

IDENTIFICATION FORM: AUSTRALIAN COMPANIES

GUIDE TO COMPLETING THIS FORM

- o This form is for AUSTRALIAN COMPANIES only. For companies incorporated outside of Australia use the FOREIGN COMPANIES IDENTIFICATION FORM
- o Complete one form for each company
- o Complete separate INDIVIDUAL ID Forms for each of the company's Beneficial Owners
- o Complete all applicable sections of this form in BLOCK LETTERS
- o Contact your Licencee if you have any queries

SECTION 1: AUSTRALIAN COMPANY IDENTIFICATION PROCEDURE

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

Nature of Business Activity

For companies registered outside of Australia do not use this form but rather complete the **FOREIGN COMPANIES IDENTIFICATION FORM**.

1.2 Company Type (select ✓ only ONE of the following categories)

- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to 1.3
- Public** (companies whose name does not include the word Pty or proprietary), proceed to 1.4

1.3 Directors (Required for all Proprietary Companies as per 1.2, NOT required for Public Companies)

Provide the names of all directors

Full given name(s)

Surname

1

2

3

4

If there are more directors, provide details on a separate sheet and tick this box .

1.4 Listing and Regulatory Details (Select ✓ any of the following categories if applicable)

- Australian Public Listed company** (companies that are listed on an Australian financial market such as the ASX) *Proceed to Section 2*
- Name of market / exchange
- Majority Owned Subsidiary of an Australian Public Listed company** (companies that are majority owned by an Australian company that is listed on an Australian financial market such as the ASX) *Proceed to Section 2*
- Australian listed company name
- Name of market / exchange
- Regulated company** (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees) *Proceed to Section 2*
- Regulator name
- Licence details (e.g. AFSL, ACL, RSE)

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1.5 Beneficial Ownership

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed company or Regulated Companies as per 1.4.

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?

Yes (Complete 1.5.1) No (Complete 1.5.2)

1.5.1 Shareholder Beneficial Owners

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)	Surname
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If Beneficial Owner name/s is provided above, proceed to section 2

1.5.2 Other Beneficial Owners or persons exercising control

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf)

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)	Surname	Role (such as Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box

SECTION 2: FATCA INFORMATION (US FOREIGN ACCOUNT TAX COMPLIANCE ACT)

2.1 FATCA Status (select ✓ only ONE of the following categories and provide the information requested)

- Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)
Provide the company's Global Intermediary Identification Number (GIIN), if applicable
If the company is a Financial Institution but does not have a GIIN, provide its FATCA status (select ✓ ONE of the following statuses)
 - Deemed Compliant Financial Institution
 - Excepted Financial Institution
 - Exempt Beneficial Owner
 - Non Reporting IGA Financial Institution
 - Non Participating Financial Institution
 - Other (describe the FATCA status in the box provided)

If the company is a Financial Institution section 2 is now complete, proceed to section 3

- Non-Financial Australian Public Listed Company or a corporate Australian Registered Charity** (Public listed companies as per 1.4 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)
If the company is an Australian Public Listed Company or an Australian Registered Charity, section 2 is now complete, proceed to section 3.
- Non-Financial Proprietary Company or an unlisted public company** that are not Financial Institutions as described above

Are any of the Beneficial Owners US citizens or residents of the US for tax purposes Yes No

If yes, provide the US Taxpayer Identification Number (TIN) of these Beneficial Owners in the individual ID Form completed for these Beneficial Owners as part of 1.5 of this form

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SECTION 3: AUSTRALIAN COMPANY VERIFICATION PROCEDURE

Identification documentation is to be provided to verify the information listed in the standard or simplified verification procedure(s) described below. The simplified verification procedure is to be used for Australian Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies and Regulated companies as described in section 1.4 of this form. All other companies are to be verified according to the standard verification procedure

Standard verification procedure

Information to be verified:

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

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

Simplified verification procedure for a regulated company, an Australian listed company or a majority owned subsidiary of an Australian listed company (as described in section 1.4 of this form)

- o The full name of the company
- o That the company is an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public 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 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

IMPORTANT NOTE:

- Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per 1.5 AND
- Attach a legible certified copy of the ID documentation used to verify the company 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 BY LICENCEE

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		
Public Document Type		
Issue date / Search date		

By completing and signing this Record of Verification Procedure I represent and warrant to Ausbil that:

- an identity verification procedure has been completed in accordance with the AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative
- individual customer ID Forms have been provided for the company's Beneficial Owners (where applicable)
- the FATCA information provided is reasonable considering the documentation provided
- I have followed the FSC/FPA Industry Guidance Note No.24, Part 7.2 of the AML/CTF Rules and any other application guidelines and laws with respect to the AML/CTF Laws
- I will make available to Ausbil, on request, original verification and identification records obtained by me in respect of the client
- on request, I will provide details of the customer identification procedures adopted by me in relation to the client
- I have kept a record of the clients identification and verification and will retain these in their files for a period of seven years after my relationship with the client has ended
- I will use reasonable efforts to obtain additional information from the client if Ausbil requests me to do so
- I will not knowingly do anything to put Ausbil in breach of AML/CTF Laws, and
- I will notify Ausbil immediately if I become aware of anything that would put Ausbil in breach of AML/CTF Laws

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AFS Licensee Name

AFSL No.

Representative/ Employee Name

Phone No.

Signature

Date
Verification
Completed