

MFUSA New Account Opening Checklist

Before a Futures account is opened with Macquarie Futures USA LLC, the following documents must be completed and on file.

*****please note the page numbers refer to the pre-printed numbers on the upper right-hand corner of each page*****

New Account Information Form – Information and Signatures Required:

- Pg. 5: CFTC Risk Disclosure & Non-Cash Margin
[Mandatory Signature(s) Required]
- Pg. 8: CFTC Risk Disclosure
[Mandatory Signature(s) Required]
- Pg. 9 – 12: New Account Information
[Please complete all pages. Mandatory Signature(s) required on Pg. 12]
- Pg. 13 – 14: Part II - Principals and Beneficial Owners
[Mandatory as per organizational structure]
- Pg. 15 – 17: Please complete **one** depending on the corporate structure of the entity
[Mandatory as per organizational structure]
- Pg. 18 – 22: Customer Agreement
[Mandatory Signature(s) Required on Pg. 22]
- Pg. 23 – 28: Additional Terms Applicable to the Provision of DMA Facilities
[If Applicable]
- Pg. 29: Electronic Trading and Order Routing Disclosure
[Mandatory Signature(s) Required]
- Pg. 30: Hedge Accounts
[If Applicable]
- Pg. 31: Electronic Statement Disclosure
[Mandatory Signature(s) Required]
- Pg. 32 - 33: Trading Authorization and Advisor Agreement
[If Applicable]
- Pg. 34: Non-Solicitation Agreement
[If Applicable]

- Pg. 34: Introducing Broker
[If Applicable]
- Pg. 35: Futures Cross Trade Consent
[Optional]
- Pg. 35: Transfer of Funds
[Optional]
- Pg. 36: Arbitration Agreement
[Optional]
- Pg. 37: Account Transfer Form
[If Applicable]
- Pg. 38: Trust Information and Trustee Certification
[If Applicable]
- Pg. 41-47: W-9 or Applicable W-8 Tax Form
[Mandatory as per organizational structure]

Information required for ALL clients, regardless of entity type:

- Legal Name;
- Legal Address (not PO Box);
- Country of domicile; and
- Tax ID # or Gov't. ID #
- Audited Financials

Information required for all Beneficial Owners holding 10% or more:

- Full Legal Name (if individual, include middle name);
- Title
- Country of Domicile

Information required for each Principal (i.e. Director, Managing Member, General Partner etc).

- Full Legal Name (if individual, include middle name);
- Job Title; and
- Country of Domicile

Document of Existence (depending upon the formation type of the entity)

- **Corporation, including insurance companies and broker/dealers**
 - Certificate of Incorporation;
 - Evidence of exchange listing if non-US;
 - Government registration;
 - By-Laws;
 - Articles of Incorporation; **or**
 - Government issued business license.

- **Limited Liability Company**
 - Articles of Organization;
 - Certificate of Formation or the like; **or**
 - LLC Agreement

- **Banks / Depository Institution – Excluding Central Banks (for Central Banks refer to ‘Government Entity’)**
 - Copy of banking license; **AND**
 - If client is a Non-US Bank, must complete *Foreign Bank Certification*.
 - Prospectus or document evidencing filing with a regulatory entity.
 - Foreign Financial Institution Questionnaire

- **General Partnership**
 - Certificate of Partnership or the like; **or**
 - Partnership Agreement.

- **Unincorporated Association**
 - Assumed name certificate.

- **Government entities**
 - Non-US Government entities must provide a copy of the relevant statutory enactment establishing their existence.

- **Private Investment Vehicle / Personal Holding Company (regardless of legal structure)**
 - Certificate of Incorporation; **or**
 - Certificate of Formation, or the like;

- **Limited Liability Partnership / Limited Partnership**
 - Certificate of Formation or the like; **or**
 - LLP Agreement / Limited Partnership Agreement

- **Funds**
 - In addition to the documentation needed for the specific entity type (e.g. LP, LLC, etc.), we will also require the Offering Memo