

STOCKBROKING AUTHORISED AGENT (AUTHORISED PERSON) form

Client Account Details

Client Name (for example, ABC Pty Ltd):

Account Designation (if applicable): <

Account >

IF EXISTING CLIENT:

Client Account Number (please provide):

Authorised Agents

(tick for yes) Your Introducing Adviser: _____ and its appointed representatives

OR

Other, including directors, trustees or partners (where applicable) or other third parties (specify below)

AGENT 1

Title:

Surname:

Given Name(s):

Residential Address (PO Box not allowed):

Date of Birth:

Phone:

Email (required for emailed confirmations)
if an email address is not provided the agent will not receive trading confirmations:

Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access):

Signature:

Date: / / 20

AGENT 2

Title:

Surname:

Given Name(s):

Residential Address (PO Box not allowed):

Date of Birth:

Phone:

EEmail (required for emailed confirmations)
if an email address is not provided the agent will not receive trading confirmations:

Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access):

Signature:

Date: / / 20

AGENT 3

Title:

Surname:

Given Name(s):

Residential Address (PO Box not allowed):

Date of Birth:

Phone:

Email (required for emailed confirmations)
if an email address is not provided the agent will not receive trading confirmations:

Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access):

Signature:

Date: / / 20

Identification (of Authorised Agent)

See page 3.

Please email your completed and signed form to forms@cmcmarkets.com.au

Continued overleaf >

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

GPO Box 5351
Sydney NSW 2001

1300 557 561
forms@cmcmarkets.com.au

Authorisation

This Authorised Agent (Authorised Person) Form is notification by the Client to CMC Markets Stockbroking of the appointment of the above person(s) as Authorised Agent(s) of the Client pursuant to the CMC Markets Stockbroking Terms and Conditions ('Terms and Conditions'). This appointment is effective from the date CMC Markets Stockbroking receives this authority and supersedes any previous authority provided by the Client to CMC Markets Stockbroking.

The Client authorises the Authorised Agent(s) to operate all existing and future Accounts, in respect of which the Client is listed in CMC Markets Stockbroking's records as an account holder (whether solely or jointly), including but not limited to a Bank Account, Cash Account and Client Account, as those terms are defined in the Terms and Conditions (together the Accounts), and to do and execute all acts, documents and things in connection with the Accounts, including, without limitation:

1. to make withdrawals;
2. to receive statements in respect of the Accounts;
3. to pay money, cheques, notes, drafts and other documents to credit the Accounts;
4. to operate and enter into agreements to operate the Accounts on behalf of the Client;
5. to open and close Accounts on behalf of the Client;
6. to acquire, buy, deal in, dispose of or sell any financial products, including, without limitation, shares, interests in managed investment schemes, warrants, options and Low Exercise Price Options (LEPOs) (together the Financial Products);

7. to make and receive payment for any Financial Product transactions (including ASX Transactions) and attendant expenses by any means whatsoever and to give good receipts and discharges for the proceeds of sales of Financial Products (where applicable);
8. to execute all contracts and other documents necessary or proper for the custody, dealing and transfer of Financial Products and related matters;
9. to receive, hold and arrange custody of and deliver share certificates, holding statements and other evidence of title to Financial Products;
10. to execute all rights and privileges and perform all duties and obligations which may now or in future pertain to the Client as holder of Financial Products; and
11. to accept and act upon any instructions issued by the Authorised Agent as contemplated by this authority.

The authority of the Authorised Agent(s) expressly excludes any of the following in relation to the Accounts:

1. to provide instructions to CMC Markets Stockbroking to amend the Client's login and/or password;
2. to provide new or amend existing external bank account details.

Acknowledgements and undertakings

The Client acknowledges that:

1. any operation of any of the Client's Accounts will be binding on the Client;
2. this authority in relation to the Client's Accounts will bind the Client until the Client expressly revokes it in writing and the revocation is received by the CMC Markets Stockbroking;
3. CMC Markets Stockbroking may rely on any communication from the Authorised Agent without further enquiry, if it is given, or apparently given, by the Authorised Agent;
4. the Client remains solely liable and responsible for all acts and omissions of the Authorised Agent notwithstanding the act or omission of the Authorised Agent was:
 - (a) outside the Client's actual or ostensible authority; or
 - (b) in error, fraudulent, negligent, in breach of the Authorised Agent's fiduciary duties or criminal;
5. the Client agrees not to make, and releases CMC Markets Stockbroking from any right the Client may have to make, any Claim against CMC Markets Stockbroking for any loss incurred or suffered by the Client which may arise in connection with any act or omission by the Authorised Agent. The Client undertakes to ratify whatever the Authorised Agent will lawfully do or cause to be done in accordance with this authority.

Date / / 20

Individual 1 / Director 1

Individual 2 / Director 2

Client Signature(s) _____

Name(s) (printed) _____

Title (if company)
e.g. director, officer, secretary _____

See overleaf for **Identification requirements** >

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 (Section 1.2.1)

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