



Instruction sheet

Completing the identification form for Individuals and Sole Traders

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 3 and 4 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.

What other identification can I provide?

If the individual does not have a primary identification document (listed in the table headed Section 3 Part I of the form), you must provide two forms of acceptable secondary identification by selecting one option from Section 3 Part II of the form and one option from Section 3 Part III of the form. For example, you can provide an Australian birth certificate and a document issued by the Australian Taxation Office within the preceding 12 months or a utilities notice within the preceding 3 months (e.g. electricity or water bill) containing the full name and residential address of the individual.

Alternatively, you may wish to obtain the individual's foreign driver's licence that contains the full name and a photo or signature of the individual (listed in the table headed Section 3 Part III of the form), together with a foreign birth certificate that contains the full name and date of birth of the individual (listed in the table headed Section 3 Part II of the form).

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	Individual & Sole Trader Identification Procedure	●
2	If you have answered Yes to the Investment Activity question,we need to collect citizenship, residency and tax detail information if the individual is a Beneficial Owner/Controller,Trustee or Beneficiary with foreign citizenship, residency and tax details.	●
3	Individual Verification Procedure	●
4	Record of Verification Procedure	●

Identification Form Individuals & Sole Traders

GUIDE TO COMPLETING THIS FORM.

Complete one form for each individual. Complete all applicable sections of this form in **BLOCK LETTERS**.

SECTION 1: INDIVIDUAL & SOLE TRADER IDENTIFICATION PROCEDURE

Mr Mrs Miss Ms Other Gender M F Date of birth Occupation

Full given name(s) Surname Also known as

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

Suburb State Postcode Country

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full Business Name (if any)

ABN (if any)

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

Suburb State Postcode Country

SECTION 2: RESIDENCY AND TAX DETAILS

We need to collect information about if the individual resides in, or is a citizen or tax resident of Australia.

If you have answered Yes to the Investment Activity question, we need to collect citizenship, residency and tax detail information if the individual is a Beneficial Owner/Controller, Trustee or Beneficiary with foreign citizenship, residency and tax details.

Country	Citizen (Y/N/Blank)	Resides in (Y/N/Blank)	Tax Resident (Y/N/Blank)	TFN	or Exemption
AUSTRALIA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>

We also need to collect information about if the individual reside in, or are a citizen or tax resident of another country.

Country	Citizen (Y/N/Blank)	Resides in (Y/N/Blank)	Tax Resident (Y/N/Blank)	TIN or Exemption Reason
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

Exemption Reasons

Reason A: Provision of TIN not required

Reason B: Country does not issue TIN

Reason C: TIN has not been issued

If the individual have 'Yes' to residing in another country other than Australia, please advise the reason for opening an Australian bank account/facility.

Please advise the individual's primary country for tax residency purpose.

SECTION 3: INDIVIDUAL VERIFICATION PROCEDURE

Verify the individual's full name; and EITHER their date of birth **OR** residential address.

→ Complete Part I (or if the individual does not have a document from Part I, then complete Part II and Part III.)

PART I – ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS

Tick ✓	Select ONE valid option from this section only
<input type="checkbox"/>	Current Australian Driver's Licence containing a photograph of the person
<input type="checkbox"/>	Australian Passport (current or <2 years expired)
<input type="checkbox"/>	Current Australian Government issued Proof of Age card
<input type="checkbox"/>	Current WA Photo Card
<input type="checkbox"/>	Current Foreign Passport*

PART II – ACCEPTABLE SECONDARY ID DOCUMENTS (Non-photographic) – should only be completed if the individual does not have a document from Part I

Tick ✓	Select ONE valid option from this section
<input type="checkbox"/>	Australian Birth Certificate/Extract
<input type="checkbox"/>	Foreign Birth Certificate*
<input type="checkbox"/>	Current Government Benefits Card
<input type="checkbox"/>	Australian Citizenship Certificate

PART III – And ONE valid option from this section

Tick ✓	Select ONE valid option from this section
<input type="checkbox"/>	Current Foreign Driver's Licence*
<input type="checkbox"/>	A current Rating Authority (bill sighted) within preceding 3 months
<input type="checkbox"/>	A document issued by the Australian Government/Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document
<input type="checkbox"/>	A document issued by a Public utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)
<input type="checkbox"/>	If under the age of 18, a letter that was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school

* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

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 individual (and any required translation).

SECTION 4: RECORD OF VERIFICATION PROCEDURE

ID document details	Document 1	Document 2 (if required)
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Issue date	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Expiry date	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Document number	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<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 and CRS Rules, in the capacity of an AFSL holder or their authorised representative.

AFS Licensee Name	<input style="width: 100%;" type="text"/>	AFSL No.	<input style="width: 100%;" type="text"/>
Representative/Employee Name	<input style="width: 100%;" type="text"/>	Phone No.	<input style="width: 100%;" type="text"/>
Signature	<input style="width: 100%; height: 40px;" type="text"/>	Date verification completed	<input style="width: 100%;" type="text"/>