

Dealer registration – Non AFSL

Use this form to register a company that does not hold an Australian Financial Services Licence (AFSL) number with Macquarie to distribute Macquarie Cash Management Accounts and Macquarie Cash Management Accelerator Accounts. For Macquarie Wrap Products, please use the *Dealer registration – AFSL form*.

In addition to this form, to access Macquarie Online services, you, any financial services professionals and employees will be required to complete the *Support staff registration form*.

1. Dealer information

 All fields marked with a red asterisk (*) are mandatory.

Dealer/Company name:

Dealer code (if known):

Type of company

SMSF Administrator

Mortgage Broking Practice

Legal Practice

Accounting Firm

Margin Lender

*Australian Business Number (ABN):

*ACN:

Name of ABN holder (if different from company name):

Does your company hold an Australian Financial Services Licence (AFSL) number?

No

Yes, please use the *Macquarie Dealer registration – AFSL form*

*A. Company contact information

Please tick if the dealer already exists on file

If the dealer is existing on file, please update the contact information for the company below.

Registered address (cannot be a PO Box):

Suburb:

State:

Postcode:

Country:

AUSTRALIA

1. Dealer information (Continued)

Postal address (if different from office address):

Suburb:

State:

Postcode:

Country:

AUSTRALIA

Office phone number:

Office email address:

Principal Place of business:

Suburb:

State:

Postcode:

Country:

AUSTRALIA

*B. Details of main contact

Name of contact person:

Mobile number:

Email address:

2. Entity details

 **All fields are mandatory.**

How long has the firm been operating?

Business model/client base: (eg, Is the client base diversified or focussed on one/few segments (ie retail clients being advised into SMSFs)?)

Key management: Name of Directors, COO, Head of Compliance?

Compliance structure: What internal oversight is there of the service provided to your clients. Are these services subjected to internal/external audits etc. Please provide name and contact details of appointed Compliance representative.

Audit reports: Copies of 2 most recent audit reports over the business and its internal controls.

Attach audit report 1

Attach audit report 2

Please outline any issues over the last 5 years (regulatory notices etc)

2. Entity details (Continued)

What vetting is undertaken over clients/third parties etc: Description of any internal processes in place to determine the potential risk a prospective client poses to the organisation

Macquarie's ability to contact end clients: Please confirm that the entity understands that, from time to time, Macquarie may contact the end client to verify transactions and other information.

Yes No

Memberships: Is the entity a member of a registered body (ie CA etc) and if so, provide their membership number (inc. for all Directors)

PI insurance: Does the entity hold PI insurance. Please provide a copy of the current PI insurance certificate.

Yes No

Attached PI insurance certificate

3. Company GST information

This section is only applicable if you are eligible to receive payments.

We require your GST information for purposes of adviser service fees or other payments.

Is the Company registered for GST?

Yes No

Is the Company a resident of Australia for income tax purposes?

Yes No, please provide country of residence for income tax purposes:

4. Dealer level access

Allows the Representatives specified in this section to view information about the Company and Macquarie accounts that have been established and/or administered by the Company's representatives and if applicable, receive statements regarding payments to the Company.

Before accessing Adviser Online you should carefully read the Adviser Online Terms and Conditions available on our website at macquarie.com.au/site/adviser-online/terms-and-conditions.html.

These Terms and Conditions must be read together with the **Macquarie Banking Terms and Conditions (Banking T&Cs)**.

The Banking T&Cs govern your use of Adviser Online including any payments you make or instructions you submit on behalf of your Clients in relation to Cash Hub Accounts. You can also use Adviser Online to access other Macquarie Products and submit investment instructions for them - in doing so, we will communicate instructions to and from the relevant product issuer.

By signing this section, you confirm that:

- you agree to the **Adviser Online Terms and Conditions** and the **Macquarie Banking Terms and Conditions**
- you agree to our Privacy Policy available on macquarie.com.au and for your identity to be verified electronically using government sources and information held by our credit reporting agencies, such as Equifax.
Go to macquarie.com.au/everyday-banking/macquarie-client-identity-verification to learn more.

 All fields marked with a red asterisk (*) are mandatory.

5. Dealer level access (Continued)

Representative 1

Please select your role:

Support Staff

Other Financial Services Professional

Title:

Name:

Any other name known by:

Macquarie ID (if known):

*Date of birth:

*Mobile number:

*Email address:

Is your postal address the same as stated in section 1A?

Yes

No, please provide your postal address

Street name and number:

Suburb:

State:

Postcode:

*Electronic Verification

I have attached a certified copy of my government identification

No ► *please complete the below*

Yes ► *go to section 6*

Government Identification Details (This is for verification purposes only)

ID type

(Drivers Licence, Passport, Proof of Age)

Licence/Document number

State of Issue

(if using a passport, input Country of Issue)

Drivers licence card number (Only if present on ID):

Residential address - Street number and name:

Suburb:

State:

Postcode:

Representative Signature 1:

Date:

5. Dealer level access (Continued)

Representative 2

Please select your role:

Support Staff

Other Financial Services Professional

Title:

Name:

Any other name known by:

Macquarie ID (if known):

*Date of birth:

*Mobile number:

*Email address:

Is your postal address the same as stated in section 1A?

Yes

No, please provide your postal address

Street name and number:

Suburb:

State:

Postcode:

*Electronic Verification

I have attached a certified copy of my government identification

No ► *please complete the below*

Yes ► *go to section 6*

Government Identification Details (This is for verification purposes only)

ID type

(Drivers Licence, Passport, Proof of Age)

Licence/Document number

State of Issue

(if using a passport, input Country of Issue)

Drivers licence card number (Only if present on ID):

Residential address - Street number and name:


Suburb:

State:

Postcode:

Representative Signature 2:

Date:

 **Macquarie ID is a unique code allocated to you. Please do not share this with others. If you do not have a Dealer code or Macquarie ID we will automatically issue you one and email it to the email address listed in this section.**

6. Declaration and signature

Please ensure this form is executed by two directors, a director and secretary or a sole director.


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- you agree to our Privacy Policy available on [macquarie.com.au](https://www.macquarie.com.au) and for your identity to be verified electronically using government sources and information held by our credit reporting agencies, such as Equifax.
Go to [macquarie.com.au/everyday-banking/macquarie-client-identity-verification](https://www.macquarie.com.au/everyday-banking/macquarie-client-identity-verification) to learn more.

 **All fields are mandatory**

Title:

Name:

Any other name known by:

Corporate title:

Director

Sole Director

Secretary

Director Identification Number (DIN):

Electronic Verification - I have attached a certified copy of my government identification		
No ► <i>please complete the below</i> Yes ► <i>below not required</i>		
Date of birth:		
Government Identification Details (This is for verification purposes only)		
ID type (Drivers Licence, Passport, Proof of Age)	Licence/Document number	State of Issue (if using a passport, input Country of Issue)
Drivers licence card number (Only if present on ID):		
Residential address - Street number and name:		
Suburb:	State:	Postcode:

Signature 1:

Date:

6. Declaration and signature (Continued)

Title: _____ Name: _____

Any other name known by: _____

Corporate title:

Director

Secretary

Director Identification Number (DIN): _____

Electronic Verification - I have attached a certified copy of my government identification		
No ► <i>please complete the below</i> Yes ► <i>below not required</i>		
Date of birth: _____		
Government Identification Details (This is for verification purposes only)		
ID type (Drivers Licence, Passport, Proof of Age)	Licence/Document number	State of Issue (if using a passport, input Country of Issue)
Drivers licence card number (Only if present on ID): _____		
Residential address - Street number and name: _____		
Suburb: _____	State: _____	Postcode: _____

Signature 2:

Date: _____

Sign

- Wet signature, or
- Electronic signature from an approved provider.
Visit Adviser Help Centre to view our requirements.

Submit

 Email to adviser@macquarie.com

Need Help?

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