

STOCKBROKING INDIVIDUAL/JOINT ACCOUNT application form

Please use this form when you wish to open a trading account:

- in your name, or
- in joint names

Please DO NOT use this form if you wish:

- to open a trading account in a Company Name,
- to open a TRUST Account (including a SMSF), or
- 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
- a certified copy of your identification for each account holder (as specified over the page) or your Driver's Licence Number to conduct an identification check.

If you require assistance when completing this form, please contact Rivkin Securities on 1300 748 546.

Please mail your completed account form to the address below.

Introducing Adviser Use Only

Brokerage Schedule:

Adviser Code:

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 notify us when you submit this form.

Driver's licence number
Account holder 1

Driver's licence number
Account holder 2

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**.

Section A (PROVIDE ONE OF THE FOLLOWING)

- driver's licence (front and back) – MUST be current
- proof of age card issued by the RTA – MUST be current

OR

Section B (PROVIDE ONE OF THE FOLLOWING)

- passport – current or expired within the past TWO years
- 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, financial statement or council rate notice – issued within the last six months – showing your name and residential address. This can include one of the following:

- a financial statement (savings, credit, mortgage) issued by an Approved Deposit-taking Institution (ADI) in Australia. To obtain a full list of ADIs in Australia, visit www.apra.gov.au/adi/ADIList.cfm. 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

Certifying your documents

In order for your certification to be accepted, it must be signed 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. We cannot accept a fax of a certified copy. 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 chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of a court
6. a Justice of the Peace
7. a notary public (for the purposes of the *Statutory Declaration Regulations 1993*)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*)
13. a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the *Statutory Declaration Regulations 1993*)
14. 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
15. 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.

If you need help to meet these ID requirements, call Rivkin Securities on **1300 748 546**.

Section A – Individual Applicant / Joint Applicant 1

NB All fields are mandatory.

Mr / Mrs / Miss / Ms / Dr / Other: _____

Surname _____ Given Name(s) _____

Residential Address

(PO Box not allowed)

Suburb/Town _____ State _____ Postcode _____

Postal Address

Same as above

Suburb/Town _____ State _____ Postcode _____

Contact Numbers

Work _____ Home _____

Mobile _____ Fax _____

Email _____

To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.

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 - - OR Exemption Code _____

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

Occupation _____

Individual Applicants only: _____

Are you a sole trader? Yes No

If Yes please provide the following: **ABN** _____ **Full Business Name (if any)** _____

Principal place of business (if any) _____

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

NB All fields are mandatory.

Mr / Mrs / Miss / Ms / Dr / Other: _____

Surname _____ Given Name(s) _____

Residential Address

Suburb/Town _____ State _____ Postcode _____

Postal Address

Suburb/Town _____ State _____ Postcode _____

Contact Numbers

Work _____ Home _____

Mobile _____ Fax _____

Email _____

To comply with the ASIC Market Integrity Rules the first email address must be that of the account holder.

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 - - OR Exemption Code _____

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

Occupation _____

Proceed to **SECTION C >**

Section C – Account Features

Online Trading

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.

You have the ability to place your orders online without having to speak to a Dealer. Our 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 our 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 Rivkin Securities Cash Account. You have to receive your confirmation notes by email. There is no charge for these services.

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 our website, please supply it here. If you do not have a login code, but wish to receive one, please complete the details 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.

Account Holder 2

Existing login code (if applicable): _____

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

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

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

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 CMC Markets Stockbroking Terms and Conditions.

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 CMC Markets Stockbroking Terms and Conditions.

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

Electronic Confirmations (required for online trading)

By providing 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 Email Address: _____

Account Holder 2 Email Address: _____

Proceed to next page >

Cash Account (required for online trading)

We recommend opening a Rivkin Securities 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 our 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 Rivkin Securities 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 Rivkin Securities Cash Account and to withdraw funds when required in accordance with the CMC Markets Stockbroking Terms and Conditions and my/our instructions.

I wish to open a Rivkin Securities Cash Account.

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

I would like my dividends paid into this Rivkin Securities Cash Account.

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

Linked Bank Account

This section allows us to link an external bank account to your trading account. This will allow you to:

- Transfer funds from your Rivkin Securities 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 or Rivkin Securities 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 trading account or Rivkin Securities 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 CMC Markets Stockbroking.

Account Name

_____ This account should be in the same name as your trading account.

Name of Financial Institution or Bank

Branch Name

Bank State Branch (BSB) Number

-

Account Number

Proceed to SECTION D >

SECTION D – 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 Stockbroking to disclose your personal information, including your trading activity, to Rivkin Securities and their authorised representatives. For further information please contact CMC Markets Stockbroking or Rivkin Securities.

Proceed to SECTION E >

SECTION E – 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 CMC Markets Stockbroking Terms and Conditions. I/we also acknowledge that I/we have read, received and understood the Rivkin Securities Terms and Conditions, the CMC Markets Stockbroking Financial Services Guide and the Rivkin Securities Financial Services Guide.

I/We acknowledge that Rivkin Securities 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 ____ / ____ /20 ____	Date ____ / ____ /20 ____

If you would like to Authorise Rivkin Securities or another person to act on your trading account, please complete and attach an **'Authorised Agent (Authorised Person) Form'**.

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

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) Rivkin Securities 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): _____

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

Signature: _____

AGENT 2

Title: _____

Surname: _____

Given Name(s): _____

Residential Address (PO Box not allowed): _____

Date of Birth: _____

Phone: _____

Email (required for emailed confirmations): _____

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

Signature: _____

AGENT 3

Title: _____

Surname: _____

Given Name(s): _____

Residential Address (PO Box not allowed): _____

Date of Birth: _____

Phone: _____

Email (required for emailed confirmations): _____

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

Signature: _____

Identification (of Authorised Agent)

See final page.

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) _____

Client Signature(s) _____

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

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

Would you like emailed confirmations for this account
also sent to your Authorised Agent?

Yes No

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 notify us when you submit this form.

Driver's licence number
Agent 1

Driver's licence number
Agent 2

Driver's licence number
Agent 3

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**.

Section A (PROVIDE ONE OF THE FOLLOWING)

- driver's licence (front and back) - MUST be current
- proof of age card issued by the RTA - MUST be current

OR

Section B (PROVIDE ONE OF THE FOLLOWING)

- passport - current or expired within the past TWO years
- 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, financial statement or council rate notice - issued within the last six months - showing your name and residential address. This can include one of the following:

- a financial statement (savings, credit, mortgage) issued by an Approved Deposit-taking Institution (ADI) in Australia. To obtain a full list of ADIs in Australia, visit www.apra.gov.au/adi/ADIList. **cfm.** 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

Certifying your documents

In order for your certification to be accepted, it must be signed 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. We cannot accept a fax of a certified copy. 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 chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of a court
6. a Justice of the Peace
7. a notary public (for the purposes of the *Statutory Declaration Regulations 1993*)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*)
13. a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the *Statutory Declaration Regulations 1993*)
14. 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
15. 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.

If you need help to meet these ID requirements, call Rivkin Securities on **1300 748 546**.