

GUIDE TO COMPLETING THIS FORM

- Complete the following in **BLOCK LETTERS**:
 c Section 1 (all parts) – all trusts
 AND select ü and complete one of the following sections for **ONLY ONE** of the trustees:
 c Section 2 (applicable parts) – selected trustee is an Individual
 c Section 3 (applicable parts) – selected trustee is an Australian Company
- Only send the **completed sections** of this form with the application form.
- Contact your broker/solicitor if you have any queries.

SECTION 1A: TRUST DETAILS

1.1 General Information

Full name of trust

Full business name (if any)

Country where trust established

1.2 Type of Trust (select ü only one of the following trust types and provide the information requested)

Registered managed investment scheme
 Provide Australian Registered Scheme Number (ARSN) (Go to Section 1B)

Regulated trust (eg an SMSF)
 Provide name of the regulator (eg ASIC, APRA, ATO)
 Provide the trust's ABN or registration/licensing details (Go to Section 1B)

Government superannuation fund
 Provide name of the legislation establishing the fund (Go to Section 1B)

Other trust type
 Trust description (eg family, unit, charitable, estate) (Complete Section 1.3 and 1.4)

1.3 Beneficiary details (only complete if "Other trust type" is selected in section 1.2 above)

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund.

Do the terms of the trust identify the beneficiaries by reference to membership of a class?

Yes Provide details of the membership class/es (eg unit holders, family members of named person, charitable purpose) (Go to Section 1.4)

No How many beneficiaries are there? Provide full name of each beneficiary below

	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"/>
5	<input type="text"/>	<input type="text"/>

If there are more beneficiaries, provide details on a separate sheet

1.4 Trustee details (only complete if "Other trust type" is selected in section 1.2 above)

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (eg SMSF) or governmentsuperannuation fund

How many trustees are there?

Provide full name & address of each trustee below

Trustee 1

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Trustee 2

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Trustee 3

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Trustee 4

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Trustee 5

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Trustee 6

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

If there are more trustees, provide details on a separate sheet

SECTION 1B: TRUST VERIFICATION PROCEDURE

For a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund (as selected in 1.2), verify:

- The full name of the trust
- That the trust is a registered managed investment scheme regulated trust or government superannuation fund, as applicable

Tick <input type="checkbox"/>	Verification options (select one of the following options used to verify the trust)
<input type="checkbox"/>	Perform a search of the ASIC, ATO or relevant regulator's website (eg "Super fund lookup" at www.abn.business.gov.au)
<input type="checkbox"/>	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.

If 'Other trust type' is selected in section 1.2 above, verify:

- The full name of the trust

Tick <input type="checkbox"/>	Verification options (select one of the following options used to verify the trust)
<input type="checkbox"/>	A notice issued by the Australian Taxation Office within the last 12 months (eg a Notice of Assessment). <i>Block out the TFN before scanning, copying or storing this document.</i>
<input type="checkbox"/>	A letter from a solicitor or qualified accountant that confirms the name of the trust
<input type="checkbox"/>	An original or certified copy or certified extract of the trust deed

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

SECTION 1C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

- **Attach** a legible copy of the ID documentation used to verify the trust (and any required translation).
- **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	
Verified From	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document Issuer / Website	
Issue date / search date	
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

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)

Complete **ONLY ONE** of the following sections, as required, to collect additional information about the identity of **ONLY ONE** of the trustees:

- **Section 2 (applicable parts)** – where the selected trustee is an Individual.
- **Section 3 (applicable parts)** – where the selected trustee is an Australian Company.

SECTION 2A: INDIVIDUAL DETAILS (to be completed if selected trustee is an individual)

Full Given Name(s) Surname Date of birth (dd/mm/yyyy)

Residential address (PO Box is NOT acceptable) Only provide address details if not provided in Section 1.4 above
 Street

Suburb State Postcode Country

If the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE

If 'Other trust type' is selected in Section 1.2 above, complete Sections 2B and 2C below.

SECTION 2B: INDIVIDUAL TRUSTEE VERIFICATION PROCEDURE

- If 'Other trust type' is selected in Section 1.2 above, verify the trustee's full name, and EITHER their date of birth OR residential address
- Complete Part 1 (or if the trustee does not own a document from Part 1, then complete either Part II or III)

PART I – ACCEPTABLE PRIMARY ID DOCUMENTS

Tick <input type="checkbox"/>	Select ONE valid option from this section only
<input type="checkbox"/>	Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
<input type="checkbox"/>	Foreign passport or similar travel document containing a photograph and the signature of the person*.

PART II – ACCEPTABLE PRIMARY ID DOCUMENTS

Tick <input type="checkbox"/>	AND ONE valid option from this section
<input type="checkbox"/>	Australian birth certificate.
<input type="checkbox"/>	Australian citizenship certificate
<input type="checkbox"/>	Pension card issued by Centrelink
<input type="checkbox"/>	Health card issued by Centrelink.

Tick <input type="checkbox"/>	AND ONE valid option from this section
<input type="checkbox"/>	A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.
<input type="checkbox"/>	A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document.
<input type="checkbox"/>	A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).

PART III – ACCEPTABLE FOREIGN ID DOCUMENTS – should only be completed if the individual does not own a document from part 1

Tick <input type="checkbox"/>	BOTH documents from this section must be presented
<input type="checkbox"/>	Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth.*
<input type="checkbox"/>	National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued*.

*Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

SECTION 2C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

- **Attach** a legible copy of the ID documentation used to verify the trust (and any required translation).
- **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"/> Certified copy	<input type="checkbox"/> Performed search	<input type="checkbox"/> Certified copy
Document Issuer				
Issue date				
Expiry date				
Document number				
Accredited English translation	<input type="checkbox"/> N/A	<input type="checkbox"/> Sighted	<input type="checkbox"/> N/A	<input type="checkbox"/> Sighted

If the selected trustee is an individual, the form is now COMPLETE

SECTION 3A: AUSTRALIAN COMPANY DETAILS (to be completed if selected trustee is an Australian Company)

3.1 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

3.2 Regulatory/ Listing Details (select the following categories which apply to the trustee 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

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

Public *If the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE*

If 'Other trust type' is selected in Section 1.2 above, complete Sections 3B and 3C below

Proprietary *Continue to Section 3.4*

3.4 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 3.2 above) AND the trust type selected in Section 1.2 above is:

- a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE
- "other trust type", complete Sections 3B and 3C below.

Otherwise continue to Section 3.5 below.

3.5 Shareholders (only needs to be completed for proprietary companies that are not regulated companies as selected in Section 3.2)

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

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Shareholder 2

Full given name(s)

Surname

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Shareholder 3

Full given name(s)

Surname

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

If the trust type selected in Section 1.2 above is:

- a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE
- "other trust type", complete Sections 3B and 3C below.

SECTION 3B: AUSTRALIAN COMPANY TRUSTEE VERIFICATION PROCEDURE

Standard verification Procedure

If 'Other trust type' is selected in Section 1.2 above, verify:

- The full name of the trustee company as registered by ASIC
- Whether the trustee 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:

If 'Other trust type' is selected in Section 1.2 above, verify

- That the trustee company is an Australian listed company (if applicable)
- That the trustee company is a majority owned subsidiary of an Australian listed company (if applicable)
- That the trustee 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 3C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

- **Attach** a legible copy of the ID documentation used to verify the trustee 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		