

# Macquarie Australian Companies identification form

Macquarie Bank Limited ABN 46 008 583 542 AFSL and Australian Credit Licence 237502

## Guide to completing this form

- This form is for *Australian Companies* only. For companies incorporated outside of Australia use the *Foreign Companies identification form*.
- Complete both section 1 and section 2.
- Complete separate *Individual identification forms* for each of the company's Beneficial Owners and for each signatory on the account.
- Complete all applicable sections of this form in **BLOCK LETTERS**.

## 1. Australian company identification procedure

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### 1.1 General information

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Full name as registered by ASIC:

ACN:

Industry of Operation (Primary):

Business activity:

#### Source of net wealth (select one option only as the predominant source)<sup>1</sup>

Business operations

Savings from employment

Superannuation

Investments

Inheritance/gift

Sale of a property or asset

Legal settlement

Foreign income

#### Registered office address (PO Box is NOT acceptable)

Street name and number:

Suburb:

State:

Postcode:

Country:

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1. Source of wealth should be considered as a whole, including any beneficial owners if applicable.

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## 1. Association identification procedure (continued)

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### 1.1 General information (continued)

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**Principal place of business (if any)** (PO Box is NOT acceptable)

Please cross this box if your company's principal place of business is the same as above.

Street name and number:

Suburb:

State:

Postcode:

Country:

### 1.2 Company type (select only ONE of the following categories)

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**Public** (companies whose name does not include the word Pty or proprietary) ► *go to section 1.3*

**Proprietary** (company whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) ► *go to section 1.4*

### 1.3 Listing and regulatory details (select only ONE of the following categories if applicable)

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Only complete this section if one of the following categories is relevant to the company.

**Australian public listed company** (companies that are listed on an Australian financial market such as the ASX)

Name of market/exchange:

**Majority owned subsidiary of an Australian public listed company** (companies that are majority owned by an Australian company that is listed on an Australian financial market such as the ASX)

Australian listed company name:

Name of market/exchange:

**Regulated company** (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees).

Regulator name:

Licence details (eg AFSL, ACL, RSE):

### 1.4 Directors

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**Director 1**

**Director 2**

**Director 3**

Full given name(s)

Full given name(s)

Full given name(s)

Surname

Surname

Surname

Please cross this box if there are more directors, and provide details on a separate sheet.

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## 1. Association identification procedure (continued)

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### 1.5 Beneficial ownership

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**Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?**

Yes ► *go to 1.5.1*

No ► *go to 1.5.2*

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### 1.5.1 Shareholder Beneficial Owners

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).

Complete separate *Individual identification forms* for each of these individuals.

Beneficial Owner 1	Beneficial Owner 2	Beneficial Owner 3
Full given name(s)	Full given name(s)	Full given name(s)
Surname	Surname	Surname

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

If beneficial owner name(s) are provided above ► **go to section 2.**

### 1.5.2 Other Beneficial Owners

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control<sup>2</sup> the company.

Complete separate *Individual identification forms* for each of these individuals.

Beneficial Owner 1	Beneficial Owner 2	Beneficial Owner 3
Full given name(s)	Full given name(s)	Full given name(s)
Surname	Surname	Surname
Role	Role	Role

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

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2. Includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding and practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official(s) of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

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## 2. Tax information

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Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

### 2.1 Tax status

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**Select ONE of the tax status boxes below** (if the company is a Financial Institution, please provide all the requested information below)

**A Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA/CRS purposes)

Provide the Company's Global Intermediary Identification Number (GIIN), if applicable:

**If the Company is a Financial Institution but does not have a GIIN, provide its FATCA status (select ONE of the following statuses)**

Deemed Compliant Financial Institution      Excepted Financial Institution      Exempt Beneficial Owner

Non Reporting IGA Financial Institution      Nonparticipating Financial Institution

Other (describe the company's FATCA status in the box provided):

If the Company is a Financial Institution ► **go to section 3 to complete the form**

**Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company or Australian Registered Charity** (Public listed companies or majority owned subsidiaries of Australian listed companies as per 1.3 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)

If the Company type is listed above ► **go to section 3 to complete the form**

**An Active Non-Financial Entity (NFE)** (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (eg dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)

If the Company is an Active NFE ► **go to section 2.3 (Country of tax residency)**

**Other** (Entities that are not previously listed – Passive Non-Financial Entities) ► **Go to section 2.2 (Foreign Beneficial Owners)**

### 2.2 Foreign Beneficial Owners (Individuals)

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**Are any of the company's Beneficial Owners tax residents of countries other than Australia?**

No      Yes, please provide the details of these individuals below and complete a separate Individual identification form for each Beneficial Owner (unless already provided in section 1.5).

Tax Residency rules differ by country. Whether an individual is 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 the US, tax residency can be as a result of citizenship or residency.

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## 2. Tax information (continued)

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### 2.2 Foreign Beneficial Owners (Individuals) (continued)

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Beneficial Owner 1	Beneficial Owner 2	Beneficial Owner 3
Full given name(s)	Full given name(s)	Full given name(s)
Surname	Surname	Surname
Role (eg Director or Senior Managing Official)	Role (eg Director or Senior Managing Official)	Role (eg Director or Senior Managing Official)

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

► **Go to section 2.3 (Country of Tax Residency)**

### 2.3 Country of tax residency

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**Is the Company a tax resident of a country other than Australia?**

No ► **go to section 3 to complete the form**

Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

*A 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 or an Employer Identification Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.*

Please note a US TIN must be provided if the entity is a US Specified Person. This is a mandatory requirement and a TIN exemption reason will no longer be accepted. The account cannot be opened without a US TIN.

Country 1	Country 2	Country 3
Country	Country	Country
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)

**Reason A:** The country of tax residency does not issue TINs to tax residents

**Reason B:** The Company has not been issued with a TIN

**Reason C:** The country of tax residency does not require the TIN to be disclosed

Please cross this box if there are more countries, provide details on a separate sheet.

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### 3. Certification of identification documents

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In order for documents 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,
- written or stamped '**certified true copy**',
- the **wet ink signature** of the certifying officer, the full name, provider/registration number (if applicable), and
- profession/qualification of the certifying officer and years of service (if applicable), legibly printed below the signature.

**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:

- 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 two 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>