

# IDENTIFICATION FORM AUSTRALIAN REGULATED TRUSTS & TRUSTEES (Including Self-Managed Super Funds)

## GUIDE TO COMPLETING THIS FORM

- o This form is for AUSTRALIAN REGULATED TRUSTS AND TRUSTEES only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator. For Trusts that are not subject to the oversight of an Australian regulator, complete the UNREGULATED TRUSTS AND TRUSTEES IDENTIFICATION FORM.
- o Collect information about the Trust and one Trustee. The identity of the Trust must be verified (not the Trustee).
- o Complete all applicable sections of this form in BLOCK LETTERS.
- o Contact your licensee if you have any queries.

## SECTION 1: REGULATED TRUST IDENTIFICATION PROCEDURE

### Section 1.1: General Information

Full name of Trust	<input type="text"/>
Country where trust established (only required if not Australia)	<input type="text"/>
Full business name of trustee in respect of the trust (if any)	<input type="text"/>

### Section 1.2: Type of Regulated Trust

Tick ✓	Select one of the following type of Regulated Trust
<input type="checkbox"/>	<b>Self-Managed Superannuation Fund</b> Provide the SMSF's ABN <input type="text"/>
<input type="checkbox"/>	<b>Registered managed investment scheme</b> Provide Australian Registered Scheme Number (ARSN) <input type="text"/>
<input type="checkbox"/>	<b>Government superannuation fund</b> Provide name of the legislation establishing the fund <input type="text"/>
<input type="checkbox"/>	<b>Other regulated Trust</b> (A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund) Provide name of the regulator (e.g. ASIC, APRA, ATO) <input type="text"/> Provide the Trust's ABN or registration/licensing details <input type="text"/>

For other types of Trusts (e.g. family, unit, charitable, estate) or Trusts regulated by a foreign regulatory body, do not use this form but rather complete the UNREGULATED TRUSTS AND TRUSTEES IDENTIFICATION FORM.

## SECTION 2: TRUSTEE IDENTIFICATION PROCEDURE (Please complete EITHER section 2.1 OR section 2.2)

For Australian Regulated Trusts, identification information is required for one of the Trustees. This information is only required for one Trustee, even if the Trust has a number of Trustees. Please provide identification information for either an individual Trustee (section 2.1) or a corporate Trustee (section 2.2).

### Section 2.1: Individual Trustee (To be completed if the selected Trustee is an individual)

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Residential Address (PO Box is <u>not</u> acceptable)		
Street	<input type="text"/>	
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	<input type="text"/>	

OR

### Section 2.2: Company Trustee (To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then complete the FOREIGN COMPANY IDENTIFICATION FORM in addition to this form)

#### 2.2.1 Company Details

Full name as registered by ASIC	ACN
<input type="text"/>	<input type="text"/>

Registered 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 **2.2.2 Regulatory/ Listing Details** (If the company is regulated or listed, select the relevant category and provide the information requested)

- ☐ **Regulated company** (A company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body. Examples of regulated companies include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) or Registrable Superannuation Entity (RSE) Licensees.)

Regulator name

Licence details (e.g. AFSL, ACL, RSE)

- ☐ **Australian listed company**

Name of market / exchange

- ☐ **Majority-owned subsidiary of an Australian listed company**

Australian listed parent company name

Name of market / exchange

**2.2.3 Company Type** (Select one of the following company types)

- ☐ **Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies) Go to Section 3
- ☐ **Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) Go to section 2.2.4

**2.2.4 Directors** (To be completed for proprietary companies, not required for public companies as per 2.2.3)How many directors are there?  Provide full name of each director

Full given name(s)

Surname

1  2  3  4  

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

**2.2.5 Beneficial owners** (To be completed for proprietary companies, not required for public companies as per 2.2.3)Provide details of **ALL individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

Beneficial owner 1		Beneficial owner 2		Beneficial owner 3	
Full given name(s)		Full given name(s)		Full given name(s)	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
Surname		Surname		Surname	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
Residential Address (PO Box is NOT acceptable)		Residential Address (PO Box is NOT acceptable)		Residential Address (PO Box is NOT acceptable)	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
Suburb	State	Suburb	State	Suburb	State
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	Postcode	Country	Postcode	Country	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**SECTION 3: REGULATED TRUST VERIFICATION PROCEDURE****Regulated Trust Verification procedure:**

Information to be verified:

- ☐ Full name of the Trust
- ☐ That the Trust is a Self-Managed super fund; registered managed investment scheme, government superannuation fund or other regulated Trust, as applicable

Tick ✓	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 (e.g. "Super Fund Lookup" at <a href="http://www.abn.business.gov.au">www.abn.business.gov.au</a> ).
<input type="checkbox"/>	A copy of an offer document of the managed investments scheme (e.g. a copy of a Product Disclosure Statement)
<input type="checkbox"/>	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website
<input type="checkbox"/>	An original or certified copy of the Trust deed <b>or if not reasonably available</b> an original or certified extract of the Trust deed

**IMPORTANT NOTE:**

- **Either attach a legible certified copy of the ID documentation used to verify the Trust OR**
- **Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section below and DO NOT attach copies of the ID Documents**

**SECTION 4: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT	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	<a href="http://www.asic.gov.au">www.asic.gov.au</a>	
Document Type / Search details		
Issue date / Search date		

By completing and signing this Record of Verification Procedure I declare that I have verified the identity of the Customer as required by AML/CTF Rules and that this identification procedure has been performed by an AFSL holder or an authorised representative of an AFSL holder.

AFS Licensee Name

AFSL No.

Representative/ Employee Name

Phone No.

Signature

Date  
Verification  
Completed