



MACQUARIE

AFSL Transition

Registering and transitioning
your AFSL with Macquarie

We understand how much work can go into transitioning to a new dealer group and changing to a new AFSL. We want to help make this process as easy as possible for your staff and your clients. Our team will support you each step of the way, and we've developed this guide to help you through the process.

The guide will walk you through the three key steps to transitioning your AFSL with Macquarie.



Stage 1

Setting up your
new dealer group
with Macquarie



Stage 2

Register your advisers
with Macquarie



Stage 3

Onboard your clients
to your new AFSL

Stage 1

Setting up your new dealer group with Macquarie

To register your new AFSL with Macquarie, you'll need to complete a Macquarie Dealer Registration form which you can download from **Adviser Tools** by searching for **Dealer Registration**.

If you're already using the Macquarie Adviser Online platform, please contact your Relationship Manager to discuss any operational impacts.

To complete the form, you must:

1. Download the form
2. Have the Director(s) of the dealer group sign Section 6. This form can be signed by the directors either with a wet signature or with an e-signature. For more information regarding the different signature types, please see **What are the different types of signatures?**
3. Email the completed form directly to **adviser@macquarie.com**



Tip

If you are registering as a dealer or adviser to use our products and services, we generally require the AFSL to have certain license conditions that enable you to advise and / or deal in the products offered by Macquarie. It is important to note that if your license conditions change throughout the year and you become ineligible to advise/deal in our products we may stop your access to clients' accounts and take other action depending on the individual circumstances.

If the clients you are transferring across are different to what is selected, you will receive a follow up from us seeking clarification.

Next Steps

We will create the new dealer group within 4-6 business days and email the newly registered Dealer Staff with their new Dealer codes. Please ensure the application is complete and licensee changes are reflected with ASIC before submitting to avoid any delays.

Stage 2

Register your advisers with Macquarie

The staff members will need to be registered under your dealer group's new AFSL. If your dealer group isn't registered with us, please complete step one prior to submitting this request.

To register a new adviser to your new AFSL, they will need to complete a Macquarie adviser registration form which you can download from **Adviser Tools** by searching for **Adviser Registration**.

To complete the form and *register a new adviser* you must:

1. Download the form
2. Have the adviser sign in section 5. This form can be signed by the advisors either with a wet signature or with an e-signature. For more information regarding the different signature types, please see **What are the different types of signatures?**
3. Return the completed form to **adviser@macquarie.com**

IMPORTANT: We'll also require an Authorised Representative Certificate, or a Letter of Authority (a letter from the Dealer Group with a company letterhead signed by a responsible officer or director stating the Adviser is a representative of the Dealer group) to be completed and submitted.

To *register a new support staff member*, they'll need to complete a Macquarie support staff registration form. You can download this form from **Adviser Tools** by searching for **Support Staff Registration**.

★ Tip 1

Advisers can grant others access to their codes by completing section 4 in the Macquarie Adviser Registration form.

★ Tip 2

If you are looking to register multiple adviser or staff in bulk, please speak to your Business Development Manager or Relationship Manager for details.

Next Steps

Within 2–4 business days the advisers will receive a confirmation email to the email address provided on the registration form. This will contain instructions on how to access the Macquarie Adviser Online platform. Delays may occur if the form is incomplete.

The new adviser can use this email to register for a new password online.



Stage 3

Onboard your clients to your new AFSL

Before transferring clients to your new license, please ensure your dealer group and advisers have been registered with Macquarie. These steps are outlined in stages 1 and 2.

To transfer all your existing clients to a new licensee we require:

A Letter of Release from the previous dealer on their letterhead, signed by either a director compliance or administration manager stating that they authorise the transfer of all, or a specified list of, the adviser's clients to the new dealer. If this is a partial transfer of clients, please include a list of clients in addition to the Letter of Release.

If you are unable to obtain a Letter of Release we require:

A Macquarie Third Party Authority form signed by the client(s) with the sections 1, 3 and 6 completed. For Macquarie wrap accounts, please also tick yes in would you like to replace your current primary Financial Services Professional and leave the level of authority field blank. You can download this form from **Adviser Tools** by searching **Third Party Authority form**.

★ Tip 1

Existing Macquarie automated plans will be transferred across with each of the accounts, please double check automatic features after transferring clients.

★ Tip 2

Existing Model Portfolios will not be transferred over from one dealer group to another. It is important to review your clients existing Model Portfolio's prior to transferring them if you wish to re-create them on your new dealer group.

IMPORTANT: If you are looking to transition existing Macquarie accounts/clients, please provide the required instruction within 30 days of us knowing you have departed the previous dealer group. If we do not receive a Letter of Release or a Third-Party Authority form before this cut off, you will be removed as the servicing adviser on the clients account and all fees disabled. We will then require a client signed authority for fees to re-commence and to be reloaded as the servicing adviser.

Help and support

Visit our **Adviser Help Centre** or speak to your Business Development Manager or Relationship Manager.