



# BT Customer Identification and Verification Form Unregulated Australian Trusts, Foreign Trusts and Trustees

## SECTION 1: TRUST IDENTIFICATION PROCEDURE (MANDATORY)

### 1.1 GENERAL INFORMATION

Full name of trust

Country where trust established

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

Full name of Settlor\*

Given name(s)

Surname

(Not required if, the initial establishment contribution of the trust is less than \$10,000, or if the settlor is deceased)

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

ABN (if any)

Industry

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

Date of registration (DD/MM/YYYY)

### 1.2 TRUST DESCRIPTION (select only one of the following)

- Family Trust  
 Charitable Trust  
 Testamentary Trust  
 Other Type

Provide description

If the Trust is a self-managed superannuation fund, registered managed investment scheme, unregistered managed investment scheme, government superannuation fund or other regulated Trust, do not use this form but rather complete the **Australian Regulated Trusts & Trustees Identification Form**.

### 1.3 BENEFICIARIES DETAILS

How are the beneficiaries described in the trust deed?

- Membership of a class

Details of the class (e.g. family members, unit holders etc)

- Named beneficiaries

Full name of each beneficiary

Full given name(s)

Surname

Full given name(s)	Surname
1.	
2.	
3.	
4.	

- Both membership of a class and named beneficiaries (complete details of class and full name of each beneficiary)

## SECTION 2: TRUSTEE INFORMATION (MANDATORY)

### 2.1 INDIVIDUAL TRUSTEE(S)

Provide the name(s) of all individual trustee(s) and complete an **individual & sole trader ID form** for each individual listed below.

Full given name(s)

Surname

Full given name(s)	Surname
1.	
2.	
3.	
4.	

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

### 2.2 COMPANY TRUSTEE(S)

Provide the full name(s) of all company trustee(s) and complete an **Australian company or foreign company ID form** depending on the company type for each company trustee.

1. Full Company Name (as registered with ASIC)

Full business, trading or other name(s) under which the customer carries their business (if any)

2. Full Company Name (as registered with ASIC)

Full business, trading or other name(s) under which the customer carries their business (if any)

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



**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: BENEFICIAL OWNERSHIP (MANDATORY)**

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

- Yes (complete 4.1)
- No (complete 4.2)

**4.1 BENEFICIAL OWNERSHIP**

Provide the names of the individuals who ultimately own 25% or more of the trust such as a unit holder or beneficiary of a unit trust.

**Complete separate individual customer ID Forms for each of these individuals.**

**Full given name(s) Surname**

Full given name(s)	Surname
1.	
2.	
3.	
4.	

If Beneficial Owner name/s are provided above, proceed to section 5.

**4.2 OTHER BENEFICIAL OWNERS**

If there are no individuals who meet the requirements of 4.1, provide the names of the individuals who directly or indirectly control\* the trust.

\* A person controls a trust when they have control over of the assets of the trust and can direct the use and distribution of the assets of the trust, including as a result of agreements, arrangements or understandings or if the practice in relation to the trust is to follow their directions, regardless of the person's formal authority. This includes an individual who holds the power to appoint or remove the trustees of the trust such as the appointer of a trust.

**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 5: ADDITIONAL INFORMATION (MANDATORY)**

**5.1 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.

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

**5.2 SOURCE OF WEALTH**

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.

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



**SECTION 6: TRUST VERIFICATION PROCEDURE (MANDATORY)****Information to be verified:**

- Full name of the Trust
- For all trustees, all of the information required to be verified for that customer type
- Full name of the settlor of the trust, unless the name is not required to be collected

Tick	Verification options (select one of the following options used to verify the Trust)
<input type="checkbox"/>	Trust Deed (or certified copy or certified extract) where the names of the trust, trustees, beneficiaries or membership class, settlor(s) where applicable, and execution page are evident
<input type="checkbox"/>	Settlement Deed or other document that contains a declaration of trust where the names of the trust and/or settlor(s) are evident
<input type="checkbox"/>	A notice issued by the ATO within the last 12 months (e.g. Notice of Assessment)
<input type="checkbox"/>	ABN Lookup search
<input type="checkbox"/>	A letter from a solicitor or qualified accountant that confirms the name of the trust and/or settlor(s) within the last 12 months

\* 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 by each of the individual trustees and beneficial owners.
- Ensure Australian or foreign company ID forms are provided for each of the company trustees.

**SECTION 7: 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 8: RECORD OF 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 FATCA 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

