

# Australian Regulated Trusts

Macquarie Bank Limited ABN 46 008 583 542



## Guide to completing this form

- This form is for *Australian Regulated Trusts* only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator. For Trusts that are not subject to the oversight of an Australian regulator, complete the *Unregulated Trusts and Foreign Trusts* form.
- Collect information about the Trust and one Trustee. The identity of the Trust must be verified.
- Complete sections 1, 2 and 3 or 4.
- Complete all applicable sections of this form in **BLOCK LETTERS**.

**Acceptable ID documents** – provide the following document to allow verification of a managed investment scheme or government superannuation fund:

- all documents must have been certified within the last 12 months, at the time of acceptance by us.
- a copy of an offer document of the managed investments scheme (eg a copy of a Product Disclosure Statement)
- a copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.

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## Regulated Trust identification procedure

### 1.1 General information

Full name of Trust:

Full business name of trustee in respect of the trust (if any):

Country where trust established (only required if not Australia):

Trust business activity/purpose:

### 1.2 Type of Regulated Trust

Select ONE of the following type of Regulated Trust:

**Self-Managed Superannuation Fund**

Provide the SMSF's ABN:

**Registered managed investment scheme**

Provide Australian Registered Scheme Number (ARSN):

**Unregistered managed investment scheme** (a managed investment scheme that is not registered by ASIC, that only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies.)

Provide the unregistered managed investment scheme's ABN:

**Government superannuation fund**

Provide name of the legislation establishing the fund:

**Other Regulated Trust**

A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund eg family trust, unit trust, charitable trust, estate etc.

Provide name of the regulator (eg ASIC, APRA, ATO):

Provide the Trust's ABN or registration/licensing details:



Please note: Trusts regulated by a foreign regulatory body should complete the *Unregulated Trusts and Foreign Trusts* form.

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## Tax information

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

**Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 2 ► go to section 3 or 4.**

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

**If the Trust 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 (if the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN):
- Nonparticipating Financial Institution
- Other (describe the Trust's FATCA status in the box provided):

**!** Trustee identification procedure – complete **EITHER** section 3 or 4  
 Individual Trustees ► **go to section 3**   Company Trustees ► **go to section 4**

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## Trustee identification procedure – Individual Trustee

**Acceptable ID documents** – Attach a legible certified copy of the ID documentation (and any required translation)

**Part I – acceptable primary photographic ID documents**

**Select ONE valid option from this section only (all documents must contain a photograph of the person):**

- Australian State/Territory driver's licence
- Australian passport (a passport that has expired within the preceding 2 years is acceptable)
- Card issued under a State or Territory for the purpose of proving a person's age
- Foreign passport or similar travel document also containing the signature of the person

**Part II – acceptable secondary ID documents**

**SHOULD ONLY BE COMPLETED IF YOU DO NOT OWN A DOCUMENT FROM PART I**

**Select ONE valid option from this section:**

- Australian birth certificate
- Australian citizenship certificate
- Pension card issued by Department of Human Services (previously known as Centrelink)

**AND ONE valid option from this section (all documents must contain the person's name and residential address):**

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the person
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the person to the Commonwealth (or by the Commonwealth to the person)
- A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person

**Part III – acceptable foreign photographic ID documents**

**SHOULD ONLY BE COMPLETED IF YOU DO NOT OWN A DOCUMENT FROM PART I**

**Select ONE valid option from this section only (all documents must contain a photograph of the person):**

- Foreign driver's licence that also contains the person's date of birth
- National ID card issued by a foreign government that also contains a signature of the person

Title:  First and middle name(s):

Surname:

Date of birth:  /  /  Occupation:

**Residential address** (PO Box is NOT acceptable)

Street name and number:

Suburb:  State:  Postcode:

Country:

Are you an Australian resident for tax purposes?  No  Yes

Are you a resident of another country for tax purposes?  No  Yes, complete the Individual Macquarie identification form, authorised advisers complete the Individual FSC/FPA form, or complete the Tax details Form.

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## Trustee identification procedure – Company Trustee

To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then complete the Foreign Company identification form.

### 4.1 General information

Full name as registered by ASIC:

ACN:

Business activity:

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

Street name and number:

Suburb:  State:  Postcode:

Country:

**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:

### 4.2 Company type (select ONE of the following categories)

**Public** (companies whose name does not include the word Pty or proprietary) ► go to section 4.3

**Proprietary** (company whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) ► go to section 4.4

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

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:

► go to section 4.5

**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:

► go to section 4.5

**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):

► go to section 4.5

### 4.4 Directors (required for all Proprietary Companies as per 4.2, NOT required for Public Companies)

Director 1	Director 2	Director 3
Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>
Surname <input type="text"/>	Surname <input type="text"/>	Surname <input type="text"/>

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

## Trustee identification procedure – Company Trustee (continued)

### 4.5 Beneficial ownership

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed company or Regulated Companies as per 4.3.

**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 4.5.1 below  No ► go to 4.5.2 below

#### 4.5.1 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) <input type="text"/>	Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>
Surname <input type="text"/>	Surname <input type="text"/>	Surname <input type="text"/>

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 4.6

#### 4.5.2 Other Beneficial Owners

If there are no individuals who meet the requirement of 4.5.1, provide the names of the individuals who directly or indirectly control\* 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) <input type="text"/>	Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>
Surname <input type="text"/>	Surname <input type="text"/>	Surname <input type="text"/>
Role <input type="text"/>	Role <input type="text"/>	Role <input type="text"/>

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

## 5 Certification of identification documents

Copies of the required identification must be certified and confirmed on the document as a true copy of an original document by one of the following persons:

1. a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)
2. a judge of a court
3. a magistrate
4. a chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of a court
6. a Justice of the Peace
7. a notary public (for the purposes of the Statutory Declaration Regulations 1993)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. 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
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
13. a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993)
14. an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees, or
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.