

### GUIDE TO COMPLETING THIS FORM

- o This form is for **UNREGULATED TRUSTS AND TRUSTEES**. For Trusts subject to the oversight of an Australian statutory regulator, including Self-Managed Superannuation Funds, complete the **AUSTRALIAN REGULATED TRUSTS AND TRUSTEES IDENTIFICATION FORM**.
- o Collect information on the Trust and all of the Trustees and verify the identity of the Trust (Section 1) and one of the Trustees (Section 2).
- o Complete all applicable sections of this form in **BLOCK LETTERS**.
- o Contact your licensee if you have any queries.

## SECTION 1: UNREGULATED TRUST IDENTIFICATION PROCEDURE

### 1.1 General Information

Full name of the Trust	
Full business name of the trustee in respect of the trust (if any)	
Country where Trust established	

### 1.2 Type of Unregulated Trust

**Tick ✓** Select one of the following types of unregulated Trusts

- ☐ Family Trust
 ☐ Charitable Trust
 ☐ Testamentary Trust
 ☐ Other type provide description

If the Trust is a self-managed superannuation fund, registered managed investment scheme, government superannuation fund or other regulated Trust, do not use this form but rather complete the **AUSTRALIAN REGULATED TRUSTS & TRUSTEES IDENTIFICATION FORM**.

### 1.3 Beneficiaries Details

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

☐ **Yes** Provide details of the membership class/es (e.g. unit holders, family members of named person, charitable organisations/causes)

(Go to Section 1.4)

☐ **No** How many beneficiaries are there?

	Full given name(s)	Surname
1		
2		
3		
4		

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

### 1.4: Trustee Details

How many Trustees are there?  provide full name & address of **all** Trustees below

Trustee 1		Trustee 2		Trustee 3	
Full given name(s)/ Company name		Full given name(s)/ Company name		Full given name(s)/ Company name	
<div style="border: 1px solid black; height: 20px;"></div>		<div style="border: 1px solid black; height: 20px;"></div>		<div style="border: 1px solid black; height: 20px;"></div>	
Surname		Surname		Surname	
<div style="border: 1px solid black; height: 20px;"></div>		<div style="border: 1px solid black; height: 20px;"></div>		<div style="border: 1px solid black; height: 20px;"></div>	
Residential/ Business Address <small>(PO Box is NOT acceptable)</small>		Residential/ Business Address <small>(PO Box is NOT acceptable)</small>		Residential/ Business Address <small>(PO Box is NOT acceptable)</small>	
<div style="border: 1px solid black; height: 40px;"></div>		<div style="border: 1px solid black; height: 40px;"></div>		<div style="border: 1px solid black; height: 40px;"></div>	
Suburb	State	Suburb	State	Suburb	State
<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>
Country	Postcode	Country	Postcode	Country	Postcode
<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>	<div style="border: 1px solid black; height: 20px;"></div>

If there are more Trustees, provide details on a separate sheet.

**SECTION 2: TRUSTEE IDENTIFICATION PROCEDURE (COMPLETE SECTION 2.1 OR 2.2)****IMPORTANT:**

- Full identification information for **one** of the Trustees listed in **section 1.4** must be provided in this section and this Trustee verified in Section 3.
- Complete either section 2.1 (if the selected Trustee is an individual) or section 2.2 (if the selected Trustee is an Australian company).
- If the selected Trustee is a foreign company, complete the FOREIGN COMPANY IDENTIFICATION FORM to identify and verify this company.

**SECTION 2.1: INDIVIDUAL TRUSTEE**

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 not acceptable*) *Only provide address details if not provided in Section 1.4 above*

Street	<input type="text"/>						
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>	Country	<input type="text"/>

If section 2.1 has been completed then go to section 3 (no need to complete section 2.2).

**SECTION 2.2: AUSTRALIAN COMPANY TRUSTEE****2.2.1 Company Details**

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

Registered Office 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"/>

Principal Place of Business (if any) (*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"/>

**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)
<input type="text"/>	<input type="text"/>

- ☐ **Australian listed company**

Name of market / exchange
<input type="text"/>

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

Australian listed parent company name	Name of market / exchange
<input type="text"/>	<input type="text"/>

**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	<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*

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

**SECTION 3: UNREGULATED TRUST AND TRUSTEE VERIFICATION PROCEDURE**

Identification documentation is to be provided to verify the Trust (section 3.1) and the selected Trustee, either section 3.2 (for an individual Trustee) or section 3.3 (for a company Trustee). If the selected Trustee is a foreign company, a *FOREIGN COMPANY IDENTIFICATION FORM* should be completed instead of section 3.3.

**SECTION 3.1: UNREGULATED TRUST VERIFICATION PROCEDURE****Trust Verification procedure**

Information to be verified:

☐ Full name of the Trust

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

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

**AND**

**SECTION 3.2: INDIVIDUAL TRUSTEE VERIFICATION PROCEDURE****Individual Trustee Verification Procedure (to be completed if an individual Trustee is listed in Section 2.1)**

Information to be verified:

☐ The Trustee's full name; and EITHER their date of birth OR residential address

Tick ✓	Verification options (select one of the following primary ID documents used to verify the individual Trustee)
<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 *

If one of the primary ID documents listed above is not available, refer to the IDENTIFICATION FORM INDIVIDUALS & SOLE TRADERS to determine which secondary or foreign ID documents should be used to verify the individual Trustee and list these documents below.

Tick ✓	Verification options (list the secondary or foreign ID documents used to verify the individual Trustee)
<input type="checkbox"/>	_____ *
<input type="checkbox"/>	_____ *

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

**OR**

**SECTION 3.3: COMPANY TRUSTEE VERIFICATION PROCEDURE****Company Trustee Verification Procedure (to be completed if an Australian company Trustee is listed in Section 2.2):**

Information to be verified:

- ☐ The full name of the company as registered by ASIC
- ☐ The ACN issued to the company
- ☐ Whether the company is registered as a proprietary or a public company
- ☐ If the company is a listed or regulated company (as per 2.2.2) that the company is an Australian listed company, a majority owned subsidiary of an Australian listed company or a regulated company (whichever is applicable).

Tick ✓	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.
<input type="checkbox"/>	Perform a search of the relevant market/exchange (for listed companies).
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator (for regulated companies).
<input type="checkbox"/>	A public document issued by the relevant company.

**IMPORTANT NOTE:**

- **Either attach a legible certified copy of the ID documentation used to verify the Trust and selected Trustee (and any required translation) 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****SECTION 4.1: Unregulated Trust Verification (as per Section 3.1)**

ID DOCUMENT DETAILS	Document 1	Document 2 (if required)
Verified From	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy	<input type="checkbox"/> Original <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

**SECTION 4.2: Individual or Company Trustee Verification (as per section 3.2 or 3.3)**

ID DOCUMENT DETAILS	Document 1	Document 2 (if required)
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		
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

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