



Individual / Joint

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

Individual Details

- Title/Salutation
- Name - First name, Middle name (optional), and Surname
- Date of Birth (DOB)
- Occupation
- CRS (Are you a Citizen/tax resident of any other country)
- Phone number
- Email address (Contact purposes)
- Residential Address
- 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 (must match trading name. If joint, must be in name of BOTH individuals)
 - BSB
 - Account Number
- Dividend instructions to be provided

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

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- Letter of Authority Form
- Direct Debit/Direct Credit (DD/DC)
 - Signed Direct Debit Agreement (As part of app)

PLEASE NOTE: If adding a joint bank account, we require the signatures from both account holders and a copy of the ID for the other joint account holder for signature verification purposes.

Declarations and Agreements

- Print Full name of individual(s)
- Signature of individual(s) – verify against certified ID provided
- Date of signature(s)

Additional Documents/Requirements

- 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