

GUIDE TO COMPLETING THIS FORM

- Complete:
 - ◻ Section 1 (all parts) – for Australian Companies
- Only send the **completed sections** of this form with the application form.
- Contact your broker/solicitor if you have any queries.

SECTION 1A: AUSTRALIAN COMPANY DETAILS (to be completed if company is an Australian Company)

1.1 General Information

Full name as registered by ASIC

ACN

Registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Principal place of business (if any) (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

1.2 Regulatory/ Listing Details (select the following categories which apply to the company and provide the information requested)

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

Regulator name

Licence details

Australian listed company

Name of market / exchange

Majority-owned subsidiary of an Australian listed company

Australian listed company name

Name of market / exchange

1.3 Company Type (select only ONE of the following categories)

Public Go to Section 1B below

Proprietary Go to Section 1.4 below

1.4 Directors (only needs to be completed for proprietary companies)

This section does NOT need to be completed for public and listed companies.

How many directors are there? provide full name of each director

	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 1.2 above) goto Section 1B below. Otherwise, for all other proprietary companies continue to Section 1.5 below.

1.5 Shareholders (only needs to be completed for proprietary companies that are not regulated companies as selected in Section 1.2)

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)					Surname		
<input type="text"/>				<input type="text"/>			
Residential address (PO Box is NOT acceptable)							
Street	<input type="text"/>						
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>	Country	<input type="text"/>

Shareholder 2

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

Shareholder 3

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

SECTION 1B: AUSTRALIAN COMPANY VERIFICATION PROCEDURE

Standard verification Procedure

Verify:

- The full name of the company as registered by ASIC
- Whether the company is registered as a proprietary or a public company
- The ACN issued to the company.

Tick <input type="checkbox"/>	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"/>	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC.

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 <input type="checkbox"/>	Verification options (select one or more 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.

SECTION 1C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

- **Attach** a legible copy of the ID documentation used to verify the Company.
- **Alternatively, if agreed** between your licensee and the product issuer, complete the ID Document Details below, and **DO NOT** attach copies of the ID Documents.

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

SECTION 1D: IDENTIFYING OFFICER DETAILS – identification and verification conducted by:

I certify that I have sighted the original document/s and this is a true copy of the original.

Date Verified (dd/mm/yyyy)

Solicitor/Mortgage Broker name

Phone No.

FBAA or MIAA accreditation attached (if not already provided, for Mortgage brokers only)