



## Company Proprietary Checklist

### Application

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- Primary Adviser – The Primary Adviser set on the Trading Account and reports.
- Authority Level for Users: Assign select members of the Licensee to automatically link with the new account. Two access levels are available: Trading or View Only.
- Brokerage – The default brokerage rate on the new Account once. This can be changed, if required, after the application is finalised.
- Settlement Option - the settlement type available to your Licensee  
*(please refer to the separate Settlement Information Sheet)*
- Account holder(s) platform access – Trading or view only. At your request we can provide your end clients with trading or view only access to the Advantage trading platform.

#### Before you start the application:

Ensure that the ASIC records are up-to-date and accurate, including registration status, directors' names and dates of birth, company addresses, and ultimate beneficial owners. The information that is imported from ASIC into the online application is verified and will not be editable.

### Company ACN Verification

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To start the Company application, verification of the ACN is required.

Provide the below details of one of the directors listed with ASIC:

*(Enter the details of a director that will be an account owner)*

- First name
- Last name
- Date of birth (DOB)
- Australian Company Number (ACN)

Once the ACN is verified a list of directors will appear for selection. Select a **minimum of two directors** to be listed on the application as account owners.

All account owners will need to sign the application form and future account related requests.

*(If there is only one director, no selection is required)*





## Company Director Details

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- Title/Salutation
- Name (as per the customer's ID) - First name, Middle name (required when ID documents include a middle name), and Last name **[Imported from ASIC]**
- Date of birth (DOB) **[Imported from ASIC]**
- Occupation & Industry
- Mobile phone number
- Email address (communications purposes) - The email must belong to the customer. For additional account holders in a Joint application, each account owner should have a unique email address.
- Residential Address **[Imported from ASIC with an option to amend to the client's current address as per the ID]**
- Driver's licence and/or passport (**Primary** form of ID documentation for KYC Purposes). Medicare cards are acceptable as a second level of verification in addition to a passport and/or licence.

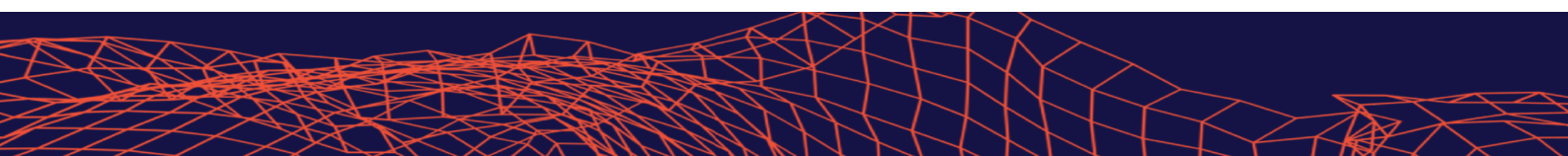
*Repeat for subsequent Company Directors.*

## Account Holder Platform Access

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If the option to link the new account to an existing client platform login is selected, the system will search the database for a matching director's name and display any existing clients from the Adviser group in the dropdown list.

If no matching first and last name are found, no options will appear in the dropdown. In this case, the response to the "existing username" question must be changed to "No."





## Company Details

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- Australian Company Number (ACN) **[Imported from ASIC]**
- Full name of Company **[Imported from ASIC]**
- Type of company (Proprietary or Public) **[Imported from ASIC]**
- Industry and Nature of business
- Company Tax File Number (optional)
- FATCA/CRS: Tax residency outside of Australia, if so, the TIN is mandatory
- FATCA entity Classification: (US, FFI or NFFE):
  - US Entity: Tax ID Number is mandatory
  - Foreign Financial Institution (FFI): Global intermediary identification number (GIIN) is mandatory
  - Non-Financial Foreign Entity (NFFE): Passive or Active

*(Passive income is more than 50% of the company gross income is from investment activities, Active income is less than 50% of the company gross income is from investment activities)*

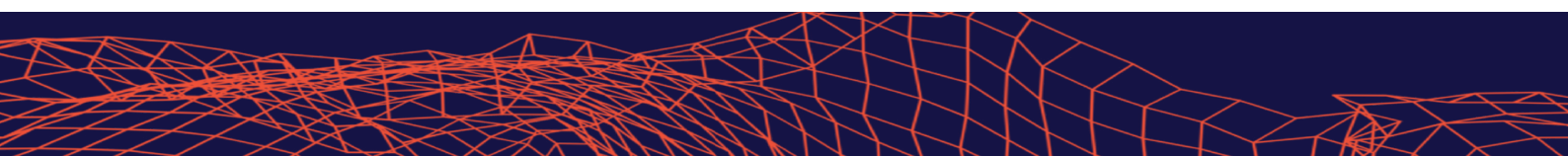
*If FATCA Classification is NFFE – Passive, Ultimate Beneficial Owners (UBO)/Controllers of the Company will need to provide Tax Residency status (see below UBO section)*

- Company Addresses: Registered Office and Principal Place of Business **[Imported from ASIC]**

## Ultimate Beneficial Owner(s)/Member(s)

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The Ultimate Beneficial Owner(s)/Member(s) that are imported into the application are derived from a Beneficial Owner query, allowing the system to access the records of the natural person(s) who hold(s) ownership in the company.



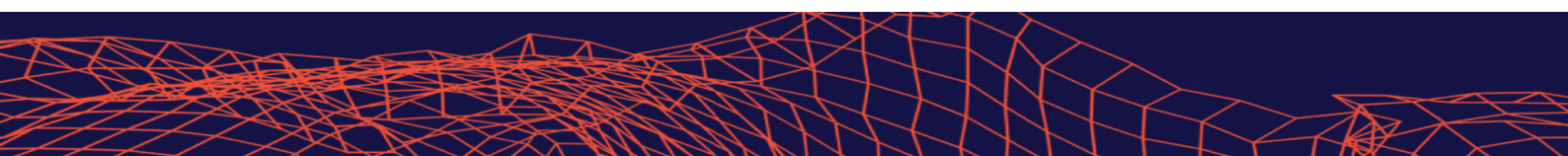


There are three scenarios that can result from the query:

- Beneficially Held Shares
- Non-Beneficially Held Shares
- No UBO identified
- Beneficially Held Shares: UBO details (Name, DOB & Address) are imported from ASIC into the application automatically where the query has identified users that have beneficial ownership in the company.
  - Name (as per the customer's ID) - First name, Middle name (required when ID documents include a middle name) Last name **[Imported from ASIC]**
  - Date of birth (DOB) **[Imported from ASIC]**
  - Residential address **[Imported from ASIC with an option to amend to the client's current address as per the ID]**
  - Occupation & Industry
  - Driver's license number and/or passport number (**Primary** form of ID documentation for KYC Purposes). *Medicare cards are acceptable as a second level of verification in addition to a passport and/or licence*

*If the Company's FATCA Classification is "NFFE - Passive", then the below information is required for each of the Ultimate Beneficial Owners:*

- FATCA/CRS: Citizenship & tax residency outside of Australia (includes separate United States of America confirmation as part of FATCA)





- Non-Beneficially Held Shares: The name of the Beneficial Owner that is recorded in ASIC as holding **non-beneficially held** (NBH) shares is imported into the application. The below details are required for the natural person that the shares are beneficially on behalf of:
  - Name (as per the customer's ID) - First name, Middle name (required when ID documents include a middle name) Last name
  - Date of birth (DOB)
  - Residential address
  - Occupation & Industry
  - Driver's license number and/or passport number (**Primary** form of ID documentation for KYC Purposes). *Medicare cards are acceptable as a second level of verification in addition to a passport and/or licence*

*If the Company's FATCA Classification is "NFFE - Passive", then the below information is required for each of the Ultimate Beneficial Owners:*

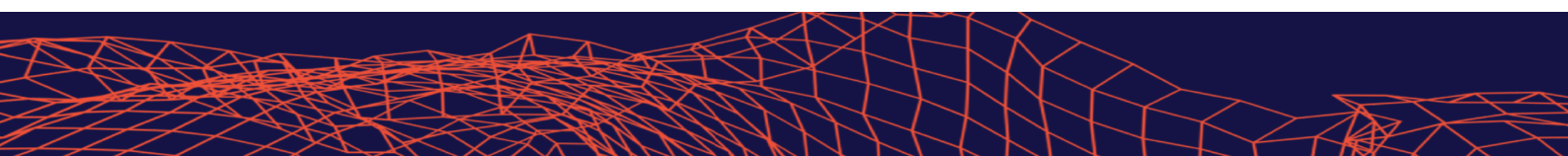
- FATCA/CRS: Citizenship & tax residency outside of Australia (includes separate United States of America confirmation as part of FATCA)

*Note: Additional documents will be required in this scenario to verify the ultimate beneficial ownership, please refer to the Additional Documents section.*

- No UBO identified: No natural persons information is imported into the application as no records of beneficial (or non-beneficial) ownership exists within ASIC. The below details are required for the Controller of the company.

**The Controller** = *the person(s) who has the power to make decision about the entity's finances and operations.*

- Name (as per the customer's ID) - First name, Middle name (required when ID documents include a middle name) Last name
- Date of birth (DOB)
- Residential address
- Occupation & Industry





- Driver's license number and/or passport number (Primary form of ID documentation for KYC Purposes). *Medicare cards are acceptable as a second level of verification in addition to a passport and/or licence*

*If the Company's FATCA Classification is "NFFE - Passive", then the below information is required for each of the Ultimate Beneficial Owners:*

- FATCA/CRS: Citizenship & tax residency outside of Australia (includes separate United States of America confirmation as part of FATCA)

*Note: Additional documents will be required in this scenario to verify the ultimate beneficial ownership, please refer to the Additional Documents section.*

## Further Questions about the Company

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- Purpose of investment
- Is the company a Charity? If yes, the below is mandatory:
  - Purpose of the charity
  - Must be registered with the Australian Charities and Not-for-profits Commission (ACNC)
- Is primary business activity investing? If yes, does the entity derive more than 50% of its gross income from passive investment activities? (e.g. Rent, interest and dividends) [Y/N]

## Account Details

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- Postal Address (If different to a director's residential address or company addresses, this will also be used for CHESS correspondence)
- CHESS Address – can be different to Postal/Company addresses, if you want to select a different CHESS address from what is entered on the application, please amend it directly on the application package with initial(s) and date(s) by all account owners.
- Cash dividend instructions for the linked settlement account (defaulted to Yes)





## Declarations and Agreements

*(required for each declaration section, including the Authorised Agent agreement)*

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- Print full name of all account owners (pre-populated on online applications)
- Signature of all account owners – used to verify against the certified ID provided
- Date of signatures (DD/MM/YY). **We can only accept applications signed within the last three months**

## Additional Documents

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- Certified copies of ID for each account owner (and ultimate beneficial owners). **ID documents must be certified within the last 12 months (excluding separate address proof document, see below point)**
- Middle Names – If the certified ID does not show the full middle name, a secondary ID must be provided that shows the full middle name
- Address Mismatches – If the certified ID provided does not show current residential address as listed on the application, a utility bill must be provided that shows the current residential address, the utility bill must be in the client's name and be **certified and issued within the last 3 months**
- Ultimate Beneficial Owners documents – If the company shares are non-beneficially held or there are no UBO's imported from ASIC, a certified copy of the relevant verification document permitted for the entity type must be provided. Acceptable documents include a certified copy of the trust deed or a signed letter on a letterhead, from an accountant or solicitor **dated within the last 12 months**.

