

Macquarie Wrap

Investment order request form

Use this form for placing investment order buys or sells (including term deposit breaks) on your wrap account.



Prior to placing an order, you must have received the latest disclosure document (this will generally be a Product Disclosure Statement (PDS)) for the product. This can be accessed by contacting us.

If you do not have an adviser linked to your account or have not received personal advice, access to some investment options will be restricted. This may include the purchase of additional units in investments already held in your wrap account.

Please consider speaking to a financial adviser about your account prior to placing an investment order.

Important information

If you wish to buy an investment, please ensure you check that the investment is available on the relevant wrap investment menu before submitting this form:

- Requests placed using this form will generally be processed within two business days following receipt of a complete request. Orders will not be placed if there is insufficient cash, including the cash minimum requirement (as noted in the applicable offer document).
- If you are requesting both buy and sell orders, please note that all sell orders will be completed first. Buy orders will only be completed if there is sufficient cash available. We do not actively prioritise manual orders and we are not responsible for any delays in placing buy orders if sufficient cash is not available at the time this request is received.
- For **Super or Pension** accounts, buys will need to meet the investment limits set by the trustee Macquarie Investment Management Limited (MIML) in the Superannuation Investment Menu. If the requested order falls outside the investment limits it will not be processed.
- Access to some investments are restricted to clients of a relevant adviser or dealer.
- Investments made through your wrap account, other than any holdings in term deposits with Macquarie Bank Limited (MBL) and the Macquarie Wrap Cash Hub, are not deposits with or other liabilities of MBL or of any Macquarie Group company, and are subject to investment risk, including possible delays in repayment and loss of income or principal invested. Neither MBL, MIML nor any other member company of the Macquarie Group guarantees the performance, the repayment of capital or any particular rate of return of the investments purchased through your wrap account.



Need more help?

Please visit our Help Centre at help.macquarie.com/personal/investments-and-super for more information on how to manage your account.

1. Account details

Account number:

Account name:

Macquarie Investment Management Limited ABN 66 002 867 003 AFSL 237492 RSEL L0001281. Macquarie Superannuation Plan ABN 65 508 799 106 RSE R1004496.

Macquarie Bank Limited ABN 46 008 583 542 AFSL 237502 is the issuer of the Macquarie Cash Management Account (CMA) and Macquarie Consolidator Cash Account.

2. Order details

List of assets

 Section 2.1 or section 2.2 must be completed in full for each order to be processed.

2.1 Managed funds/Separately Managed Accounts (SMA)

Full asset name	Asset code	Order type (Buy/Sell)	Full redemption (sell all units) ¹	OR	Partial redemption - include \$ value
					\$
					\$
					\$
					\$
					\$
					\$
					\$

2.2 Domestic listed securities

Full asset name	Asset code	Order type (Buy/Sell)	Full redemption (sell all units) ¹	OR	Quantity	At Market OR Limit price	Order expiry ²
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¹ Full applies only if you wish to sell all units in the asset.

² Order expiry:
Today only - order will be removed at close of business if not filled.
Good till cancelled - order will be removed after 28 calendar days if not filled.

2.3 International listed securities

Important:

- if you wish to trade an international listed security you will need to have registered to access this asset class, if you have not registered please complete the *International listed securities registration form* – please call us on **1800 025 063** to request this form.
- US Reportable Persons³ (including US citizens and US tax residents) are not permitted to trade international listed securities on their wrap account
- accounts belonging to Macquarie employees are not eligible to trade international listed securities.

Full asset name	Asset code	Order type (Buy/Sell)	Full redemption (sell all units) ⁴	OR	Quantity	At Market OR At Limit price ⁵
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Order expiration – When buying and selling international listed securities, the expiration date will always be “today only”. Unfilled or partially filled orders will expire by the end of the foreign stock exchange trading day. Asset holding details

2.4 Term Deposits



Investment order limits on ANZ and NAB Term Deposits have changed for some clients. Please refer to Help Centre for more information. Please ensure you understand these requirements before purchasing any Term Deposits. If you don't adhere to the investment order requirements, the Term Deposit may be cancelled without any financial compensation.

Full asset name	Asset code	Order type (Buy/Break)	\$ Value
			\$
			\$
			\$
			\$
			\$
			\$
			\$

³ You are a US Reportable Person if you are a 'Specified US Person' under the Foreign Account Tax Compliance Act (FATCA) (this includes, but is not limited to, US citizens and US residents for tax purposes) or you are a holder of a US TIN or US Reportable Account. Macquarie cannot offer advice on your FATCA tax status or classification. If you need further support you should visit the IRS website or contact a professional tax adviser.

⁴ Full applies only if you wish to sell all units in the asset.

⁵ At Limit orders will be available when you trade international listed securities across all our exchanges on the platform.

At Market orders will only be available where the international exchange is able to support it. Where market orders are not supported, the order will be converted to a “limit” opposite best price. If an “at market” order is only partially filled, the remainder of the order will be amended to a limit order, with the limit being the market price at which the partial execution was completed.

3. Income from your investments

3.1 Reinvestment plans

You can generally elect for the distributions or dividends from your investments to be reinvested back into those investments.

Full asset name	Asset code	Election (please choose one)	
		Reinvest	Cash

If you do not make an election, distributions or dividends will be paid into your wrap cash account. Partial reinvestments are not permitted.

3.2 Rolling over a term deposit

You may elect to roll over a term deposit to a new term deposit for the same term from the same issuer. You can roll over either the principal or the principal plus any interest earned on the maturing term deposit. Term deposit maturity elections must be made by 10:00am (Sydney time) three business day before the maturity date.


 **Please note:** Once a maturity election is made for a term deposit, it will remain in place **until a new maturity election is made.** For example, where a maturity election of **Rollover Principal Only** is made, the term deposit will continue to roll over the principal investment amount into the next available like-for-like term deposit **until that maturity election is changed.**

Full asset name	Asset code	Election (please choose one)		
		Reinvest (principal only)	Reinvest (principal and interest)	Cash

If you do not make an election, the proceeds from your term deposit will be credited to your wrap cash account upon maturity.

As term deposit applications are pooled and invested together, there is a limited ability to obtain funds before maturity. In some cases, 31 days' notice is required for clients to access their funds prior to maturity.

4. Your objectives

 **Section 4 must be completed by clients who do not have an adviser linked to their account and are placing a buy order for an unlisted managed fund.** This section does not need to be completed by clients placing a sell order. This information will be used solely for the purposes of determining whether you are in the target market for the financial product(s) included in your buy order, as set out in the Target Market Determination (TMD) set by the Issuer of the product(s). You can contact the product Issuer directly for a copy of the TMD.

These questions must be completed for each managed fund for which you place a buy order. Where you're requesting to buy two or more managed funds and your responses to the below questions are not consistent across funds, you must submit a separate Macquarie Wrap Investment Order Request Form.

Definitions can be found on pages 7-8.

Where you select multiple answers per question, these responses will be considered together. For example, providing both 'Capital Preservation' and 'Capital Guaranteed' as investment objectives will be taken to mean you seek to 'buy' a managed fund that meets **both** investment objectives.

Questions	Client Response (please tick those items that are relevant to you)				
What's your objective in investing in this product?	Capital Growth	Capital Preservation			
	Capital Guaranteed	Regular Income			
How is the investment in this product intended to be used in your investment portfolio?	Standalone Solution (75%-100% of investible assets)				
	Core Component (25%-75% of investible assets)				
	Satellite (<25% of investible assets)				
What's your timeframe for investing in this product?	Short (\leq 2 years)	Medium (> 2 years)			Long (> 8 years)
What's your ability to bear loss (or risk appetite) for this product?	Very High	High	Medium	Low	
What's your need to withdraw money from the investment in this product?	Daily	Weekly	Monthly	Quarterly	Annually or longer

5. Declaration and signatures

By signing this form, you confirm you have read and agree to the terms and conditions outlined on this form.

Terms and conditions

Daily priced managed investments, non daily priced managed investments, separately managed accounts and term deposits

You confirm that prior to making the decision to invest:

- you acknowledge that the proceeds from any future redemptions of managed investments will not be available for withdrawal or further investments until settlement has occurred and the proceeds are cleared in the wrap cash account
- you acknowledge that managed investment redemption times may vary throughout the year and are subject to the conditions and variations contained in the relevant PDS, and
- you are aware of the maximum redemption periods which may apply for these types of investments.

Domestic listed securities

You confirm that prior to making the decision to invest:

- you agree that we will place your trade via the Authorised Broker, a Macquarie Group entity
- if you buy or sell shares or other listed securities within your wrap account, a transaction fee may apply and you may also be charged brokerage

- if you are requesting an order for listed securities to be placed “at market” you are instructing the broker on this account to complete the order at the best prevailing Bid or Offer, subject to orderly market considerations. However, where an order cannot be fulfilled at the prevailing price due to lack of volume in the market, you are seeking to execute the remaining volume of that order with volume taking priority over price
- you acknowledge that order completion will be conducted by the broker on a best endeavours basis subject to all orderly market requirements.

International listed securities (IDPS only)

You confirm that prior to making the decision to invest:

- you have read and agree to the terms and conditions associated with investing in International listed securities
- you accept that transactions in International listed securities may be subject to foreign exchange gains or losses
- you declare that in placing this order that you have not contravened any applicable laws, rules and regulations of the relevant exchange and jurisdiction
- you agree that in addition to brokerage, any out of pocket expenses incurred in trading international shares, such as local market and government charges, will also be deducted from the value or the proceeds of the trade.

Placement of order(s)

By signing and returning this form you agree to the following:

- we are authorised to fund from the wrap cash account linked to your wrap account any buy transactions you have requested
- you have sufficient funds in your wrap cash account to pay for a buy transaction. If you are requesting both buy and sell orders, please note that all sell orders will be completed first. We do not actively prioritise manual orders and we are not responsible for any delays in placing buy orders if sufficient cash is not available at the time this request is received
- for superannuation and pension accounts, the trustee has established guidelines with regard to asset exposure and if a request is received that exceeds the investment limit, the order may be rejected in its entirety and a new request required
- for superannuation and pension accounts, you are aware of the reasons why certain “illiquid investments” are not able to be redeemed within 30 days, and hence the impact on the superannuation fund being able to pay out (lump sum or rollover) from these investments within 30 days of your request. See the relevant PDS for further information
- due to the manual nature of the request, we will make all reasonable efforts to place your order
- you have sufficient cash in your wrap cash account to cover all obligations including pension payments, fees and insurance. If we are required to break a term deposit to meet any obligations, associated break costs will be deducted from the interest payment.


Please tick the boxes to confirm your agreement. We will not be able to place your order(s) unless this box is ticked.

☐ I agree to the terms and conditions.

☐ I confirm I have obtained the most up to date disclosure documentation (including the relevant Product Disclosure Statement (PDS)) for the underlying investments being purchased.

If you have not received the most up to date PDSs for the investments being purchased, please provide your email address and we will send them to you:

Where you provide your email address, we will send you a copy of each PDS prior to placing any of the orders on this form.

 **Important:** It is a requirement that we give you the most up to date PDS for each underlying investment prior to its acquisition if you have not received it. Do not tick the confirmation above if you have not received the most up to date PDS.

Name:

Name

Corporate title if company officer:

Corporate title if company officer:

Date:

Date:

Signature 1

Signature 2

Definitions

Term	Definition
Consumer's investment objective	
Capital Growth	The consumer seeks to invest in a product designed to generate capital return. The consumer prefers exposure to growth assets (such as shares or property) or otherwise seeks an investment return above the current inflation rate.
Capital Preservation	The consumer seeks to invest in a product to reduce volatility and minimise loss in a market downturn. The consumer prefers exposure to defensive assets (such as cash or fixed income securities) that are generally lower in risk and less volatile than growth investments.
Capital Guaranteed	The consumer seeks a guarantee or protection against capital loss whilst still seeking the potential for capital growth (typically gained through a derivative arrangement). The consumer would likely understand the complexities, conditions and risks that are associated with such products.
Income Distribution	The consumer seeks to invest in a product designed to distribute regular and/or tax-effective income. The consumer prefers exposure to income-generating assets (typically, high dividend yielding equities, fixed income securities and money market instruments).
Consumer's intended product use (% of Investable Assets)	
Solution/Standalone (75 – 100%)	The consumer intends to hold the investment as either a part or the majority (up to 100%) of their total <i>investable assets</i> (see definition below). The consumer typically prefers exposure to a product with at least High <i>portfolio diversification</i> (see definitions below).
Core Component (25 – 75%)	The consumer intends to hold the investment as a major component, up to 75%, of their total <i>investable assets</i> (see definition below). The consumer typically prefers exposure to a product with at least Medium <i>portfolio diversification</i> (see definitions below).
Satellite (<25%)	The consumer intends to hold the investment as a smaller part of their total portfolio, as an indication it would be suitable for up to 25% of the total <i>investable assets</i> (see definition below). The consumer is likely to be comfortable with exposure to a product with Low <i>portfolio diversification</i> (see definitions below).
Investable Assets	Those assets that the investor has available for investment, excluding the residential home.
Portfolio diversification (for completing the key product attribute section of consumer's intended product use)	
Low	Single asset class, single country, low or moderate holdings of securities – eg high conviction Aussie equities.
Medium	1 – 2 asset classes, single country, broad exposure within asset class, eg Aussie equities "All Ords".
High	Highly diversified across either asset classes, countries or investment managers, eg Australian multi-manager balanced fund or global multi-asset product (or global equities).
Consumer's intended investment timeframe	
Short (\leq 2 years)	The consumer has a short investment timeframe and may wish to redeem within two years.
Medium (> 2 years)	The consumer has a medium investment timeframe and is unlikely to redeem within two years.
Long (>8 years)	The consumer has a long investment timeframe and is unlikely to redeem within eight years.
Consumer's Risk (ability to bear loss) and Return profile	
Low	<p>The consumer is conservative or low risk in nature, seeks to minimise potential losses (eg has the ability to bear up to 1 negative return over a 20 year period) and is comfortable with a low target return profile.</p> <p>Consumer typically prefers defensive assets such as cash and fixed income.</p>
Medium	<p>The consumer is moderate or medium risk in nature, seeking to minimise potential losses (eg has the ability to bear up to 4 negative returns over a 20 year period) and comfortable with a moderate target return profile.</p> <p>Consumer typically prefers a balance of growth assets such as shares, property and alternative assets and defensive assets such as cash and fixed income.</p>

Term	Definition
High	<p>The consumer is higher risk in nature and can accept higher potential losses (eg has the ability to bear up to 6 negative returns over a 20 year period) in order to target a higher target return profile.</p> <p>Consumer typically prefers predominantly growth assets such as shares, property and alternative assets with only a smaller or moderate holding in defensive assets such as cash and fixed income.</p>
Very high	<p>The consumer has a more aggressive or very high risk appetite, seeks to maximise returns and can accept higher potential losses (eg has the ability to bear 6 or more negative returns over a 20 year period and possibly other risk factors, such as leverage).</p> <p>Consumer typically prefers growth assets such as shares, property and alternative assets.</p>
Consumer's need to withdraw money	
Daily/Weekly/Monthly/ Quarterly/Annually or longer	The consumer seeks to invest in a product which permits redemption requests at this frequency under ordinary circumstances and the issuer is typically able to meet that request within a reasonable period.

Sign

- ☒ Wet signature, or
- ☒ Electronic signature from an approved provider.

Visit **Adviser Help Centre** to view our requirements.

If you have any queries about completing this form please contact your adviser or us on **1800 025 063**.

Submit



Post to **Macquarie Wrap,
GPO Box 4045, Sydney NSW 2001**



Email to **wrapsolutions@macquarie.com**