking. I/We wish to appoint CMC Markets Stockbroking as my CHESS Sponsor and agree to be bound by the CHESS Sponsorship Agreement contained in PART G of the Terms and Conditions.**

**Please attach a completed "Transfer CHESS Holdings" form with this application.**

### Electronic Confirmations (required for online trading)

By providing CMC Markets Stockbroking with 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.

Account Holder 1 \_\_\_\_\_

Account Holder 2 \_\_\_\_\_

### Cash Account (required for online trading)

CMC Markets Stockbroking recommend opening a Cash Account for the settlement of your share transactions. This facility is provided by BankWest and managed by CMC Markets Stockbroking on your behalf. There are no account-keeping fees or government charges.

A copy of BankWest's Product Disclosure Statement (PDS) can be accessed through CMC Markets Stockbroking website or contact us and we will send you one.

By choosing to open an account, you confirm you have read and understood the PDS and provide us with the following authority:

*I/We authorise CMC Markets Stockbroking to open a Cash Account with BankWest in my/our name. I/We authorise CMC Markets Stockbroking (and/or my/our Authorised Agent) to transfer monies held in their Trust account to my/our Cash Account and to withdraw funds when required in accordance with the Terms and Conditions and my/our instructions.*

Yes  **Do you wish to open a CMC Markets Cash Account?**

If you are CHESS sponsored, you can elect to have your dividends from your holdings paid directly into this Cash Account.

Yes  **I would like my dividends paid into this CMC Markets Cash Account**

Please ensure you have provided each account holders TFN details in Sections A & B. If you do not supply your TFN's, any applicable taxation will be charged at the highest rate.

## SECTION C – Account Features (continued)

### Linked Bank Account

This section allows CMC Markets Stockbroking to link an external bank account to your Trading Account. This will allow you to:

- Transfer funds from your CMC Markets Cash Account directly to this external account
- Have sale proceeds credited directly to your external bank account

This authority does **not** allow CMC Markets Stockbroking to **debit** funds from this account. It only allows funds to be transferred **into** this account.

I/We authorise and request CMC Markets Stockbroking to arrange for funds to be credited from my/our CMC Markets Cash Account to the Financial Institution identified below. Further, I/We authorise and direct:

1. CMC Markets Stockbroking to verify the details of the Account below with the relevant Financial Institution; and
2. The Financial Institution to release information to CMC Markets Stockbroking for the purpose of verifying the Account details.

This authorisation is to remain in force until the Account Holder(s) expressly revokes it in writing and the revocation is received by the Broker.

Account Name \_\_\_\_\_

This account should be in the same name, or include the same name, as your CMC Markets Share Trading Account.

Name of Financial Institution or Bank \_\_\_\_\_

Branch Name \_\_\_\_\_

Bank State Branch (BSB) Number

 – 

Account Number

**Proceed to SECTION D >**

**SECTION D – 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 InvestSmart Financial Services Pty Ltd Financial Services Guide and the CMC Markets Stockbroking Financial Services Guide.

I/We acknowledge that InvestSmart Financial Services Pty Ltd 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 \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**OFFICE USE ONLY**

InvestSMART User ID

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



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