



Individual 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

Individual Trustee Details **(All trustees need to apply)**

- 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

INDIVIDUAL TRUSTEE FOR TRUST

Application Checklist

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
- 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 CHESSE correspondence)
- CHESSE Address – can be different to Postal address, please amend directly on the application with initial and date by client/s.

INDIVIDUAL TRUSTEE FOR TRUST

Application Checklist

- 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)

INDIVIDUAL TRUSTEE FOR TRUST

Application Checklist

Declarations and Agreements

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

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
- 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