



BT Customer Identification and Verification Form Individuals & Sole Traders

SECTION 1: APPLICANT DETAILS (MANDATORY)

Title Mr Mrs Ms Miss Dr

Given name(s)

Family name

Are you known by any other name(s)?

Yes (insert below) No

Date of Birth (DD/MM/YYYY)

Permanent residential address (cannot be a PO Box)

State Postcode

Country, if not Australia

Occupation (only required if primary customer) – select from drop down list only

Employment Type: (only required if primary customer)

- Full time Part time
- Self employed Casual
- Temporary Retired
- Student Social security recipient
- Unemployed Other (home duties/
work compensation/etc.)
- Dependent contractor
- Independent contractor

1.1 CONTACT DETAILS

Mobile number

Email address

1.2 COMPLETE IF INDIVIDUAL IS A SOLE TRADER

Full Business Name (if any)

ABN (if any)

1.2 COMPLETE IF INDIVIDUAL IS A SOLE TRADER *continued*

Principal place of business (cannot be a PO Box)

State Postcode

Country, if not Australia

Industry

SECTION 2: FOREIGN TAX RESIDENCY (MANDATORY)

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 individual 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 individual has more than 3 countries in which they are 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: ADDITIONAL INFORMATION (MANDATORY)**3.1 SOURCE OF FUNDS**

This refers to where your funds came from in regard to deposits into the account. For example, if your superannuation contribution is made by your employer you would select salary/wages. Please note you may have multiple sources of funds. Please indicate all sources of funds below.

- | | |
|--|---|
| <input type="checkbox"/> Salary/wages | <input type="checkbox"/> Business income/earnings |
| <input type="checkbox"/> Investment income/earnings | <input type="checkbox"/> Superannuation/pension |
| <input type="checkbox"/> Bonus | <input type="checkbox"/> Commission |
| <input type="checkbox"/> Sale of assets | <input type="checkbox"/> Liquidation of assets |
| <input type="checkbox"/> Business profits | <input type="checkbox"/> Rental income |
| <input type="checkbox"/> Loan | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Insurance payment | <input type="checkbox"/> Government benefits |
| <input type="checkbox"/> Tax refund | <input type="checkbox"/> Redundancy |
| <input type="checkbox"/> Gift/donation | <input type="checkbox"/> Inheritance |
| <input type="checkbox"/> Windfall | |
| <input type="checkbox"/> Additional Sources (Please specify) | |

3.2 SOURCE OF WEALTH

This refers to where or how you have built your net worth. For example, if your assets have been gained through savings from your salary you would select 'employment income'. Please note that you may have multiple sources of wealth. Please indicate all sources of wealth below.

- | | |
|--|---|
| <input type="checkbox"/> Employment income/earnings | <input type="checkbox"/> Business income/earnings |
| <input type="checkbox"/> Investment income/earnings | <input type="checkbox"/> Superannuation/pension |
| <input type="checkbox"/> Sale of assets | <input type="checkbox"/> Liquidation of assets |
| <input type="checkbox"/> Owns real estate/property | <input type="checkbox"/> Business profits |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Redundancy |
| <input type="checkbox"/> Insurance payment | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Gift/donation | <input type="checkbox"/> Government benefits |
| <input type="checkbox"/> Inheritance | |
| <input type="checkbox"/> Windfall | |
| <input type="checkbox"/> Additional Sources (Please specify) | |

SECTION 4: DOCUMENT VERIFICATION PROCEDURE (MANDATORY)

Individual completing this form to provide the relevant documentation outlined in ONE of the below applicable parts.

- Complete Part I OR Part II OR Part III (Age Care Resident customers) OR Part IV (Indigenous customers)
- Contact your licensee if the individual is unable to provide the required documents (applicable to advisers only).

PART I – Primary Photographic Identification Document

Tick	Select ONE document from this section only
<input type="checkbox"/>	Australian driver's licence/learner's permit
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Australian proof of age card issued by a State or Territory
<input type="checkbox"/>	Foreign passport or travel document issued by a foreign government, the United Nations or an agency of the United Nations (must not be cancelled, defaced or mutilated) which contains either a signature OR a unique identifier of the person*
<input type="checkbox"/>	Foreign driver's licence/permit that contains a photograph of the person in whose name it issued and the individual's date of birth*
<input type="checkbox"/>	National identity card issued by a foreign government, the United Nations or an agency of the United Nations which contains either a signature OR a unique identifier of the person*



PART II – Primary Non-Photographic Identification Document AND ONE Secondary Identification Document (complete if the individual does not own a document from Part I)

Tick	Select ONE Primary Non-Photographic Document from this section
<input type="checkbox"/>	Australian birth certificate (or extract)
<input type="checkbox"/>	Australian citizenship certificate
<input type="checkbox"/>	Pension card issued by Department of Human Services
<input type="checkbox"/>	Health card issued by Department of Human Services
<input type="checkbox"/>	Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations*
<input type="checkbox"/>	Citizenship certificate issued by a foreign government*
Tick	AND ONE Secondary Identification Document from this section
<input type="checkbox"/>	A notice issued by the Commonwealth or a State/Territory within the last 12 months that includes the individual's name and residential address and records the provision of financial benefits (e.g. Centrelink notice)
<input type="checkbox"/>	A notice issued by the Australian Taxation Office (ATO) within the last 12 months that includes the individual's name and residential address and records a debt payable by or to the individual (e.g. tax assessment)
<input type="checkbox"/>	Utilities notice issued by a local government or utilities provider within the last 3 months and includes the customer's name and residential address and records the provision of a service to that address or name
<input type="checkbox"/>	If the individual is under the age of 18 years, notice issued by the principal of a school within the last 3 months, that includes the name of the individual, residential address and period of school attendance
<input type="checkbox"/>	Foreign driver licence which does not contain a photograph
<input type="checkbox"/>	Department of Veterans' Affairs pension concession card (Australian)
<input type="checkbox"/>	A current tenancy/lease agreement (must not be cancelled or expired)
<input type="checkbox"/>	Medicare card
<input type="checkbox"/>	Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages
<input type="checkbox"/>	Identification card issued to a student at an Australian higher education institution (TAFE or University) which contains a photograph and signature
<input type="checkbox"/>	A current card issued under a Commonwealth, State, or Territory law for the purpose of identification, for a government service, or as a licence

PART III – AGE CARE RESIDENT ONLY

Tick	BOTH of the following must be collected
<input type="checkbox"/>	Notice/invoice issued by an Australian Aged Care Facility within the last 3 months that includes the customer's name and date of birth; and the facility's address;
<input type="checkbox"/>	Notice/letter from an Australian Government agency issued within the last 3 months old which confirms the customer's address is the same as the Australian Aged Care Facility/ or that the Facility is receiving benefits on behalf of the customer

PART IV – Indigenous Customer ONLY

Tick	Select ONE of the following documents
<input type="checkbox"/>	Indigenous Customer Identification Form that is: (i) Completed by one referee that is a recognised elder (or another person that is regarded as a leader within the community) to verify the information provided by the customer. (ii) Witnessed by an independent person.
<input type="checkbox"/>	Indigenous community identification card issued by an Indigenous Council or Corporation that includes the customer's name, date of birth/approximate age, address/location and photograph.

* 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:

- Attach a legible certified copy of the ID documentation used to verify the individual (and any required translation)

SECTION 5: APPLICANT DECLARATION (MANDATORY)

I declare that to the best of my knowledge the information I have provided above is 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**

Date (DD/MM/YYYY)

 / /

Signatory's full name *(please print)*

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney or guardianship please also attach a certified copy of the power of attorney or guardianship order and complete a separate individual identification form.

Capacity



**SECTION 6: RECORD OF VERIFICATION PROCEDURE
(OFFICE USE ONLY)**

ID DOCUMENTS DETAILS Document 1

Verified From	<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

ID DOCUMENTS DETAILS Document 2 (if required)

Verified From	<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

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:

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

