

COMPANY CFD ACCOUNT application form

Client Account Details

Client Name (for example, ABC Pty Ltd): _____

If Existing Client:

Account Number (please provide):

Company Information

Full Company Name (as registered with ASIC): _____

Trading Name (if any): _____

Type of Company: Private Public

Address of Registered Office: _____

Address of Principal Place of Business: _____

Postal Address (if different): _____

State: _____ Postcode: _____

ACN/ABN: _____

AFSL (if any): _____

Email Address: _____

Tel: (compulsory) (business) _____

Mobile: _____ Fax: _____

Director Details

Director 1:

Surname: _____

Given Name(s): _____

Title: _____ Date of Birth: / /

Driver's Licence Number*: _____

Residential Address (PO Box not allowed): _____

State: _____ Postcode: _____

Email Address: _____

Tel: (compulsory) (home) _____ (work) _____

Mobile: _____ Fax: _____

Will you be acting on the account?
(i.e. An Authorised Agent) Yes No

Director 2:

Surname: _____

Given Name(s): _____

Title: _____ Date of Birth: / /

Driver's Licence Number*: _____

Residential Address (PO Box not allowed): _____

State: _____ Postcode: _____

Email Address: _____

Tel: (compulsory) (home) _____ (work) _____

Mobile: _____ Fax: _____

Will you be acting on the account?
(i.e. An Authorised Agent) Yes No

Please provide the full names of any additional Directors:

Name: _____

Name: _____

Name: _____

Name: _____

Details of Beneficial Owners

Please provide the full name and residential address of each beneficial owner. 'Beneficial Owner' means any individual who owns through one or more share holdings more than 25 per cent of the issued capital in the company.

Full Name: _____

Residential Address (PO Box not allowed): _____

State: _____ Postcode: _____

Residential Address (PO Box not allowed): _____

State: _____ Postcode: _____

Residential Address (PO Box not allowed): _____

State: _____ Postcode: _____

Identification

* We are required to verify your identity prior to opening your account. We can verify your identity by conducting an electronic verification check.

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 other than to conduct your electronic verification check.

If we notify you that your electronic verification check was unsuccessful, or you do not wish for 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. For details of documents you'll need to provide, go to cmcmarkets.com.au, click 'Open an account' and view 'Your ID requirements', or contact us.

Trading Experience (compulsory)

1. Do you understand the nature and risk of margined (or leveraged) products? Yes No
2. Are you aware that you may lose more than your initial investment? Yes No
3. Do you have experience in dealing in financial instruments? Yes No
If Yes, how much experience do you have?
More than 6 months experience
Less than 6 months experience
4. Have you familiarised yourself with CFD trading examples (available in the CMC Markets CFD Product Disclosure Statement?) Yes No

Software Password (compulsory)

For trading security you will be required to nominate a password between 3 and 10 characters long.

For added security, we advise you to change your password once you have logged onto the software for the first time.

Authorised Persons

Please complete the Authorised Agent (Authorised Person) Form to appoint persons to act on your behalf with regards to your trading account. 'Persons' may include directors, trustees or partners (where applicable) or other third parties.

Existing Clients – If you have previously appointed an Authorised Agent/s, their authority will extend to your trading account, unless you advise us in writing.

Linked Bank Account (optional)

If you wish, you can arrange to link an external bank account to your trading account. This will allow you to transfer funds from your trading account via email request after verifying your identity with the security details above.

Rivkin Securities or CMC Markets is not authorised to debit funds from this account at any time. Funds will only be transferred into this account from your trading account on your request.

Account Name: _____

Bank or Financial Institution: _____

Branch Name: _____

BSB Number: _____

Account Number: _____

Disclosure of information

From time to time, Rivkin Securities may request your personal information, including your trading activity.

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

Declarations

By signing this application and returning it to CMC Markets Asia Pacific Pty Ltd ('CMC Markets'), or submitting it electronically, you declare to CMC Markets that:

- you have read and understood CMC Markets' Contract For Difference ('CFD') Product Disclosure Statement ('PDS'), Financial Services Guide ('FSG'), Product Schedule, Rates Schedule, Dispute Handling process, Website and Electronic Trading Platform/s Terms and Conditions and Privacy Statement (together 'CMC Markets Documents');
- you acknowledge that the CMC Markets Documents constitute a contract between you and CMC Markets and this contract contains the terms of the agreement on which CMC Markets agrees to enter into CFDs with you.
- if this is an application that you have downloaded or received electronically, or that you are submitting electronically, you acknowledge that you have downloaded and read the electronic versions of the CMC Markets Documents or received and read the paper copies of the CMC Markets Documents.
- the information contained in this application is true and correct and you will notify CMC Markets in writing if the information contained in this application including your contact details materially changes or ceases to be correct.
- you acknowledge that you are authorised to trade all CMC Markets' products as outlined in the PDS.
- you agree that you have given consideration to your objectives, financial situation and needs, and the significant risks of loss which accompany the prospects of profit associated with dealing in CMC Markets' Products, and you have formed the opinion that dealing in CMC Markets' Products is suitable for your circumstances and purposes.
- you understand and agree that CMC Markets may vary, update or replace the CMC Markets Documents at any time by posting a notice and/or supplementary or new CMC Markets Documents on CMC Markets' website. We will notify you when we vary, update or replace the CMC Markets Documents if we are required to do so by law.
- you acknowledge that you were provided the opportunity to obtain independent legal and financial advice by CMC Markets, and you have obtained appropriate and sufficient advice concerning the CMC Markets Documents.
- you acknowledge that your personal information will be handled in accordance with CMC Markets' Privacy Statement and you consent to CMC Markets collecting, maintaining, using and disclosing personal information about you and provided by you or by another person.
- you have received, read and understood the Rivkin Securities Financial Services Guide.

Director Signatures

Director 1
Signature

X

Print Name: _____

Date: ____ / ____ /20 ____

Director 2
Signature

X

Print Name: _____

Date: ____ / ____ /20 ____

Additional Documentation Required:

Company Account

- Guarantee Agreement
- Authorised Agent (Authorised Person) Form

Introducing Adviser Use Only

Introducing Adviser: _____

Commission Schedule: _____

Adviser Code: _____

CFD AUTHORISED AGENT (AUTHORISED PERSON) form

Client Account Details

Client Name (for example, ABC Pty Ltd): _____

If Existing Client:

Account Number (please provide):

Authorised Agents

(tick for yes) Rivkin Securities and its appointed representatives

OR

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

AGENT 1

AGENT 2

AGENT 3

Title: _____

Title: _____

Title: _____

Surname: _____

Surname: _____

Surname: _____

Given Name(s): _____

Given Name(s): _____

Given Name(s): _____

Driver's Licence No.: _____

Driver's Licence No.: _____

Driver's Licence No.: _____

Residential Address (PO Box not allowed): _____

Residential Address (PO Box not allowed): _____

Residential Address (PO Box not allowed): _____

Date of Birth: / /

Date of Birth: / /

Date of Birth: / /

Phone: _____

Phone: _____

Phone: _____

Email: _____

Email: _____

Email: _____

Signature: _____

Signature: _____

Signature: _____

Identification (of Authorised Agent)

We are required to verify your identity prior to opening your account. We can verify your identity by conducting an electronic verification check.

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 other than to conduct your electronic verification check.

If we notify you that your electronic verification check was unsuccessful, or you do not wish for 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. For details of documents you'll need to provide, go to cmcmarkets.com.au, click 'Open an account' and view 'Your ID requirements', or contact us.

Authorisation

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

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' records as an account holder (whether solely or jointly), including but not limited to a CFD Account, Shield CFD Account and DMA CFD Account, as those terms are defined in the PDS (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 to the Linked Bank Account;
2. to receive statements in respect of the Accounts;
3. to operate and enter into agreements to operate the Accounts on behalf of the Client;

4. to acquire, buy, deal in, dispose of or sell any contracts for difference (CFDs);
5. 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 CFDs; and
6. 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 to amend the Client's log in and/or password;
2. to provide new or amend existing Linked 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;
3. CMC Markets 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 from any right the Client may have to make, any Claim against CMC Markets 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 / Director 1

Individual / Director 2

Client Signature(s) _____

Client Signature(s) _____

Title (if company) _____

e.g. director, secretary,
officer

Title (if company) _____

e.g. director, secretary,
officer