

Macquarie Foreign Companies and New Zealand Identification Form



The purpose of this form is to identify a New Zealand or foreign company.
In addition to this form, each signatory on the account must complete an Individual/Sole Trader Identification Form and provide the supporting identification documentation.
Complete **Section 1** before presenting this form to Macquarie, attaching all supporting documentation.
Options to have your form(s) verified.

- **Macquarie office over the counter verification** will accept original or certified copies of identification documents OR
- **Mailed verification** – Macquarie will accept certified copies of identification documents.

Please refer to Section 5 for a list of the Authorised Persons who can certify identification documents.

1. NEW ZEALAND OR FOREIGN COMPANY DETAILS

1.1 General Information

Full name of New Zealand or foreign company

Country of formation/incorporation/registration

Select if registered by a New Zealand or foreign body and provide name of body

1.2 Is this New Zealand or Foreign Company Registered with ASIC (select ✓ ONE of the following)

Yes Provide ARBN

Provide EITHER principal place of business address in Australia OR local agent name and address details (Tick one box)

Address (PO Box is NOT acceptable)

Street

Suburb Postcode Country

Name of local agent in Australia

No Provide company identification number (if any) issued by the New Zealand or foreign registration body

Principal place of business in the company's country of formation or incorporation (PO Box is NOT acceptable)

Street

Suburb Postcode Country

1.3 Registered Address of Company

Provide the registered address as registered with ASIC. If the company is NOT registered with ASIC, provide the registered address in the country of formation, incorporation or registration (if any).

Street

Suburb Postcode Country

1.4 Regulatory/ Listing Details (Select ✓ each of the following categories that apply to the company & provide the information requested)

Regulated company (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence details

Listed as defined in the IFSA/FPA Guidelines

Name of market / exchange

Majority-owned subsidiary of an Australian listed company

Australian listed company name

Name of market / exchange

1.5 Company Type (Select ✓ only ONE of the following categories and provide any information requested)

Public ▶ Go to Section 1.6 on the next page.

Private/Proprietary ▶ Go to Section 1.6 on the next page.

Other ▶ Go to Section 1.6 on the next page.

Continued on next page ▶

1.6 Directors (complete for all companies other than public or listed companies)

How many directors are there? Provide full name of each director below

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

If there are more directors, provide details on a separate sheet.

If the company is a regulated company (as selected in Section 1.4 above) go to Section 2 below.
Otherwise, for all other private, proprietary or other companies continue to Section 1.7 below.

1.7 Shareholders (complete for all companies other than public, listed or regulated companies)

Provide details of ALL individuals who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital

Shareholder 1

Full given name(s)	<input type="text"/>	Surname	<input type="text"/>
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Residential address (PO Box is NOT acceptable)

Street	<input type="text"/>		
Suburb	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

Shareholder 2

Full given name(s)	<input type="text"/>	Surname	<input type="text"/>
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Residential address (PO Box is NOT acceptable)

Street	<input type="text"/>		
Suburb	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

Shareholder 3

Full given name(s)	<input type="text"/>	Surname	<input type="text"/>
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Residential address (PO Box is NOT acceptable)

Street	<input type="text"/>		
Suburb	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

Go to Section 2

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2. NEW ZEALAND OR FOREIGN COMPANY VERIFICATION PROCEDURE

In all cases a certified copy of the company registration issued by ASIC or by the relevant New Zealand or foreign registration body and documentaion evidencing the company directors/secretary is required.

Standard verification procedure – for Foreign Companies registered with ASIC

Verify:

- The full name of the company as registered by ASIC
- The ARBN issued to the company
- Whether it is registered by a foreign registration body and if so
 - whether it is registered as a private company or a public company.

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	Perform a search of the relevant foreign registration body.
<input type="checkbox"/>	If the ASIC or foreign registration body database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC or by the relevant foreign registration body.

Standard verification procedure – for Foreign Companies NOT registered with ASIC

Verify:

- The full name of the company
- Whether it is registered by a New Zealand or foreign registration body and if so
 - whether it is registered as a private or a public company
 - the identification number issued to the company

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	An original or certified copy of the certification of registration issued by the relevant New Zealand or foreign registration body.
<input type="checkbox"/>	Perform a search of the relevant New Zealand or foreign registration body.
<input type="checkbox"/>	Where the above means are unavailable, a disclosure certificate from the company given by an individual acting as agent of the company (where the agent has been verified). See your licensee for other disclosure certificate requirements.

Alternative verification procedure

For a company which is an Australian listed company, a majority owned subsidiary of an Australian listed company or is a regulated company (ie licensed by an Australian Commonwealth, State or Territory statutory regulator).

Verify:

- That the company is an Australian listed company (if applicable)
- That the company is a majority owned subsidiary of an Australian listed company (if applicable)
- That the company is a regulated company (if applicable).

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant market/exchange.
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	A public document issued by the relevant company.

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

3. RECORD OF VERIFICATION PROCEDURE

Important

- Attach a legible copy of the identification (ID) documentation used to verify the foreign Company (and any required translation).

ID DOCUMENT DETAILS	Document 1	Document 2
Verified From	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy <input type="checkbox"/> Performed search	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy <input type="checkbox"/> Performed search
Document Issuer / Website		
Public Document Type		
Issue date / Search date		
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

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4. CHECKING OFFICER USE ONLY

Checking officer's name

Checking officer's signature

Date

Macquarie Office

Comments

5. AUTHORISED PERSONS THAT CAN CERTIFY ID DOCUMENTS

Your photocopied identification should be signed as a certified true copy by one of the following:

Authorised persons that can certify identification documents	
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	A judge of a court
A magistrate	A Chief Executive Officer of a Commonwealth court
A registrar or deputy registrar of a court	A Justice of the Peace
A notary public (for purposes of Statutory Declaration Regulations 1993) (Australia)	A police officer
An agent of Australia Post who is in charge of an office supplying postal services to the public	A permanent employee of Australia Post with 2 or more years of continuous service who is employed in an office supplying postal services to the public
An officer with 2 or more continuous years of service with one or more finance institutions (for purposes of Statutory Declaration Regulations 1993) (Australia)	A finance company officer with 2 or more continuous years of service with one or more finance companies (for purposes of Statutory Declaration Regulations 1993) (Australia)
An officer with, or authorised representative of, a holder of an Australian Financial Services License, having 2 or more continuous years of service with one or more licensees	A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership
An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)	A member of the Institute of Chartered Accountants in New Zealand with 2 or more years continuous service
A person who is enrolled on the roll of the High Court of New Zealand, as a legal practitioner	A member of the New Zealand Institute of Financial Advisers, who is known to Macquarie Investment Management Limited or Macquarie Investment Services Limited

6. CONTACT US

New Zealand

Freepost 55997, PO Box 2006

Shortland Street

Auckland, New Zealand 1140

Level 17, Lumley Centre

88 Shortland Street

Auckland, New Zealand

Hours of operation: 8.30am – 5.00pm

For product specific contact phone numbers refer to your Investment Statement or Product Disclosure Statement or visit www.macquarie.co.nz