

IDENTIFICATION FORM: FOREIGN COMPANIES

GUIDE TO COMPLETING THIS FORM

- o This form is for FOREIGN COMPANIES only. For companies incorporated in Australia use the AUSTRALIAN 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: FOREIGN COMPANY IDENTIFICATION PROCEDURE

1.1 General Information

Full name of foreign company

Country of formation / incorporation / registration

Nature of Business Activities

Select if registered by a foreign body and provide name of body (e.g. Equivalent to ASIC or Corporate Regulator)

For companies incorporated in Australia do not use this form; complete the **AUSTRALIAN COMPANIES IDENTIFICATION FORM**.

1.2 Is the foreign company registered with ASIC? (select ONE of the following)

Yes Provide ARBN

Provide **EITHER** principal place of business address in Australia **OR** local agent name and address details (*Tick one box*)

Address (*PO Box is NOT acceptable*)

Street

Suburb State Postcode Country

Name of local agent in Australia

No Provide company identification number (if any) issued by the foreign registration body

Principal place of business in the company's country of formation or incorporation (*PO Box is NOT acceptable*)

Street

Suburb State Postcode Country

1.3 Registered Address of Company

Provide the registered address as registered with ASIC. If the company is NOT registered with ASIC, provide the registered address in the country of formation, incorporation or registration (if any).

Street

Suburb State Postcode Country

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

- Private**, proceed to 1.5
- Public**, proceed to 1.6

1.5 Directors (Required for all Private Companies as per 1.4, NOT required for Public Companies)

Provide the names of all directors.

	Full given name(s)	Surname
1	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
2	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

3		
4		

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

1.6 Listing and Regulatory Details (select any of the following categories **if applicable**)

- Public Listed** (companies that are subject to disclosure requirements that ensure transparency of Beneficial Ownership comparable to similar public listing requirements in Australia. Refers to listing on a financial market that by stock exchange rules, law or enforceable means promotes transparency of beneficial owner information) *Proceed to Section 2*
- Name of market / disclosure regime
- Country
- Majority Owned Subsidiary of an Australian Public Listed company** (companies that are majority owned by an Australian company that is listed on a financial market such as the ASX) *Proceed to Section 2*
- Australian listed company name
- Name of market / exchange
- Regulated in Australia** (subject to the supervision of an Australian 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)

1.7 Beneficial Ownership
To be completed for all companies that are not Public Listed companies, majority owned by an Australian Public Listed company or companies regulated in Australia as per 1.6

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

Yes (Complete 1.7.1) No (Complete 1.7.2)

1.7.1 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

If beneficial owner name/s are provided above, proceed to section 2

1.7.2 Other Beneficial Owners or person exercising control

If there are no individuals who meet the requirement of 1.7.1, 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)

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

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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)

- United States Company** (A company created in the US, established under the laws of the US or a US taxpayer)
- Provide the company's US Taxpayer Identification Number (TIN)
- Is the company an exempt payee for US tax purposes? Yes No
- If the company is an exempt payee, provide its exemption code
- If the company is a US Company section 2 is now complete, proceed to section 3
- 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 Public Listed Company** (Public listed companies as per 1.6 that are not Financial Institutions as described above)
- If the company is a Public Listed Company, section 2 is now complete, proceed to section 3
- Non-Financial Private 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 1.7 of this form

SECTION 3: FOREIGN COMPANY VERIFICATION PROCEDURE

Identification documentation is to be provided to verify the information listed in one of the verification procedure(s) described below (either the standard verification procedure for companies registered with ASIC, the standard verification procedure for companies not registered with ASIC or the simplified verification procedure for Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies or companies regulated in Australia as described in section 1.6 of this form)

Standard verification procedure for Foreign Companies registered with ASIC

Information to be verified:

- o The full name of the company as registered by ASIC
- o The ARBN issued to the company
- o Whether it is registered by a foreign registration body and if so, whether it is registered as a private or public 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"/>	Perform a search of the relevant foreign registration body
<input type="checkbox"/>	If the ASIC or foreign registration body database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC or by the relevant foreign registration body*

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

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Standard verification procedure for Foreign Companies NOT registered with ASIC

Information to be verified:

- o The full name of the company
- o Whether it is registered by a foreign registration body and if so whether it is registered as a private or public company
- o The identification number 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 foreign registration body.
<input type="checkbox"/>	If the foreign registration body database is not reasonably available, an original or certified copy of the certification of registration issued by the relevant foreign registration body. *
<input type="checkbox"/>	Where the above means are unavailable, a disclosure certificate from the company given by an individual acting as agent of the company (where the agent has been verified). See your licensee for other disclosure certificate requirements. *

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

Simplified verification procedure for a regulated company, a listed company or a majority owned subsidiary of an Australian listed company (as described in section 1.6 of this form)

- o The full name of the company
- o That the company is a regulated company, a listed company or a majority owned subsidiary of an Australian listed 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 financial market.
<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 company. *

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

IMPORTANT NOTE:

- Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per 1.7 AND attach a legible certified copy of the ID documentation used to verify the company (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 BY LICENSEE

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		
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

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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

AFS Licensee Name

AFSL No.

Representative/ Employee Name

Phone No.

Signature

Date

Verification
Completed