BOQ

BOQ Trading powered by CMC Markets.

Stockbroking

AUTHORISED AGENT (AUTHORISED PERSON) form

Client Account Details

Client Name (for example, ABC Pty Ltd):

Account Designation (if applicable): <

Account >

If Existing Client:

BOQ Trading Account Number (please provide):

Authorised Agents

Include directors, trustees or partners (where applicable) or other third parties. If you are appointing more than three (3) Authorised Agents, please complete a separate sheet.

AGENT 1	AGENT 2	AGENT 3
Title:	Title:	Title:
Surname:	Surname:	Surname:
Given Name(s):	Given Name(s):	Given Name(s):
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 (required for emailed confirmations):	Email (required for emailed confirmations):	Email (required for emailed confirmations):
Login Code (if the Authorised Agent has an existing login code include it here to arrange linked access) 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) 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) if an email address is not provided the agent will not receive trading confirmations:
Signature:	Signature:	Signature:

Identification (of Authorised Agent)

See final page.

BOQ Trading

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Sydney NSW 2000

boq.com.au

GPO Box 4435
Sydney NSW 2001

Client Services 1800 748 977
helpdesk@boqtrading.com.au

BOQ_S11_008_0613

Authorisation

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

The Client authorises the Authorised Agent(s) to operate all existing and future Accounts, in respect of which the Client is listed in the Broker'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 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.

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

1. to provide instructions to the Broker to amend the Client's log in 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 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: _____ / _____ /20 _____

Individual / Director 1		**Individual / Director 2**	
Client Signature(s)	_____	Client Signature(s)	_____
Title (if company) e.g. director, officer, secretary	_____	Title (if company) e.g. director, officer, secretary	_____

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 non-electronic verification requirements below.

Driver's licence number

Applicant 1

Driver's licence number

Applicant 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. You can also go to **cmcmarkets.com.au**, click 'Open an account' and view 'ID requirements'.

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**.

IMPORTANT: 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
- 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 three 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 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**, (mobile phone numbers are not acceptable) **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 an Australian Court
3. a magistrate of an Australian Court
4. a chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of an Australian Court
6. an Australian registered Justice of the Peace or Commissioner for Declarations
7. a notary public (for the purposes of the *Statutory Declaration Regulations 1993*)
8. a police officer with an Australian State or Territory Australian Police Force
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. 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*)
12. 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.

For a full list of acceptable certifiers refer to:

http://ww/comlaw.gova.au/Details/F2007L01000 (Section 1.2.1)

If you need help to meet these ID requirements, call our Client Services Team on **1800 748 977**.

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