



Corporate Trustee for Trust

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 more than 2 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) ***required when director is Ultimate Beneficial Owner**
- 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

- 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
- Copy of ID

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)

Trust Details (As per trust deed)

- Full name of Trust
- Type of Trust
- Nature of Trust
- Trust settled amount

If it is 10,000 or more, we require the following from the Settlor

- Name - First name, surname (Middle name optional)
- DOB
- Residential Address
- Driver's license number and/or passport number
- Copy of ID

If it is less than 10,000, we just require the name of the Settlor

- FATCA Entity Classification
- Ultimate Beneficial Owners (Appointer)

If Ultimate Beneficial Owner/ appointer is not trustee, we require further

- Name
- DOB
- Residential Address
- Driver's License number and/or passport number
- Copy of ID
- Details of beneficiaries (individual beneficiaries names, otherwise beneficiary class type)

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

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- 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 Trust)
 - BSB
 - Account Number
- Dividend instructions to be indicated

Settlement Method

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

Guarantee Agreement **(All applicant directors must sign)**

- | | |
|----------------------------|------------------------|
| • Full name of director(s) | • Full name of witness |
| • Address of director(s) | • Address of witness |
| • Signature of director(s) | • Signature of witness |
| • Date of signature(s) | • Date of signature(s) |

NOTE: witness must be a third party (cannot be settlor/appointer/beneficiary of any involved trust, or a UBO), cannot be a family member or reside at the same address, must be signed on the same day by both parties

Additional Documents

- An original certified copy of Trust Deed (Front page, Schedules, Execution)
- 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

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- 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