



ASIC

Australian Securities & Investments Commission

Australian Financial Services Licensee

MACQUARIE BANK LIMITED
AFS Licence Number 237502

Extracted from ASIC's database at AEST 08:35:59 on 14/11/2013

Current Details	
Name:	MACQUARIE BANK LIMITED
Licence Number:	237502
Status:	Current
ABN:	46 008 583 542
Commenced:	01/03/2004
Previous License Details - Pre FSR	
Role:	Securities Dealer
Licence number:	10836
Commenced:	05/03/1985
Role:	Futures Broker
Licence number:	10850
Commenced:	31/12/1986
Addresses	
Principal Business Address:	MACQUARIE BANK LIMITED, Level 15, 1 Martin Place SYDNEY NSW 2000
Service Address:	MACQUARIE BANK LIMITED, Level 15, 1 Martin Place SYDNEY NSW 2000
Trading Name(s)	
Name:	MACQUARIE WARRANTS
Commenced:	01/03/2004
Roles	
Role:	Auditor of FS Licensee
Name:	PRICEWATERHOUSECOOPERS
Commenced:	01/03/2004
External Dispute Resolution	
Scheme:	Financial Ombudsman Service
Membership Number:	10019
Commenced:	01/07/2008
Licence Authorisation Conditions	
From:	20/12/2012
Details:	<ol style="list-style-type: none">1. This licence authorises the licensee to carry on a financial services business to:<ol style="list-style-type: none">(a) provide financial product advice for the following classes of financial products:<ol style="list-style-type: none">(i) deposit and payment products including:<ol style="list-style-type: none">(A) basic deposit products;(B) deposit products other than basic deposit products; and(C) non-cash payment products;(ii) derivatives;(iii) foreign exchange contracts;(iv) general insurance products;(v) debentures, stocks or bonds issued or proposed to be issued by a government;(vi) interests in managed investment schemes including:<ol style="list-style-type: none">(A) investor directed portfolio services;



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- (vii) securities;
- (viii) standard margin lending facility;
- (ix) superannuation;
- (x) carbon units;
- (xi) Australian carbon credit units;
- (xii) eligible international emissions units; and
- (xiii) financial products limited to:
 - (A) miscellaneous financial investment products;
- (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes excluding investor directed portfolio services;
 - (F) securities;
 - (G) standard margin lending facility; and
 - (H) financial products limited to:
 - (1) miscellaneous financial investment products;
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products;
 - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (F) interests in managed investment schemes including:



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- (I) investor directed portfolio services;
- (G) securities;
- (H) standard margin lending facility;
- (I) superannuation;
- (J) carbon units;
- (K) Australian carbon credit units;
- (L) eligible international emissions units; and
- (M) financial products limited to:
 - (1) miscellaneous financial investment products; and
 - (iii) underwriting:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities;
- (c) make a market for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body;
 - (iv) carbon units;
 - (v) Australian carbon credit units;
 - (vi) eligible international emissions units; and
 - (vii) limited to financial products other than:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (d) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services; to retail and wholesale clients.

From: 22/12/2010

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice for the following classes of financial products:
 - (i) deposit and payment products including:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products; and
 - (C) non-cash payment products;



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- (ii) derivatives;
- (iii) foreign exchange contracts;
- (iv) general insurance products;
- (v) debentures, stocks or bonds issued or proposed to be issued by a government;
- (vi) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
- (vii) securities;
- (viii) standard margin lending facility;
- (ix) superannuation; and
- (x) managed investment warrants;
- (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes excluding investor directed portfolio services;
 - (F) securities;
 - (G) standard margin lending facility; and
 - (H) managed investment warrants;
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products;
 - (E) debentures, stocks or bonds issued or



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- proposed to be issued by a government;
- (F) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (G) securities;
 - (H) standard margin lending facility;
 - (I) superannuation; and
 - (J) managed investment warrants; and
- (iii) underwriting:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities;
- (c) make a market for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
 - (iv) limited to financial products other than:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (d) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services; to retail and wholesale clients.

From: 29/11/2006

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice for the following classes of financial products:
 - (i) deposit and payment products including:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products; and
 - (C) non-cash payment products;
 - (ii) derivatives;
 - (iii) foreign exchange contracts;
 - (iv) general insurance products;
 - (v) debentures, stocks or bonds issued or proposed to be issued by a government;



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- (vi) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
- (vii) managed investment warrants;
- (viii) securities; and
- (ix) superannuation;
- (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes excluding investor directed portfolio services; and
 - (F) managed investment warrants;
 - (G) securities;
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products;
 - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (F) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (G) managed investment warrants;
 - (H) securities; and
 - (I) superannuation; and



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- (iii) underwriting:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities; and
 - (C) managed investment warrants; and
- (c) make a market for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
 - (iv) limited to financial products other than:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (d) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services; and this licence authorises the licensee to provide financial services consisting of making a market for derivatives in the capacity of a Registered Independent Options Trader within the meaning of the operating rules of ASX known as the ASX Business Rules; to retail and wholesale clients.

From: 01/03/2004

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice for the following classes of financial products:
 - (i) deposit and payment products including:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products; and
 - (C) non-cash payment products;
 - (ii) derivatives;
 - (iii) foreign exchange contracts;
 - (iv) general insurance products;
 - (v) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (vi) interests in managed investment schemes



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including:

- (A) investor directed portfolio services;
- (vii) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
 - (A) to which the definition of derivative in sub section 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
 - (B) that is transferable; and
 - (C) that is a warrant as defined in the ASX Operating Rule that has been admitted by the ASX to trading status on a financial market of the ASX;
- (viii) securities; and
- (ix) superannuation;
- (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes excluding investor directed portfolio services; and
 - (F) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
 - (1) to which the definition of derivative in sub section 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
 - (2) that is transferable; and
 - (3) that is a warrant as defined in the ASX Operating Rule that has been admitted by the



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- ASX to trading status on a financial market of the ASX; and
- (G) securities;
- (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products;
 - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (F) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (G) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
 - (1) to which the definition of derivative in sub section 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
 - (2) that is transferable; and
 - (3) that is a warrant as defined in the ASX Operating Rule that has been admitted by the ASX to trading status on a financial market of the ASX;
- (H) securities; and
- (I) superannuation; and
- (iii) underwriting:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities; and
 - (C) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
 - (1) to which the definition of derivative in sub section 761D(1) applies that is a financial product of the kind referred to in



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- subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
- (2) that is transferable; and
- (3) that is a warrant as defined in the ASX Operating Rule that has been admitted by the ASX to trading status on a financial market of the ASX; and
- (c) make a market for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
 - (iv) limited to financial products other than:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (d) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services; and this licence authorises the licensee to provide financial services consisting of making a market for derivatives in the capacity of a Registered Independent Options Trader within the meaning of the operating rules of ASX known as the ASX Business Rules;to retail and wholesale clients.

Further information relating to this Licensee may be purchased from ASIC.