



Instruction sheet

Completing the identification form for Australian Regulated Trusts and Trustees (including Self-Managed Super Funds)

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.

Firstly the type of Trust has to be identified

This form should be completed if the Trust is a:

- Regulated Trust e.g. a Self Managed Superannuation Fund ('SMSF') or a Trust that is regulated by the Australian Securities and Investments Commission ('ASIC'), the Australian Taxation Office ('ATO') or the Australian Prudential Regulation Authority ('APRA')
- Registered Managed Investment Scheme (i.e. Managed Investment Scheme that is registered by ASIC)
- Managed Investment Scheme that is not registered by ASIC that only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies (please note that this type of Trust cannot be opened in Advisor Plus. Please send a completed Trust application form and Unregulated Trust ID form to BWAMI)
- Australian Government Superannuation Fund (i.e. a Government Superannuation Fund established under Commonwealth or State/Territory legislation), or
- Other Regulated Trusts.

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 document(s) 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.

IDENTIFICATION AND VERIFICATION PROCEDURE FOR THE TRUST AND TRUSTEES

If the Trust has one Trustee, you need to complete either Section 1.3.1 (for Trustee(s) that is/are individual(s)) or Section 1.3.2 and Section 1.4 (for Trustee(s) that is/are Australian Company/Companies).

If the Trust has more than one Trustee, you need to provide us with identification for ONLY ONE of the Trustees.

The Identity of the Trust and one of the Trustee must be verified.

Section	
1 Trust Identification Procedure	
1.1 General Information	●
1.2 Type of Regulated Trust	●
1.3 Trustee Details	●
	A separate Individual identification form will need to be completed for the individual.
1.4 Australian Corporate Trustee Details	●
	You will need to complete this section if Section 1.3.2 is completed. A separate Individual identification form will need to be completed for each individual (where applicable).
2 Verification Procedure	
2.1 Regulated Trust Verification Procedure	●
2.2 Australian Corporate Trustee Verification Procedure	●
	You will need to complete this section if Section 1.3.2 is completed.
3 Record of Verification Procedure	
3.1 Record of Regulated Trust Verification Procedure	●
3.2 Record of Australian Corporate Trustee Verification Procedure	●
	You will need to complete this section if Section 1.3.2 is completed.



Identification Form Australian Regulated Trusts & Trustees (Including Self-Managed Super Funds)

GUIDE TO COMPLETING THIS FORM.

This form is for AUSTRALIAN REGULATED TRUSTS AND TRUSTEES only and accompanies the Trust application form. Australian Regulated Trusts include Self-Managed Super Funds, Registered Managed Investment Schemes, Managed Investment Schemes that is not registered by ASIC, Australian Government Superannuation Funds or other Trusts subject to the regulatory oversight of an Australian regulator. For Trusts that are not subject to the oversight of an Australian statutory regulator, complete the ID form for AUSTRALIAN UNREGULATED TRUSTS AND TRUSTEES.

Provide information about the Trust (Section 1) and all other relevant sections applicable to the Trust. Complete the Trust verification procedure (Section 2.1).

Provide details for ONE Trustee (Section 1.3).

Complete all applicable sections of this form in BLOCK LETTERS.

SECTION 1: TRUST IDENTIFICATION PROCEDURE

1.1 GENERAL INFORMATION

Full name of the trust

1.2 TYPE OF REGULATED TRUST (select only ONE of the following types of Trusts)

Tick <input checked="" type="checkbox"/>	Select one of the following types of Regulated Trust	
<input type="checkbox"/>	Self-Managed Superannuation Fund Provide the SMSF's ABN	<input type="text"/>
<input type="checkbox"/>	Registered Managed Investment Scheme Provide Australian Registered Scheme Number (ARSN)	<input type="text"/>
<input type="checkbox"/>	Managed Investment Scheme that 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) Note: this type of Trust cannot be opened in Advisor Plus. Please send a completed Trust application form and Regulated Trust ID form to BWAMI.	
<input type="checkbox"/>	Government Superannuation Fund Provide name of the legislation establishing the fund	<input type="text"/>
<input type="checkbox"/>	Other Regulated Trust (a registered Trust that is subject to the regulatory oversight of a Commonwealth statutory regulator (e.g. APRA) in relation to its activities as a trust) Provide name of the regulator (e.g. ASIC, APRA, ATO)	<input type="text"/>
	Provide the Trust's ABN or Registration/Licensing details Registration/Licensing details	<input type="text"/>
	ABN	<input type="text"/>

1.3 TRUSTEE DETAILS

For Australian Regulated Trusts, identification information is required for one of the Trustees. This information is only required for one Trustee, even if the Trust has a number of Trustees. Please provide identification information for either an Individual Trustee (Section 1.3.1) or a Corporate Trustee (Section 1.3.2).

1.3.1 Individual Trustee details

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

Full given name(s)

Surname

Complete this section if the Individual Trustee is trading in a business name that is associated with the Trust.

Full business name (if any)

ABN (if any)

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

Street

Suburb

State

Postcode

Country

Country of establishment

Industry

Is the business operating as a charity?

Yes

No

If 'Yes', please complete the following question:

What is the objective/purpose of the charity? (e.g. vocational training for disabled persons, assistance for tsunami victims, building fund for a particular school or institution etc.)

If Section 1.3.1 has been completed then proceed to Section 2.

1.3.2 Australian Corporate Trustee details

Full name as registered by ASIC

ACN

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

Complete this section if the Australian Corporate Trustee is trading in a business name that is associated with the Trust.

Full business name (if any)

ABN (if any)

Principal place of business (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Country of establishment

Industry

Is the business operating as a charity?

Yes

No

If 'Yes', please complete the following question:

What is the objective/purpose of the charity? (e.g. vocational training for disabled persons, assistance for tsunami victims, building fund for a particular school or institution etc.)

If Section 1.3.2 has been completed then proceed to Section 1.4.

1.4 AUSTRALIAN CORPORATE TRUSTEE DETAILS (do not complete for Individual Trustee(s))

1.4.1 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 1.4.2(a)
- Public** (companies whose name does not include the word Pty or proprietary) Proceed to 1.4.2(b)

1.4.2 Listing and Regulatory Details (select ✓ only ONE of the following categories)

1.4.2(a) 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 1.4.3
- 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 1.4.3

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 1.4.3

Australian listed company name

Name of market/exchange

1.4.2(b) 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 1.4.4
- 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

1.4.3 Directors (to be completed for ALL Proprietary companies as identified in sections 1.4.1 and 1.4.2(a))

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

1.4.4 Beneficial Owner(s)/Controller(s) of the Company (to be completed for Proprietary companies (not regulated) and Public Unlisted companies as identified in section 1.4.2)

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

Yes (Complete 1.4.4(a))

No (Complete 1.4.4(b))

1.4.4(a) 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 1.4.4(a) has been completed then proceed to Section 2

1.4.4(b) Controller(s) of the Company

If there are no individuals who meet the requirement of 1.4.4(a), 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: VERIFICATION PROCEDURE

2.1 REGULATED TRUST VERIFICATION PROCEDURE

Information to be verified:

- Full name of the Trust
- That the Trust is a Self-Managed Superannuation Fund (SMSF), Registered Managed Investment Scheme, Managed Investment Scheme that is not registered by ASIC, Government Superannuation Fund or Other Regulated Trust, as applicable.

Tick ✓	Verification options (select one of the following options used to verify the Trust)
<input type="checkbox"/>	Perform a search of the relevant regulator's website (e.g. ATO, APRA, 'Super Fund Lookup' at www.abn.business.gov.au)
<input type="checkbox"/>	Perform a search of the relevant ASIC database for Registered Managed Investment Scheme
<input type="checkbox"/>	A copy of the relevant pages of the Trust Deed or Constitution confirming that the Unregistered Managed Investment Scheme can only have wholesale clients and a disclosure certificate signed by one of the trustees declaring that the scheme does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies
<input type="checkbox"/>	A copy of the relevant extract of the legislation establishing the Government Superannuation Fund sourced from a Government website

IMPORTANT NOTE:

- Complete the Record of Regulated Trust Verification Procedure in Section 3.1
- Ensure that a separate Individual ID Form has been completed for the Individual Trustee
- You may wish to attach copies of the ID documentation used to verify the Trust.

2.2 AUSTRALIAN CORPORATE TRUSTEE VERIFICATION PROCEDURE (to be completed if Section 1.3.2 is completed)

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 1.4.2 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 1.4.2 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 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 Australian Corporate Trustee Verification Procedure in Section 3.2
- Ensure that a separate Individual ID Form has been completed for each individual (i.e. Beneficial Owner(s)/Controller(s) of the Company) if applicable
- You may wish to attach copies of the ID documentation used to verify the Company.

SECTION 3: RECORD OF VERIFICATION PROCEDURE

3.1 RECORD OF REGULATED TRUST 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"/>
Document type	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Search date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

3.2 RECORD OF AUSTRALIAN CORPORATE TRUSTEE VERIFICATION PROCEDURE (to be completed if Section 1.3.2 is completed)

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"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Search date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <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 the Individual Trustee or each Beneficial Owner/Controller of the Australian Corporate Trustee (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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