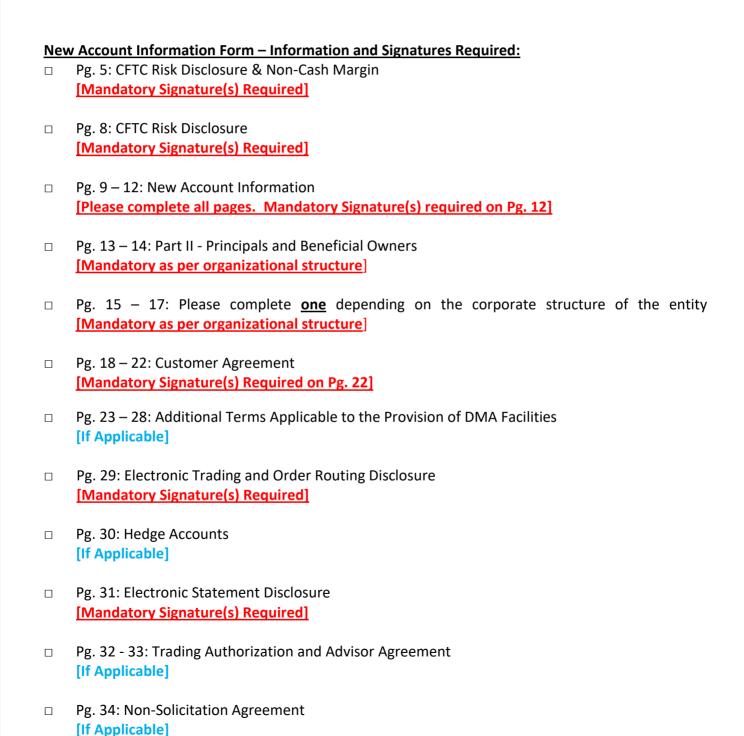
## **MFUSA New Account Opening Checklist**

<u>Before</u> 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\*\*\*



	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);	
	$\square$ Country of domicile; and	
	☐ Tax ID # or Gov't. ID #	
	☐ Audited Financials	
Information required for all Boneficial Owners holding 100/ or many		
111119	ormation 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)		
<u> </u>	Corporation, including insurance companies and broker/dealers	
	☐ Certificate of Incorporation;	
	☐ Evidence of exchange listing if non-US;	
	☐ Government registration;	
	□ By-Laws;	
	☐ Articles of Incorporation; <b>or</b>	
	☐ Government issued business license.	

	Limited Liability Company
	☐ Articles of Organization;
	☐ Certificate of Formation or the like; <b>or</b>
	☐ 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