

## AUTHORISED AGENT Form

### Current Account Details

CMC Markets Share Trading Account Number:

     

**Account Holder 1**

Director 1

**Account Holder 2**

Director 2 / Company Secretary

**Account Designation**

(If Applicable)

<

Account>

**ACN**

(If Company)

### Authorised Agent

Title

Surname

Given Names

Address details

Phone

Email

Required for e-mailed confirmations

Login Code:

If the Authorised Agent has an existing login code include it here to arrange linked access.

### Identification - IF NOT ALREADY PROVIDED

Each Account Holder including Authorised Agent must provide us with identification. Your ID MUST be CERTIFIED\*.

Please provide us with **either**:

**ONE Item from CATEGORY A\***

(e.g. Copy of current Driver's Licence)

OR

**ONE item from CATEGORY B\* AND ONE item from CATEGORY C\***

(e.g. Copy of both sides of a Senior's Card AND  
Copy of a Notice of Assessment from the ATO)

\*Please see over for full list of accepted identification

**Head office**

Suite 2, Level 2  
37-39 The Corso  
Manly NSW 2095  
Australia

**Postal address**

GPO Box 4477  
Sydney NSW 2001  
Australia

**Phone** 1300 880 160  
**Int. calls** +61 2 8966 9511  
**Fax** 1300 880 260  
**Int. calls** +61 2 8966 9522

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

If this contract does not correspond with your records, please call InvestSMART Financial Services Pty Ltd within 48 hours of receipt. Execution and Settlement Agent: CMC Markets Stockbroking Ltd (ACN 081 002 851 AFSL No. 246381). Participant of the Australian Securities Exchange Limited Group. Transacted on the ASX Limited.

ABN 70 089 038 531  
AFSL 226435

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 the CMC Markets Stockbroking Client Services team on 1300 360 071.**

## Authorisation

The Client notifies CMC Markets Stockbroking (the Broker) that the Client appoints the above person as an Authorised Agent of the Client pursuant to the published terms and conditions of the Broker (General Terms). This appointment is effective from the date the Broker receives this authority. (Terms defined in the General Terms have the same meaning in this authority.)

The Client authorises the Authorised Agent to operate all existing and future Bank Accounts, Cash Accounts and Client Accounts in respect of which the Client is listed in the Broker's records as an account holder (whether solely or jointly) (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 with, 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;
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 exercise 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.

## 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 Broker;
3. the Broker 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 the Broker from any right the Client may have to make, any Claim against the Broker 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: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

### Account Holder 1 / Director 1

Client Signature(s) \_\_\_\_\_

Title (if company) \_\_\_\_\_

E.g. Director, Officer, Secretary

### Account Holder 2 / Director 2

Client Signature(s) \_\_\_\_\_

Title (if company) \_\_\_\_\_

E.g. Director, Officer, Secretary

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

Yes  No

\_\_\_\_\_  
Authorised Agent Signature

\_\_\_\_\_  
Authorised Agent Print Name

