

## Know Your Customer | SMSF

### WHO SHOULD COMPLETE THIS FORM

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This form is for investments made by trustees of Self Managed Superannuation Funds (SMSF) and who would like to provide or update their Customer Verification Documents and/or their FATCA/CRS status. Typically, this form will be used by investors who are transferring from a HIN holding to a direct holding with Ausbil, or for any investor wanting to update the identification or tax status details that are held by Ausbil.

### HOW TO COMPLETE THIS FORM

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**Step 1**      **Online Form:** Please complete online and then print to sign using a black pen.

**Manual Form:** Please print, use black pen and write in BLOCK letters. If you make an error do not use correction fluid, instead, cross out your error and initial your changes.

**Note:** Please ensure all fields are completed as relevant  
If you have any questions as you complete this form, please refer to the FAQs at the end of this form, or contact us on 1800 287 245.

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**Step 2**      **Tell us your foreign tax status**

Please complete the **Global Tax Reporting (FATCA/CRS)** information in **section 3**.

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**Step 3**      **Sign and send your documents to the below address.**

Please ensure you sign **section 5** of the form in accordance with the instructions provided.

You can return your forms by post to:

Ausbil Investment Management Limited  
GPO Box 804  
Melbourne VIC 3001

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### IMPORTANT INFORMATION

- Please ensure all relevant fields are completed. If you do not complete all relevant sections your application, processing delays may occur.
- If you have any questions as you complete this form, please refer to the FAQs of this form, or contact us on 1800 287 245.

## Section 1: Account Holder Details

Complete all details below in respect of the individual(s) or sole trader(s) that will hold legal title to the units.

Account Name

Account number

HIN

*Only listed Investors should provide the HIN*

### 1. TRUST/FUND DETAILS

Full name of trust/superannuation fund

Full business name (if any) of the trustee in respect of the trust/superannuation fund

Country in which the Trust was established

Date of registration( DD/MM/YYYY)

Tax file number or exemption code

Australian Business( if any)

### 2. TRUSTEE DETAILS

**Note:** A Self-managed Super Fund (SMSF) must have a minimum of two (2) trustees and a maximum of six (6). The trustee/s can be either individual or corporate. Where the trustee is corporate, all members of the SMSF are directors of the corporate trustee. If there are more than four (4) trustees, please complete **section 2** of another KYC form and attach it to the main KYC form.

How many trustees does the SMSF have?

Type of trustee

Individual trustee (complete **section 2.1**)

Corporate trustee (complete **section 2.2** and **2.3**)

#### 2.1 Individual trustee(s) details

Individual trustee 1

Title

Given name(s)

Surname

Are you known by any other name?

No

Yes, please state:

Date of birth

Occupation

**Residential address - (A PO Box/RMB/Locked Bag is not acceptable)**

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>

Email (default address for all investor correspondence)

All correspondence will be sent to the email address provided by Individual trustee

**Postal address (if different to residential address)**

Property/building name (if applicable)

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Individual trustee 2**

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Are you known by any other name?

No  Yes, please state:

Date of birth	Occupation
<input type="text"/>	<input type="text"/>

**Residential address - (A PO Box/RMB/Locked Bag is not acceptable)**

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>

Email

All correspondence will be sent to the email address provided by Individual trustee 1.

**Individual trustee 3**

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Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Are you known by any other name?

No  Yes, please state:

Date of birth	Occupation
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>

Email

All correspondence will be sent to the email address provided by Individual trustee 1.

**Individual trustee 4**

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Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Are you known by any other name?

No  Yes, please state:

Date of birth	Occupation
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>

Email

## 2.2 Corporate trustee details

Full business name as registered by ASIC

ACN

Nature of business

Date of Registration

 /  / 

**Registered Office Address** - (PO Box is not acceptable)

Unit Street number Street name

  

Suburb State Postcode Country

   

**Principal place of business** (if any) (PO Box is not acceptable)

Unit Street number Street name

  

Suburb State Postcode Country

   

**Contact details** (for company or contact person)

Name Email(default address for all investor correspondence)

 

Business number (include country and area code) Mobile number (include country code)

 

## 2.3 What type of company is the corporate trustee?

- Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies)
- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies)

Please complete the director details below if you are an Australian proprietary company. Do not complete for public companies.

### Directors details

How many directors are there?

Please provide below the full name of all the directors. If there are more than four directors, please complete the details on a separate sheet and attach to this KYC form.

#### Director 1

Title Given name(s) Surname

  

#### Director 2

Title Given name(s) Surname

  

#### Director 3

Title Given name(s) Surname

  

#### Director 4

Title Given name(s) Surname

### 3. GLOBAL TAX REPORTING REQUIREMENTS (FATCA/CRS)

#### Why you need to complete this section?

The Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and a number of other foreign Governments have an agreement which requires us to obtain certain information from investors, including taxation information. You may be liable to a penalty if you provide information that is false or misleading that is material. We may decide not to open an account without first receiving the required information. For more information, visit [www.ato.gov.au](http://www.ato.gov.au).

If you are unsure of any of the answers, please contact a legal or accounting professional.

#### 5.1 Regulated Superannuation Funds

Are you a regulated superannuation fund?

I am the trustee of a regulated superannuation fund (this includes a self-managed superannuation fund)

#### HELP

**Regulated superannuation fund** means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled super trusts.

**Please read the declarations below before signing this form. The required signature(s) are detailed at the bottom of this form. By signing the form, the signatories are declaring that:**

- I/we have complied with all applicable laws in completing the form;
- I/we are not bankrupt or a minor, and are authorised to sign this form
- I/we have read and understood this form
- all details in this form (including all related documents provided) are true and correct and I/we release and indemnify Ausbil against any liabilities arising from acting on any of the details or any future details provided by me/us in connection with this application which are untrue, incorrect, false or misleading;
- if this form is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of that power (an original certified copy of the Power of Attorney should be submitted with this application unless we have already sighted it);
- the person/persons that signs/sign this form is/are able to operate the account on behalf of the company and bind the company for future transactions, including in respect of additional deposits and withdrawals;
- if investing as trustee, on behalf of a superannuation fund or trust I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed. In the case of superannuation funds, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993;
- in the case of superannuation funds with two or more trustees, the trustees agree that unless otherwise expressly indicated on this form, each trustee is able to operate the account and bind the other trustee/s for future transactions, including additional deposits and withdrawals;
- sole signatories signing on behalf of a company confirm that they are signing as sole director and sole secretary of the company;
- I/we have read and understood the information in and relating to "Instructions by email" in the relevant PDS and release and indemnify Ausbil from and against any liabilities whatsoever arising out of it acting on any communications received by email under those terms;
- I/we acknowledge that neither Ausbil nor any custodian, registry or investment manager, guarantees the performance of the Fund(s) or the repayment of capital or any particular rate of return or any distributions;
- I/we agree that any notice, document or other information required to be given to me/us under law (or by agreement with you), including but not limited to Product Disclosure Statements, Financial Services Guides, periodic statements, confirmations of transactions and ongoing disclosures, may be given in one of the following ways (where permitted by law): (i) by sending it to an email address and/or mobile number I/we have provided for me/us (ii) by sending me/us an email, SMS or other electronic communication providing a website reference or hypertext link to the notice, document or information; or (iii) by making the notice, document or information available on the website or an application or other online facilities as notified to me/us from time to time;
- I/we acknowledge that I/we have read and understood the information relating to privacy and personal information contained in the relevant PDS;
- I am/we are aware that until I/we inform Ausbil otherwise, I/we will be taken to have consented to all the uses of my/our personal information (including marketing) as described in the PDS and as otherwise disclosed to me;
- I/we consent to the Ausbil disclosing my/our personal information to its service providers, in relation to any identification and verification that Ausbil is required to undertake regarding me, as required under the AML/CTF Act. This includes but is not limited to any information:
  - required by any third party verification service provider, and/or
  - provided to any third party verification service provider.

**By completing and signing this form, you acknowledge and agree with the following:**

- nothing in this form is advice and 'help' is general guidance only. Seek professional advice to be sure of your answers;
- it is a condition of investing that you keep your details (including tax details) with us, up to date. We recommend that you review this tax information form at the end of the financial year and update your details if required. You must contact us when you learn new things about the matters in this form. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form and emailing or posting it to our Administrator;
- if you have applied for but not received your TIN or GIIN, you undertake to inform us within 30 days of receiving it;
- you undertake that if information in this form changes, you will tell us within 30 days;
- you declare that to the best of your knowledge and belief the information provided in the Global Tax Reporting section is true and correct;
- you agree to notify Ausbil of any changes to your tax residency and/or that of any beneficial owners or controlling persons;
- monies deposited are not associated with crime, money laundering and/or financing terrorism. We may decide to delay or refuse any request or transaction, including by suspending the issue or redemption of units. If we are concerned that the request or transaction may breach any obligation of, or cause us to commit or participate in an offence under any AML/CTF and Sanctions Law and FATCA/CRS obligations, we will incur no liability to you if we do so;
- we may take other action we reasonably believe is necessary to comply with AML/CTF and Sanctions Law and FATCA/CRS obligations, including disclosing any information held about you to any of our related bodies corporate or service providers whether in Australia or outside Australia, or to any relevant Australian or foreign regulator; and
- we collect additional information about you from time to time, from you or from third parties, for the purposes of satisfying AML/CTF and Sanctions Law and FATCA/CRS obligations, and that any such information may be used and disclosed as described in the Ausbil Investment Management privacy policy available online at [www.ausbil.com.au](http://www.ausbil.com.au) or by contacting us.

## 5. SIGNATURE(S)

For individual trustees, all trustees to sign. For Australian corporate trustee, the signature(s) of either a sole director, or two directors, or one director and the company secretary.

### Signature 1

Signature

Date signed

 /  / 

Full name

#### Capacity

Individual trustee 1

Director

Company Secretary

### Signature 2

Signature

Date signed

 /  / 

Full name

#### Capacity

Individual trustee 2

Director

Company Secretary

### Signature 3

Signature

Date signed

 /  / 

Full name

#### Capacity

Individual trustee 3

Director

Company Secretary

### Signature 4

Signature

Date signed

 /  / 

Full name

#### Capacity

Individual trustee 4

Director

Company Secretary

<b>Translating documents by an accredited translator</b>	<p>In Australia an accredited translator means a professional translator accredited by the National Accreditation Authority for Translators and Interpreters at or above professional level.</p> <ul style="list-style-type: none"> <li>• NAATI (<a href="https://www.naati.com.au/">https://www.naati.com.au/</a>)</li> </ul> <p>In an overseas country, an accredited translator is a professional translator accredited by a NAATI equivalent authority. For these, escalate to the AML Compliance Officer for assistance.</p>
<b>Getting your copies certified</b>	<p>Any document(s) requiring to be certified for verification purposes must be certified by an eligible person to be a true copy of the original document. Documents must be either certified on all pages or certified on the front page with a clear reference to the number of subsequent pages that are included.</p>
<b>Example of certification</b>	<p>I certify that this is a true and correct copy of the original document  Signature of Certifier  Name of Certifier  Capacity of certifier – e.g. Justice of the Peace  Date of certification (DD/MM/YYYY)</p>
<b>List of occupations that can certify (from the Statutory Declaration Regulations 2018)</b>	<ul style="list-style-type: none"> <li>• Architect</li> <li>• Chiropractor</li> <li>• Dentist</li> <li>• Financial adviser or financial planner</li> <li>• Legal practitioner</li> <li>• Medical practitioner</li> <li>• Midwife</li> <li>• Migration authorised representative registered under Division 3 of Part 3 of the Migration Act 1958</li> <li>• Nurse</li> <li>• Occupational therapist</li> <li>• Optometrist</li> <li>• Patent attorney</li> <li>• Pharmacist</li> <li>• Physiotherapist</li> <li>• Psychologist</li> <li>• Trade marks attorney</li> <li>• Veterinary surgeon.</li> </ul>
<b>List of persons that can certify</b>	<ul style="list-style-type: none"> <li>• a person who is enrolled on the roll of the Supreme Court of a State or Territory or the High Court of Australia, as a legal practitioner (however described)</li> <li>• a judge of a court</li> <li>• a magistrate</li> <li>• a chief executive officer of a Commonwealth court</li> <li>• a registrar or deputy registrar of a court</li> <li>• a Justice of the Peace</li> <li>• a notary public (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• a police officer</li> <li>• an authorised representative of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li> <li>• a permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public</li> <li>• an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)</li> <li>• an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• a finance company officer with 2 or more continuous years of service with one or more financial companies (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees</li> <li>• a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants.</li> </ul>