



Instruction sheet

Completing the identification form for Australian Companies

Identification and Verification

Anti-Money Laundering & Counter-Terrorism Financing laws require BWA Managed Investments (BWAMI) to establish the identity of its clients (and other persons associated with a client's account). To do this, you need to complete the attached form and this instruction sheet will assist you in doing so.

Verifying the information

All documents are required to be verified by completing sections 2 and 3 of the form.

What do I need to complete?

The below table provides you with a guide to which sections you need to complete as identified by a solid dot (●) and also provides a brief explanation of each of the sections.

Will documents in a language other than English be accepted?

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator. An accredited translator is any person who is currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator or above.

How do I get a document certified?

To be correctly certified, we need the documents to be certified as 'True copy of the original document' and signed by:

- a Justice of the Peace
- a solicitor
- a police officer
- a magistrate
- a Notary Public (for the purposes of the Statutory Declaration Regulations 1993)
- an employee of Australia Post (with two or more years of continuous service)
- a financial adviser (provided they have two or more years of continuous service)
- an accountant (provided they hold a current membership to a professional accounting body)
- an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- an officer of a bank, building society, credit union or finance company provided they have two or more years of continuous service.

The party certifying the ID document(s) will also need to state what position they hold and sign and date the document(s). If the certification does not appear on the document(s), you may be asked to send in new certified documents. There are additional persons who can certify documents. A full list of the persons who can certify documents is available from our forms library at bwami.com.au.

Section	
1 Australian Company Identification Procedure	
1.1 General Information	●
1.2 Company Type	●
1.3 Listing and Regulatory Details	●
1.4 Directors	●
	Refer to Section 1.3 for information on when to complete Section 1.4.
1.5 Beneficial Owner(s)/Controller(s) of the Company	●
	Refer to Section 1.3 for information on when to complete Section 1.5. A separate Individual identification form will need to be completed for each individual (where applicable).
2 Australian Company Verification Procedure	●
3 Record of Verification Procedure	●



Identification Form Australian Companies

GUIDE TO COMPLETING THIS FORM.

This form is for AUSTRALIAN COMPANIES only. This ID form accompanies the Australian Companies application form.

Complete one form for each company.

Complete a separate Individual ID Form for each company's Beneficial Owner/Controller (where applicable) unless an Individual ID Form has already been provided for the individual.

Complete all applicable sections of this form in BLOCK LETTERS.

SECTION 1: AUSTRALIAN COMPANY IDENTIFICATION PROCEDURE

1.1 GENERAL INFORMATION

Full name as registered by ASIC

ACN

Industry

Registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

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

Street

Suburb

State

Postcode

Country

1.2 COMPANY TYPE (select only ONE of the following categories)

Proprietary (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies)

Proceed to Section 1.3.1

Public (companies whose name does not include the word Pty or proprietary)

Proceed to Section 1.3.2

1.3 LISTING AND REGULATORY DETAILS (select only ONE of the following categories and provide the information requested)

1.3.1 Proprietary Companies

Australian Proprietary company (not regulated) (a domestic proprietary company formed in Australia, registered with ASIC, and must have an ACN and the word Proprietary (Pty) or Proprietary Limited (Pty Ltd) in the company name)

Proceed to Section 1.4

Regulated company (a company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body. Examples of regulated companies include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) or Registrable Superannuation Entity (RSE) Licensees)

Proceed to Section 1.4

Regulator name

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

Majority-owned Subsidiary of an Australian Public Listed company (a company that is majority owned by a domestic public listed company (other than a registered foreign company) that is included in an official list of a domestic stock exchange)

Proceed to Section 1.4

Australian listed company name

Name of market/exchange

1.3.2 Public Companies

Australian Public Unlisted company (a company (other than a registered foreign company) that is not included in an official list of a domestic stock exchange)

Proceed to Section 1.5

Australian Public Listed company (a company (other than a registered foreign company) that is included in an official list of a domestic stock exchange)

Proceed to Section 2

Name of market/exchange

Regulated company (a company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body. Examples of regulated companies include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) or Registrable Superannuation Entity (RSE) Licensees)

Proceed to Section 2

Regulator name

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

Majority-owned Subsidiary of an Australian Public Listed company (a company that is majority owned by a domestic public listed company (other than a registered foreign company) that is included in an official list of a domestic stock exchange)

Proceed to Section 2

Australian listed company name

Name of market/exchange

1.4 DIRECTORS (to be completed for ALL Proprietary companies as identified in sections 1.2 and 1.3.1)

Provide details for each Director.

Director 1

Full given name(s)

Surname

Residential address (PO Box, RMB, C/- or similar are NOT acceptable)

Street

Suburb State Postcode Country

Director 2

Full given name(s)

Surname

Residential address (PO Box, RMB, C/- or similar are NOT acceptable)

Street

Suburb State Postcode Country

Director 3

Full given name(s)

Surname

Residential address (PO Box, RMB, C/- or similar are NOT acceptable)

Street

Suburb State Postcode Country

Director 4

Full given name(s)

Surname

Residential address (PO Box, RMB, C/- or similar are NOT acceptable)

Street

Suburb

State

Postcode

Country

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

1.5 BENEFICIAL OWNER(S)/CONTROLLER(S) OF THE COMPANY (to be completed for Proprietary companies (not regulated) and Public Unlisted companies as identified in section 1.3)

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

Yes (Complete 1.5.1)

No (Complete 1.5.2)

1.5.1 Beneficial Owner(s)

Provide details for each Beneficial Owner.

Complete a separate Individual ID Form for each individual unless an Individual ID Form has already been provided for the individual.

Beneficial Owner 1

Full given name(s)

Surname

Beneficial Owner 2

Full given name(s)

Surname

Beneficial Owner 3

Full given name(s)

Surname

Beneficial Owner 4

Full given name(s)

Surname

If Section 1.5.1 has been completed then proceed to Section 2

1.5.2 Controller(s) of the Company

If there are no individuals who meet the requirement of 1.5.1, provide the details 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 a separate Individual ID Form for each individual unless an Individual ID Form has already been provided for the individual.

Controller 1

Full given name(s)

Surname

Please select one of the below

Controller who has 25% or more of the voting rights in the company, or power of veto

Controller who makes key strategic or financial decisions in the company.

Role of individual (e.g. CEO or managing director)

Controller 2

Full given name(s)

Surname

Please select one of the below

Controller who has 25% or more of the voting rights in the company, or power of veto

Controller who makes key strategic or financial decisions in the company.

Role of individual (e.g. CEO or managing director)

Controller 3

Full given name(s)

Surname

Please select one of the below

 Controller who has 25% or more of the voting rights in the company, or power of veto Controller who makes key strategic or financial decisions in the company.
Role of individual (e.g. CEO or managing director)**Controller 4**

Full given name(s)

Surname

Please select one of the below

 Controller who has 25% or more of the voting rights in the company, or power of veto Controller who makes key strategic or financial decisions in the company.
Role of individual (e.g. CEO or managing director)If there are more Controllers, provide details on a separate sheet and tick this box **SECTION 2: AUSTRALIAN COMPANY VERIFICATION PROCEDURE**

Identification documentation is to be provided to verify the information listed in the standard or simplified verification procedure described below. The simplified verification procedure is to be used for Australian Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies and Regulated companies as described in section 1.3 of this form. All other companies are to be verified according to the standard verification procedure.

Standard Verification Procedure

Information to be verified:

- The full name of the company as registered by ASIC
- Whether the company is registered as a proprietary or a public company
- The ACN issued to the company.

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant ASIC database
<input type="checkbox"/>	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC

Simplified Verification Procedure for a regulated company, an Australian Public listed company or a majority owned subsidiary of an Australian Public listed company (as described in section 1.3 of this form)

Information to be verified:

- The full name of the company
- That the company is an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (whichever is applicable).

Tick ✓	Verification options (select one or more of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant market/exchange
<input type="checkbox"/>	Perform a search of the relevant ASIC database
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator
<input type="checkbox"/>	A public document issued by the relevant company

IMPORTANT NOTE:

- Complete the Record of Verification Procedure in Section 3.
- You may wish to attach copies of the ID documentation used to verify the Company.

SECTION 3: RECORD OF VERIFICATION PROCEDURE

ID document details	Document 1	Document 2 (if required)
Verified from	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified Copy	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer/Website	<input type="text"/>	<input type="text"/>
Public document type	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/>	<input type="text"/>
Search date	<input type="text"/>	<input type="text"/>

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
- a separate Individual ID Form has been completed for each company's Beneficial Owner/Controller (where applicable).

AFS Licensee Name	<input type="text"/>	AFSL No.	<input type="text"/>
Representative/Employee Name	<input type="text"/>	Phone No.	<input type="text"/>
Signature	<input type="text"/>	Date verification completed	<input type="text"/>

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