

TRANSFER CHESSE HOLDINGS Form

Existing Sponsoring Broker Details

In order to transfer your holdings from your existing broker we require the following information

Name of Existing Broker _____

HIN with Existing Broker _____

Holdings to be Transferred - PLEASE TICK

If "HIN and All Holdings" is selected, your HIN will be transferred from your existing broker as long as you do not have an active HIN with CMC Markets Stockbroking. If you transfer selected holdings only, the company whose securities you are transferring will treat you as a new holder. It may be necessary to re-lodge your current instructions such as DRP or banking details with the share registries.

HIN and All Holdings
 Selected Holdings (please list)

ASX Code	Security Name	Quantity
_____	_____	_____
_____	_____	_____
_____	_____	_____

Current Account Details

PLEASE ENSURE THESE DETAILS MATCH YOUR EXISTING SPONSORSHIP DETAILS

CMC Markets Share Trading Account Number:

Account Holder 1 _____
Company Name

Account Holder 2 _____
(If Applicable)

Account Designation < _____ Account >
(If Applicable)

ACN _____
(If Company)

Residential Address _____
Cannot be a PO Box

Suburb/Town _____ State _____ Postcode _____

Postal Address _____
 Same as above

Suburb/Town _____ State _____ Postcode _____

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

Signatures

Date ____ / ____ / ____	Account Holder 1	Account Holder 2
Client Signature(s)	_____	_____
Name(s) (printed)	_____	_____
Title (if company) <small>eg. director, officer, secretary</small>	_____	_____

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 see our website at cmcmarkets.com.au/stockbroking
Alternatively, you can call our Client Services Team on 1300 360 071.**