



# BT Customer Identification and Verification Form

## Australian Regulated Trusts (Including Self-Managed Super Funds)

### SECTION 1: AUSTRALIAN REGULATED TRUST IDENTIFICATION PROCEDURE (MANDATORY)

This form is applicable to:

- Australian Registered Managed Investment Scheme
- Unregistered Managed Investment Schemes (only has wholesale clients and does not make small scale offerings)
- Government Superannuation Funds
- Other Regulated Trusts subject to oversight by Australian Regulators (including Self-Managed Super Funds).

For trusts other than the above, complete the **Unregulated Australian Trusts & Foreign Trusts IDV form**.

#### 1.1 GENERAL INFORMATION

Full name of trust

Country where trust established

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

Full Business, trading or other name(s) other than the full name of the trust (if any)

Principal place of business (cannot be a PO Box)



State Postcode

Country, if not Australia

ABN (if any)

Industry

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

Date of registration (DD/MM/YYYY)

Registered managed investment scheme

Provide Australian Registered Scheme Number (ARSN)

Unregistered managed investment scheme (Where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies)

Government superannuation fund

Provide name of the legislation establishing the fund

Other regulated Trust (A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA regulated superannuation fund) e.g. SMSF

Provide name of the regulator (e.g. ASIC, APRA, ATO)

Provide the Trust's registration/licensing details (e.g. ABN for an SMSF)

### SECTION 2: TRUSTEE INFORMATION (MANDATORY)

*If trustees comprise of individuals and companies complete both 2.1 and 2.2*

#### 2.1 INDIVIDUAL TRUSTEE

Provide the name(s) of ONE individual trustee and **complete an individual & sole trader ID form** for this person

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

#### 2.2 COMPANY TRUSTEE

Provide the full business name of ONE company trustee in respect of the trust and complete an Australian company or foreign company ID form depending on the company type.

Full Company Name
<input type="text"/>

### SECTION 3: TAX INFORMATION (MANDATORY)

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

Yes (complete section 3)

No (proceed to section 4)

Country/ies outside of Australia in which the trust 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 trust 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 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: REGULATED TRUST VERIFICATION PROCEDURE (MANDATORY)

Information to be verified:

- Full name of the Trust
- That the Trust is a Registered Managed Investment Scheme, Unregistered Managed Investment Scheme, Government Superannuation Fund or Other Regulated Trust (including SMSF)

Trust Type	Verification Required
Registered Managed Investment Scheme	<b>A</b>
Unregistered Managed Investment Scheme	<b>E and F</b>
Government Superannuation Fund	<b>C or D</b>
Other Regulated Trust (including SMSFs)	<b>B</b>

Verification options	
<b>A</b>	Search of the relevant ASIC database to verify that the customer is a managed investment scheme
<b>B</b>	Search of the relevant government regulator database (e.g. ASIC, or APRA or ATO Super Fund Lookup) to confirm it is licensed and subject to regulatory oversight by an Australian Commonwealth regulator
<b>C</b>	Search of the Super Fund Lookup database
<b>D</b>	A copy or relevant extract of the legislation that established the fund as a Government Superannuation Fund sourced from a government website
<b>E</b>	A Trust Deed (or certified copy or certified extract)
<b>F</b>	Declaration from the customer that the trust only has wholesale clients and does not make small scale offerings

\* 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 individual ID forms are provided for the individual trustee.
- Ensure an Australian or foreign company ID form is provided for the company trustee

#### 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*.

Full name

Position held

Signature of authorised person

Date  
(DD/MM/YYYY)



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

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

ID Document	Document 2
Verified from	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document Issuer/website	
Document type/ search details	
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 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](http://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

