

Guide to completing the third party authority form

Appointing or removing a financial services professional or a financial services company

This guide will help you understand the requirements for adding or removing a third party authority on your account.

- To appoint a financial services professional as a third party authority complete Sections 1, 2 and 5.
- To appoint a financial services company as a third party authority complete Sections 1, 3 and 5.
- To remove an existing third party authority on your account, complete Sections 1, 4 and 5.

Levels of authority

For information about the various authority levels that you can grant to a third party, please refer to Section 6 of this form.

Section 1 – Your account details

Please provide your account number and account name in this section.

Section 2 – Appointment of a financial services professional

This section is to be completed by the account holder.

This section is used to appoint the applicable financial services professional (for example a financial adviser or accountant) to have access to your account.

Please ensure the full name and company name are completed. Please also ensure you tick the level of authority you wish to provide the financial services professional. Where available please provide the company (dealer) code and representative (adviser) code that are to be appointed on this account.

If you're replacing a primary financial services professional on the applicable cash account, please ensure the checkbox is ticked. Please note this will remove the current primary financial services professional from the account. This form cannot be used to replace a primary financial services professional for a Wrap account, if you'd like to do this, please fill out the 'Macquarie Wrap Change of Account Details' form.

Section 3 – Appointment of a financial services company

This section is to be completed by the account holder.

This section is used to appoint a company or other third party firm (e.g. a financial advisory firm, stockbroking firm, accounting firm or administrator).

Please ensure that the company name and company code (if known) are listed in this section. Please also ensure you tick the level of authority you would like the company to have on your account.

Section 4 – Would you like to cancel a Third Party Authority or company access?

Complete this section if you would like to remove an existing third party authority from your account.

Section 5 – Declaration and signature of account holders

- All account holders must sign for personal accounts.
- For company accounts, two directors, a director and a secretary, or a sole director, must sign. Please note, the directors/secretary who signs must be an existing account signatory.
- To avoid delays, please attach a copy of the account holder(s) driver licence or passport, if not already provided.

Acceptable signature types for Section 5

Signature types we accept for this form.

Wet signature: This signature is pen on paper. This means the signature has been placed onto the document by hand and hasn't been embedded by any digital methods.

Electronic signature: An electronic representation of a signature that's been generated by a software program.

Guide to completing the third party authority form

Appointing or removing a Financial Services Professional or a Financial Services Company

Signature types we do not accept for this form

Digital signature: A digital signature is a signature created by the authoriser by copying, pasting or embedding a copy of their signature into the document or using a stylus pen.

To submit a form with an electronic signature please follow these steps:

1. Provide us a copy of your ID

To submit a form with an electronic signature, we'll need a copy of your ID on file with a signature- such as a driver licence or passport.

2. Sign the form using an approved electronic signature provider:

Please ensure that you sign the form using an approved electronic signature provider. To view a current list of acceptable signature providers, please visit the following link: <https://www.macquarie.com.au/help/advisers/account-info-and-profile/view-and-manage-client-details/ways-we-accept-client-signatures.html>.

Note: It's essential to use an approved electronic signature provider as other platforms will not be accepted.

3. Obtain a Certification of Completion

An electronic signature Certificate of Completion (COC) offers detailed information relating to a signer's digital identity and document activity. After successfully signing the form, you'll need to obtain the COC. Please download the COC from the relevant electronic signature provider's platform and submit it to us as a PDF.

Please note the electronically signed form and any COC documents must be submitted from your email address, your adviser's email address, or uploaded via Request Centre.

The email address that we receive the COC from must match the email address we have on file.

Additional documentation required to set up a Power of Attorney as a third party authority

Documents required:

- **Certified copy of POA:** Must be certified in the last 12 months.
- **FSC form:** Ensure the tax declaration section is completed.
- **Certified copy of ID:** e.g. a driver licence or passport.
- **Medical Certificate:** If POA will take effect when client becomes incapacitated.
- **Corporate power of attorney:** Personal POA can be accepted for SMSF Corporate trustees.

Checklist

Use this checklist to ensure you have completed all requirements for the appointment of a third party on your account.

- The correct account name and number have been provided in Section 1.
- Section 2 has been completed to appoint a financial services professional, with the level of authority you're granting the third party authority.
- Section 3 has been completed to appoint a financial services company with the level of authority you're granting the third party authority.
- All account holders have signed Section 5 and provided us with a copy of their ID, if we don't already have a valid copy on file.
- Section 5 has been signed in accordance with our acceptable signature requirements, and if the form has been signed with an electronic signature, the COC document has been attached.
- Either you or your financial adviser can submit this form once complete. If you submit the form via email, the email address that we receive the form from must match the email address we have on file.

6

Terms and conditions

General terms which apply to all levels of authority

- 6.1 Only you may appoint a third party to withdraw from your account.
- 6.2 If you appoint a third party to withdraw from your account they will automatically be able to enquire on your account also.
- 6.3 We can impose additional conditions to these authorities at any time (acting reasonably).
- 6.4 You acknowledge and agree that these terms apply to the third party you appoint in the same way that they apply to you. We recommend that you ensure that every third party that you give authority in respect of your account has read and complies with these terms.
- 6.5 You will be in breach of these terms if any third party that you give authority to does not comply with these terms.
- 6.6 This authority takes effect on the date when we amend our records to note the appointment of the third party. This continues until we cancel it or you cancel it by contacting us. Cancellation takes effect on the date when we amend our records to note the change.
- 6.7 We will notify you if we cancel the appointment of a third party.
- 6.8 We will cancel the authority given to a third party if we are notified of the death, bankruptcy or loss of capacity of either you or the third party.
- 6.9 Third parties cannot set up direct debits on your account or, subject to clause 6.10, give other third parties access or authority on your account.
- 6.10 Where you give authority to a company or firm:
- the company or firm will give us details of people who can transact on its behalf
 - you acknowledge and agree that the company or firm may do this and the people they nominate can access your account according to the authority you have given to the company or firm
 - we will only act on Withdrawal requests from the company or firm, if the person requesting the Withdrawal has been nominated by it in accordance with our procedures, and
 - the company or firm must contact us if any nominated person no longer has authority. If you change adviser or cease using one, you should ensure you contact us promptly to cancel their authority. Otherwise, they may still be able to operate your account.
- 6.11 You acknowledge and agree that if the third party appointed by you does not comply with these terms, we may, acting reasonably, cancel the person's authorisation and also suspend, freeze or block your account.
- 6.12 You release us from all claims and liabilities in relation to your account resulting from the appointment of any third party, including your Financial Services Professional or any person nominated by them, as well as their use of Adviser Initiated Payments.
- 6.13 However we remain liable for any loss or liability which:
- arises as a result of our negligence, or
 - by operation of law we cannot exclude.

Terms relating to each of the levels of authority

It's important you understand what level of access you are granting a third party. You can revoke these authorities at any time by contacting us.

You agree to terms and conditions for Macquarie Online as set out in the applicable offer document available from macquarie.com.au/advisers or by contacting us.

6.14 Enquiry authority

- You authorise the third party to have access to information about your account.
- Enquiry Authority does not allow the third party to make Withdrawals from your account, make changes to your account details or close your account.

6.15 Financial Services Debit Authority: You authorise your Financial Services Professional to make Withdrawals from your Cash Account to an account held in the name of or controlled by the Financial Services Professional's company or firm through which they are licensed to provide financial services to you.

6.16 Tax payment authority

You authorise the third party to withdraw funds from your account to make payments on your behalf directly to the Australian Taxation Office (ATO).

6.17 General withdrawal authority

- You authorise the third party to make payments and withdrawals for any purpose.
- General Withdrawal Authority does not authorise the third party to make any changes to your account details or close your account.
- Your Financial Services Professional reserves the right to hold funds from the time the order is placed or the time of execution to settle trades.

Terms and conditions (continued)

6.18 **Authorised signatory**

- a) You authorise the third party to make payments and withdrawals according to the General Withdrawal Authority terms above.
- b) In addition, this authority also allows the third party to change your Cash Account details (subject to the signing instruction) and to close your Cash Account. This authority does not allow the authorised signatory to appoint other authorised signatories. We only allow Financial Services Professionals to be appointed as an Authorised Signatory in limited circumstances, and we reserve the right to remove such access from Financial Services Professionals in our absolute discretion.

6.19 **Limited funds transfer authority - Macquarie Cash Management Accelerator Account (Accelerator) only**

- a) You authorise the third party to have access to information about your Accelerator.
- b) You authorise the third party to transfer funds interchangeably between your Macquarie CMA and your Accelerator.
- c) Your authorised third party cannot otherwise transact, change details on your Accelerator, or close your Accelerator.
- d) Where your authorised third party has been given this Limited Funds Transfer Authority, you will not be required to give a Secure Code where Adviser Initiated Payments is requested by your Financial Services Professional.

6.20 **Limited Third Party Authority - Term Deposit opening only**

- a) You authorise the third party to have access to information about your Cash Account. Your authorised third party cannot otherwise transact, change details on your Cash Account, or close your Cash Account.
- b) You authorise the third party to establish a new Macquarie Bank Term Deposit in the same name and associated details as your account and funds will be debited from your account. You authorise the third party to provide all required Term Deposit application details, including but not limited to the investment term and interest instructions.
- c) You agree to be bound by the terms and conditions set out in the Macquarie Bank Term Deposit Product Information Statement (TD T&Cs). You acknowledge that by providing this authority, the third party you have nominated is empowered to open Macquarie Bank Term Deposit accounts on your behalf, and will be authorised to operate your account as set out in section 12 and 13 of the TD T&Cs.