



BT Customer Identification and Verification Form Australian Company

SECTION 1: AUSTRALIAN COMPANY IDENTIFICATION PROCEDURE (MANDATORY)

1.1 GENERAL INFORMATION

Full name as registered with ASIC

Full Business, trading or other name(s) other than the name registered with ASIC (if any)

ACN

ABN (if any)

Registered office address (not a PO Box)

State

Postcode

Country, if not Australia

Principal place of business (cannot be a PO Box)

State

Postcode

Country, if not Australia

Industry

State/Territory, country (if not Australia) of registration

Date of Registration (DD/MM/YYYY)

1.2 COMPANY TYPE (select only one of the following)

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

1.3 DIRECTORS (not required for Public companies)

Provide the names of ALL company 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 applicable categories)

- Australian Public Listed company (companies that are listed on an Australian financial market)

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)

Australian listed company name

Name of market / exchange

- Majority Owned Subsidiary of a Foreign Public Listed Company (companies that are majority owned by a foreign company that is listed on an foreign financial market)

Foreign listed company name

Name of foreign market / exchange

- Regulated company (refers to the company being licensed and subject to regulatory oversight by a Westpac-approved statutory Commonwealth, State or Territory regulator. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees).

Regulator

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



SECTION 2: TAX INFORMATION (MANDATORY)

2.1 FOREIGN TAX STATUS

Are you a resident of a country other than Australia for tax purposes?

- Yes (complete section 2)
- No (proceed to section 3)

Country/ies outside of Australia in which the company is a resident for tax purposes and country's associated Tax Identification Number (TIN)*

** A TIN is an identifying number or equivalent used for tax purposes. If a 'TIN' is not available, please specify the reason against the appropriate country.*

Note: If the company has more than 3 countries in which it is a tax resident, please provide the details on a separate paper.

Country 1

Foreign TIN 1

Reason (if TIN not applicable)

- Foreign TIN not issued by this country
- Foreign TIN pending issue by the country's tax authority

Country 2

Foreign TIN 2

Reason (if TIN not applicable)

- Foreign TIN not issued by this country
- Foreign TIN pending issue by the country's tax authority

Country 3

Foreign TIN 3

Reason (if TIN not applicable)

- Foreign TIN not issued by this country
- Foreign TIN pending issue by the country's tax authority

SECTION 3: BENEFICIAL OWNERS IDENTIFICATION AND VERIFICATION (NOT APPLICABLE FOR COMPANY TYPES LISTED IN SECTION 1.4 OF THIS FORM)

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

- Yes (complete 3.1)
- No (complete 3.2)

3.1 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

1.	
2.	
3.	
4.	

3.2 OTHER BENEFICIAL OWNERS

If there are no individuals who meet the requirements of 3.1, 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

Full given name(s)

Surname

Role

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



SECTION 4: ADDITIONAL INFORMATION (MANDATORY)

4.1 SOURCE OF FUNDS

This refers to where your funds came from in regard to deposits into the account. Please note you may have multiple sources of funds. Please indicate all sources of funds below.

- | | |
|--|---|
| <input type="checkbox"/> Commission | <input type="checkbox"/> Bonus |
| <input type="checkbox"/> Business income | <input type="checkbox"/> Business profits |
| <input type="checkbox"/> Investment income | <input type="checkbox"/> Corporate investments |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Loan |
| <input type="checkbox"/> Capital injection | <input type="checkbox"/> Insurance payment |
| <input type="checkbox"/> Government grant | <input type="checkbox"/> Sale of assets |
| <input type="checkbox"/> Liquidation of assets | <input type="checkbox"/> Mergers and acquisitions |
| <input type="checkbox"/> Gift/Donation | <input type="checkbox"/> Controlled money account |
| <input type="checkbox"/> Tax refund | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Additional sources (please specify) | |

4.2 SOURCE OF WEALTH

This refers to where or how you have built your net worth. Please note that you may have multiple sources of wealth. Please indicate all sources of wealth below.

- | | |
|--|---|
| <input type="checkbox"/> Business income | <input type="checkbox"/> Business profits |
| <input type="checkbox"/> Investment income | <input type="checkbox"/> Corporate investments |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Insurance payment |
| <input type="checkbox"/> Owns property | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Sale of assets | <input type="checkbox"/> Liquidation of assets |
| <input type="checkbox"/> Gift/Donation | <input type="checkbox"/> Mergers and acquisitions |
| <input type="checkbox"/> None | <input type="checkbox"/> Controlled money account |
| <input type="checkbox"/> Additional sources (please specify) | |

SECTION 5: AUSTRALIAN COMPANY VERIFICATION PROCEDURE (MANDATORY)

Identification documentation is to be provided to verify the information listed in the verification procedures described below. The verification procedures apply to Australian public listed companies, majority owned subsidiaries of an Australian listed public company, regulated Australian public/proprietary companies and majority owned subsidiary of foreign public listed companies as described in section 1.4 of this form. Additionally the below also applies to any Australian public/proprietary company other than those listed in section 1.4.

Company type	Verification Required
Australian public listed company	A or D
Majority owned subsidiary of a Australian listed public company	either B or D; and E
Regulated Australian public/proprietary company	C
Majority owned subsidiary of a foreign public listed company	B or D or F; and B or D; and A
Australian public/proprietary company other than the above	B or D or F

	Verification options
A	Perform a search of the relevant market/exchange.
B	Perform a search of the relevant ASIC database.
C	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
D	A public document issued by the relevant company within the last 12 months (e.g. audited annual accounts)
E	The parent company's listing status must be verified from a search of the relevant Australian stock exchange.
F	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC

* Documents that are written in a language that is not English must be accompanied by an English translation prepared by National Accreditation Authority for Translators and Interpreters (NAATI) translator.

IMPORTANT NOTE:

- Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per section 3 AND
- Attach a legible certified copy of the ID documentation used to verify the company



SECTION 6: CUSTOMER DECLARATION (MANDATORY)

I declare that to the best of my knowledge the information I have provided above is true and correct as at the date of this document. I understand that it is an offence to knowingly give false or misleading information or knowingly produce a false or misleading document under the *Anti-Money Laundering and Counter Terrorism Financing Act 2006*, and the *Tax Laws Amendment (Implementation of the Common Reporting Standards) Act 2016*.

Signature of authorised person

Full Name

Position Held

Date (DD/MM/YYYY)

 / /
SECTION 7: RECORD VERIFICATION PROCEDURE (OFFICE USE ONLY)

ID Document details	Document 1
Verified form	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer/ website	
Public Document Type	
Issue date/ Search date	/ /

ID Document details	Document 2 (if required)
Verified form	<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 declare that:

- An identity verification procedure has been completed in accordance with the AML/CTF Act/Rules, in the capacity of an AFSL holder or their authorised representative and
- The Tax information provided is reasonable considering the documentation provided.

AFS Licensee Name (if applicable)

AFSL Number (if applicable)

Representative/Employee Name and Staff ID

Phone number

Signature

Date Verification Completed (DD/MM/YYYY)

 / /


APPENDIX A: PROOF OF IDENTIFICATION

A. HOW TO CERTIFY YOUR IDENTITY DOCUMENTS

The documents applicable to you can be certified by either:

- Your financial adviser – where they have introduced you to BT, have an AFSL and 2 or more continuous years of service with one or more licensees. Your financial adviser must complete the appropriate Identification Form and attach it to your Application together with the original certified identification documents.
- Any other eligible certifier as listed in this Section. An original certified copy is a document that has been certified as a true copy of an original document.

To certify an identity document:

- Take the original identity document and a photocopy to one of the people listed below (eligible certifiers) and ask them to certify that the photocopy is a true and correct copy of the original document.
- That person will need to print their name, date and qualification/occupation which makes them an eligible certifier on the photocopy
- The certifier must also include the following statement on the photocopy 'I certify that this is a true copy of the original document'.
- Photocopies of certified documents will not be accepted.
- The original signature of the certifier must be visible.

LIST OF ELIGIBLE PERSONS WHO CAN CERTIFY YOUR IDENTITY DOCUMENTS

The following people can certify your identification documents, for a complete list of people who can certify your identification documents please refer to our website www.bt.com.au/personal/help/how-to-certify-id.html

Note:

- Customers can use certifiers in categories 1 to 17 where the certifier is an officer who holds these positions within Australia; or
- Where the certifier does not meet the above criteria, ONLY certifiers in category 11, 12 or 13 may be used.
 1. 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)
 2. A judge of a court
 3. A magistrate
 4. A chief executive officer of a Commonwealth court
 5. A registrar or deputy registrar of a court
 6. A Justice of the Peace
 7. A notary public
 8. A Police Officer
 9. An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
 10. 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
 11. An Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
 12. A bank or building society officer with 2 or more years continuous years of service (includes acceptable international bank)
 13. A finance company officer with 2 or more continuous years of service (includes acceptable international bank)
 14. 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

15. A member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants.

16. A Commissioner for Declarations

17. A Commissioner for Affidavits

