



Corporate Trustee for SMSF

Application Checklist



Application

- Primary Adviser – adviser access and trading enabled. This is also the Primary Adviser noted on the Trading Account and reports.
- Authority Level for Users - this is important to ensure the required individuals are linked with the relevant level of access – trading/view only.
- Brokerage – drives the default brokerage on the Trading Account once activated. This can be amended once the Trading Account is activated.
- Settlement Option - the settlement type available to your Licensee
- Account holder(s) require username – this will create a username for the client/s to log into the Platform and trading access will be granted

Company Director Details **(Minimum 2 directors to apply for account for company with 2 or more directors)**

- Title/Salutation
- Name - First name, Middle name (optional), and Surname
- Date of Birth (DOB)
- Occupation
- CRS (Are you a Citizen/tax resident of USA or any other country)
- Phone number
- Email address (Contact purposes)
- Residential Address
- Driver's license number and/or passport number

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NOTE: All applying directors must sign all parts of the application. For all other directors that did not apply, they are not required to sign however we must still collect:

- **Name – First name, Middle Name (Optional), Surname**
- **Date of Birth (DOB)**
- **Residential Address**

Company Details

- Full name of Company (as registered with ASIC)
- Type of company
- Nature of business
- ACN
- FATCA entity Classification (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)
- Company Address
- Member(s)/Ultimate Beneficial Owner(s) (as listed with ASIC)

For beneficial owners who are not listed as directors, we require further information

- Title/salutation
- Name - First name, surname (Middle name optional)
- DOB
- Residential address
- CRS (Are you a Citizen/tax resident of USA or any other country)
- Driver's license number and/or passport number

NOTE: If the company has no Member/Ultimate Beneficial Owner who owns 25% or more, we require the above information for the controller of the company (any individual who makes key strategic or financial decisions for the company e.g., CEO or Managing Director)

Superfund Details

- Full name of Superfund (as registered with the ATO)
- ABN
- Member(s)/Ultimate Beneficial Owner(s) (as shown on deed)
If member/UBO is not one of the applying directors, we require further:
 - Title/salutation
 - Name - First name, surname (Middle name optional)
 - DOB
 - Residential address
 - CRS (Are you a Citizen/tax resident of USA or any other country)
 - Driver's license number and/or passport number

Account Details

- Postal Address (Address client is willing to receive CHESS correspondence)
- CHESS Address – can be different to Postal address, please amend directly on the application with initial and date by client/s.
- Electronic confirmations (at least one email must belong to the client to receive original contact notes)
- External Bank Account details
 - Name of account (in exact name as registered SMSF)
 - BSB
 - Account Number
- Dividend instructions to be indicated

Settlement Method

- *NEW* Macquarie Cash Management Account (CMA)
 - **Signed CMA agreement (As part of app)**

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- *EXISTING* Macquarie Cash Management Account (CMA)
 - Signed manual Direct Debit/Credit (DD/DC) Request form with CMA details
 - Signed Macquarie Third Party Authority Form (TPA)
(The form can be sent directly to transact@macquarie.com)
- ANZ V2+Broking
 - Signed V2+Broking agreement (As part of app)
- ANZ V2PLUS
 - Signed Direct Debit Agreement (As part of app)
 - Signed ANZ V2 PLUS Data Share Authority Form (if not already linked)
- DDH
 - Signed Direct Debit Agreement (As part of app)
 - Confirm the CMT linking code
- Existing Margin Loan
 - Letter of Authority Form
- Direct Debit/Direct Credit (DD/DC)
 - Signed Direct Debit Agreement (As part of app)

Declarations and Agreements **(All applicant directors must sign)**

- Print full name of director(s)
- Signature of director(s) - verify against certified ID provided
- Date of signature(s)

Additional Documents

- A copy of SMSF Trust Deed (Including: Front page, any pages including trustees and members names, execution)

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- If client(s) failed EV, we require original certified copy of primary/photo ID or for CMC, can accept a copy of ID with consent to run EV manually
- **Certified ID - ANZ intermediary - ID can be copy of certified ID emailed**
CMC intermediary – ID must be posted unless there is an executed AML Agency Agreement.
- Signed Authorised Agent Form Agreement
- Middle Names – If Certified ID does not show full middle name, secondary ID must be provided showing full middle name
- Address Mismatches – If Certified ID provided does not show current residential address, utility bill must be provided showing current residential address

Notes

Refer to the Guidance Matrix: Providing access to a POA/EPOA/Guardian on a CMC Markets Trading Account