

STOCKBROKING INDIVIDUAL/JOINT MARGIN LENDING LINKED ACCOUNT application form

Please use this form when you wish:

- to open a trading account in your name
- to open a trading account in joint names, and
- to settle trades through a Margin Lender

Please DO NOT use this form if you wish to open a trading account:

- in your name
- in joint names
- in a Company Name,
- as a TRUST Account (including a 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
- 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

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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 _____

(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

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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 – Margin Lender

NB This section is mandatory.

Please supply the details of your Account with your Margin Lender.

Name of Margin Lender: _____

Account Number
(with Margin Lender): _____

Proceed to SECTION D >

Section D – 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. 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 Not all Margin Lending Accounts are able to place orders online. This 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 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.

Electronic Confirmations

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 SECTION E >

SECTION E – 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 F >

SECTION F – 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____

NB All account holders must complete the Margin Lending Linked Account Letter of Authority.

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.