

# CMA Beneficial Owner Identification form

Macquarie Bank Limited ABN 46 008 583 542 AFSL and Australian Credit Licence 237502. Macquarie Investment Management Limited ABN 66 002 867 003 AFSL 237492 RSEL L0001281

## 1.1 Guide to complete this form

This form is for Companies, Associations, and Trusts.

This form is to be completed by Account Holders of Cash Hub Accounts.

You are required to complete all components of this form, from sections 1.2 to 1.8 and return it to [transact@macquarie.com](mailto:transact@macquarie.com) with the required certified documents. Once you have returned these documents, we may ask you to provide further information (if required).

- Section 1.2: General Entity Information
- Section 1.3: Beneficial Owner Determination
- Section 1.4: Tax Residency
- Section 1.5: Acceptable Entity Verification Documents to determine Beneficial Owner(s)
- Section 1.6: Acceptable Beneficial Owner Identification Documents
- Section 1.7: Certification of Identification and Verification Documents
- Section 1.8: Declaration by customer and details of person that has completed this form

More information about the certification of identification documents is available in Section 1.7. Changes of CMA will be replicated on the linked Cash Management Accelerator Account.

## 1.2 General Entity Information

Please confirm the entity type, and provide the following information:

Company, please provide details of directors below.

Incorporated Association

Unregulated Trust

Account number:

Account name:

Please confirm the details of the Company Directors. Please note this should **only** be completed if the entity is a Company.

### Director 1

Full Name:

### Director 2

Full Name:

### Director 3

Full Name:

Date of birth (DD/MM/YYYY):

Date of birth (DD/MM/YYYY):

Date of birth (DD/MM/YYYY):

Residential Address:

Residential Address:

Residential Address:

This box if there are more Company Directors and provide details on a separate sheet.

## 1.3 Beneficial Owner Determination

A **beneficial owner** is an individual who ultimately directly or indirectly owns or controls an entity. Please see below guidance for determining beneficial owners for different entity types. If shares are held non-beneficially then we may require further documentation.

Entity type	Guidance for determining beneficial owners
Company	<ul style="list-style-type: none"><li>• Shareholders who are individuals and own 25% or more directly or indirectly of the entity. If 25% or more of the shares are held non-beneficially i.e. 25% or more shares are held on behalf of another entity, such as a trust, please follow the beneficial owner determination of that entity</li><li>• If there is no individual who owns 25% or more of the company, then the beneficial owners are any individuals with control of the company as per the following priority order which may include:<ul style="list-style-type: none"><li>– Those entitled (either directly or indirectly) to exercise 25% or more of the voting rights, including power of veto</li><li>– Directors, If there are no such individuals with control, then</li><li>– A senior managing official who makes or participates in making decisions that affect a substantial part or whole of the business or financial standing of the entity e.g. CEO, CFO, COO, Directors or equivalent</li></ul></li></ul>
Unregulated Trust	<b>Discretionary or Testamentary Trust</b> <ul style="list-style-type: none"><li>• Individual trustee:<ul style="list-style-type: none"><li>– Named individual</li></ul></li><li>• Corporate trustee:<ul style="list-style-type: none"><li>– Individual shareholder(s) with 25% or more of issued share capital; and</li><li>– Individual(s) responsible for decision making with respect of the trust, including for example, Directors of the Corporate Trustee.</li></ul></li><li>• Appointor (if applicable)</li><li>• Protector(s) (if applicable)</li></ul>
Unregulated Trust	<b>Unit Trust</b> <ul style="list-style-type: none"><li>• Any individual who directly or indirectly holds 25% or more of the units in the trust. Similar to company entities, ownership needs to be traced through to direct or indirect shareholders in the unitholder</li><li>• If there are no individuals who directly or indirectly hold 25% or more of the units in the trust, then the beneficial owners are any individuals who directly or indirectly control the unit trust. The controllers of the trust include:<ul style="list-style-type: none"><li>– Individual trustee:<ul style="list-style-type: none"><li>– Named individual</li></ul></li><li>– Corporate trustee<ul style="list-style-type: none"><li>– Individual shareholder(s) with 25% or more of issued share capital; and</li><li>– Individual(s) responsible for decision making with respect of the trust, including for example, Directors of the Corporate Trustee.</li></ul></li></ul></li><li>• Appointor (if applicable)</li><li>• Protector(s) (if applicable)</li></ul>
Incorporated Association	Individuals with control of the association such as: <ul style="list-style-type: none"><li>• Those entitled (either directly or indirectly) to exercise 25% or more of the voting rights, including a power of veto</li><li>• Chairman/President</li><li>• Treasurer</li><li>• Secretary</li></ul>

### 1.3 Beneficial Owner Determination (Continue)

Please provide the following information for all beneficial owners of the entity:

<b>Beneficial Owner 1</b>	<b>Beneficial Owner 2</b>	<b>Beneficial Owner 3</b>
Full Name:	Full Name:	Full Name:
Date of birth (DD/MM/YYYY):	Date of birth (DD/MM/YYYY):	Date of birth (DD/MM/YYYY):
Residential Address:	Residential Address:	Residential Address:

Please tick this box if there are more Beneficial Owners and provide details on a separate sheet.

### 1.4 Tax Residency

Tax Residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For example, in the US tax residency can be as a result of citizenship or residency.

A Tax Identification Number (TIN) is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Reason A: The country of tax residency does not issue TINs to tax residents (Only valid for Bahrain, The Bahamas, Bermuda, British Virgin Islands, Cayman Islands, Monaco, Montserrat, Turks and Caicos Islands, United Arab Emirates)

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed (Only valid for Japan)

For more countries of tax residencies, please attach a separate signed addendum.

PLEASE NOTE: Effective 1 January 2021, a US TIN must be provided if you are a US Specified Person. This is a mandatory requirement and a TIN exemption reason will no longer be accepted.

<b>Beneficial Owner 1</b>	<b>Beneficial Owner 2</b>	<b>Beneficial Owner 3</b>
Full Name:	Full Name:	Full Name:
Are you an Australian Resident for tax purposes?	Are you an Australian Resident for tax purposes?	Are you an Australian Resident for tax purposes?
Yes	Yes	Yes
No	No	No
Are you a tax resident of another country?	Are you a tax resident of another country?	Are you a tax resident of another country?
Yes <sup>1</sup> , please provide information below	Yes <sup>1</sup> , please provide information below	Yes <sup>1</sup> , please provide information below
No	No	No
<b>Country 1:</b>	<b>Country 1:</b>	<b>Country 1:</b>
TIN (if no TIN, list reason A, B or C):	TIN (if no TIN, list reason A, B or C):	TIN (if no TIN, list reason A, B or C):
If reason B, please provide further details:	If reason B, please provide further details:	If reason B, please provide further details:

Please tick this box if any Beneficial Owner is a tax resident of other countries in addition to the countries mentioned above and provide their tax residency details on a separate sheet.

1. If you are a tax resident of a country other than Australia, please provide your tax identification number (TIN) or equivalent below. If you are a tax resident of more than one other country, please list all relevant countries below. Please note, if you have provided foreign identification documents and have indicated that you are not a foreign tax resident of another country, you may be required to provide additional documentation.

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## 1.5 Acceptable Entity Verification Documents to determine Beneficial Owner(s)

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Acceptable entity verification identification documents must be provided for the entity listed in section 1.2 of this form. Please ensure these documents are provided together with this completed form

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Company	<p>Provide <b>one</b> of the following documents to allow verification of the beneficial owners of the Company:</p> <ul style="list-style-type: none"><li>• An ASIC extract for the Company</li></ul> <p>If 25% or more of the shares are held non-beneficially on behalf of a trust, please provide the trust verification documents and the identification documents for the beneficial owners of the trust.</p>
Unregulated Trust	<p>Provide <b>one</b> of the following documents to allow verification of the beneficial owners of the Trust:</p> <ul style="list-style-type: none"><li>• An original, certified copy or certified extract of the trust deed</li><li>• Signed letter on letterhead dated within the last 12 months from a solicitor or qualified accountant that confirms the name of the Trust, Trustee(s), Settlor, Beneficiaries, Class(es) of beneficiaries and the beneficial owners</li></ul> <p>Additional sources for testamentary trusts:</p> <ul style="list-style-type: none"><li>• Certified copy of the Will</li><li>• Certified copy of the probate with the Will annexed</li><li>• Copy of the digital grant of probate with the Will annexed signed by the solicitor as a true representation of the digital court record</li><li>• Certified copy of the letters of administration with the Will annexed.</li></ul>
Incorporated Association	<p>Provide the following document to allow verification of the beneficial owners of the Association:</p> <ul style="list-style-type: none"><li>• An original, certified copy or certified extract of minutes of meeting of the association</li></ul>

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## 1.6 Acceptable Beneficial Owner Identification Documents

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Acceptable identification documents are required for all beneficial owners (or controlling parties) that have been listed in section 1.3. The documents you provide need to exactly match the details you have provided in this form. Please ensure these documents are provided together with this completed form.

For document-based identity verification, you will have to provide **certified copies** of the following:

- One primary identification document; or
- Two secondary identification documents: one document from Category A **AND** one from Category B.

### Primary identification documents

- Australian Drivers Licence or Learner Permit (current)
- Australian Passport (current or expired within the last 2 years)
- International Passport (current)
- International Driver's licence issued by a foreign government body (current)
- Proof of Age Card/NSW Photo Card (current and government-issued)
- National identity card issued by a foreign government that contains a signature or unique identifier of the individual

### Secondary identification documents (must display your name and residential address)

#### Category A

- Australian Birth Certificate
- Australian Citizen Certificate
- Commonwealth Seniors Health Card or Health Care Card issued by Services Australia
- Centrelink pension card (current and must show current address)

#### Category B

- Utility Bill (less than 3 months old)
- Council Rates Notice (less than 3 months old)
- Taxation Notice (less than 12 months old)
- Centrelink Statement (less than 12 months old)

For a comprehensive list go to <https://www.macquarie.com.au/everyday-banking/macquarie-client-identity-verification.html>

## 1.7 Certification of Identification and Verification Documents

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In order for documents in Section 1.5 and 1.6 to meet the certification requirements, the document must clearly be certified as a true copy of the original by an appropriate person. Each certified copy document must be certified separately and must show clearly:

- the date of certification is to be no more than 2 years old at the time of acceptance by Macquarie,
- the words “I certify that this is a true copy of the original document which I have sighted”,
- the wet-ink signature of the certifying officer,
- the full name of the certifying officer,
- the provider/registration number (if applicable) of the certifying officer, and
- profession/qualification of the certifying officer and years of service (if applicable), legibly printed below the signature.

**Document certifiers must be independent from the customer (i.e. not a related party such as beneficial owner, signatory to an account, director, trustee, beneficiary, witness of a trust deed/ partnership agreement etc). Certification is only required on the first page of the document. The certifier needs to sight all pages of the document in order to ensure that they have reviewed the whole document.**

- Persons who can certify documents include:
  - Legal practitioners
  - Justice of the Peace
  - Notary public
  - a police officer
  - a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
  - an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more financial institutions.
- For a comprehensive list go to <https://www.macquarie.com.au/everyday-banking/macquarie-client-identity-verification.html>

## 1.8 Declaration by customer and details of person that has completed this form

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By ticking this box, I:

- agree that, to the best of my/knowledge, all information given in this form (including any attached documents) is true, accurate and complete and that I will promptly notify Macquarie and provide any changes to the information provided by me;
- agree to provide Macquarie with any information that is reasonably required in order for Macquarie to meet its obligations under any laws (including AML/CTF laws) and/or its internal policies and procedures;
- agree that I am duly authorised to submit this form on behalf of the entity; and assure Macquarie that I have obtained each beneficial owner’s consent and/or authorisation:
  - to provide or share their personal information with Macquarie; and
  - for Macquarie to handle their personal information in accordance with its **Privacy Statement**.

Full name of the person who has completed this form and provided this declaration:

Capacity in which this person has completed this form and provided this declaration (e.g. director/ company secretary of the entity etc)

Date on which this declaration is made:

### Sign

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**Wet signature**, please provide a copy of your Driver’s Licence or passport. **OR**

**Electronic signature** - please provide copy of the Certificate of Completion.

Visit Personal Help Centre to and search ‘Electronic Signature’ to view our approved list of electronic signature providers.

### Submit

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 Email to [transact@macquarie.com](mailto:transact@macquarie.com)

### Need Help?

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For more information, please visit **Personal Help Centre**.