



Instruction sheet

Completing the identification form for Australian Unregulated Trusts and Trustees

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 you need to identify if the Trust is a Regulated or Unregulated Trust

This form should be completed if the Trust is an Unregulated Trust. An Unregulated Trust is a:

- Family Trust
- Charitable Trust
- Testamentary Trust
- Superannuation – other
- Other types of Unregulated Trusts (Trusts that are not subject to the oversight of a Commonwealth, State or Territory statutory regulator)

For the following Regulated Trusts, complete the ID form for Australian Regulated Trusts and Trustees

- 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

- 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

You need to complete Section 1.4 for all Trustees (including Trustees that are individuals and Trustees that are an Australian Company).

If the Trust has more than one Trustee, you need to provide us information for all of the Trustees in Section 1.4.1 (for Trustees that are individuals) or Section 1.4.2 and Section 1.5 (for Trustees that are Australian Companies).

| Section | |
|---|--|
| 1 Trust Identification Procedure | |
| 1.1 General Information | ● |
| 1.2 Type of Unregulated Trust | ● |
| 1.3 Beneficiary Details | ● |
| 1.4 Trustee Details | ● |
| | A separate Individual identification form will need to be completed for each individual. |
| 1.5 Australian Corporate Trustee Details | ● |
| | You will need to complete this section if Section 1.4.2 is completed. A separate Individual identification form will need to be completed for each individual (where applicable). |
| 1.6 Controller(s) of the Trust | ● |
| | Refer to Section 1.5.2 for information on when to complete Section 1.6. A separate Individual identification form will need to be completed for each individual. |
| 2 Verification Procedure | |
| 2.1 Unregulated Trust Verification Procedure | ● |
| 2.2 Australian Corporate Trustee Verification Procedure | ● |
| | You will need to complete this section if Section 1.4.2 is completed. |
| 3 Record of Verification Procedure | |
| 3.1 Record of Unregulated Trust Verification Procedure | ● |
| 3.2 Record of Australian Corporate Trustee Verification Procedure | ● |
| | You will need to complete this section if Section 1.4.2 is completed. |



Identification Form Australian Unregulated Trusts and Trustees

GUIDE TO COMPLETING THIS FORM.

This form is for all Trusts that are not subject to the oversight of an Australian statutory regulator and accompanies the Trust application form. For Trusts that are subject to the oversight of an Australian statutory regulator, including Self-Managed Superannuation Funds, complete the ID form for AUSTRALIAN REGULATED 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 ALL Trustees (Section 1.4).

Provide details for the Trust's Controller(s) (Section 1.6) and provide a separate Individual ID Form for each individual unless an Individual ID Form has already been provided for the individual.

Complete all applicable sections of this form in BLOCK LETTERS.

SECTION 1: TRUST IDENTIFICATION PROCEDURE

1.1 GENERAL INFORMATION

Full name of the trust

Was the Trust settled for less than \$10,000?

The settled sum is the amount (usually \$10 or more) that the Settlor provides to the Trustee(s).

Yes No

If 'No', provide full names of the Settlor(s) (unless the Settlor(s) is/are deceased i.e. for a Testamentary Trust).

A Settlor is a person or business who 'settles' a trust. The Settlor's name and the settled sum are normally found within the Trust Deed.

Settlor 1

Full given name(s)

Surname

OR

Full business name

Settlor 2

Full given name(s)

Surname

OR

Full business name

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

Family Trust Charitable Trust Testamentary Trust Superannuation – other

Other types of Unregulated Trusts

Provide description

1.3 BENEFICIARY DETAILS

Do the terms of the Trust identify the beneficiaries by reference to membership of a class?

Yes Proceed to Section 1.3.1

No Proceed to Section 1.3.2

1.3.1 Membership class(es) of beneficiaries (e.g. unit holders, family members of named person, charitable organisations/causes)

NOTE: if the trust answered Yes to the Investment Activity question, please complete an Individual ID form sections 1 & 2 for any beneficiaries who have received an income distribution from the trust within the last 12 months or where the trustee is going to make a distribution to beneficiaries in this calendar year and who also reside in, or are tax residents or citizens of another country.

| |
|--|
| |
| |

1.3.2 Named Beneficiaries

NOTE: if the trust answered Yes to the Investment Activity question, please complete an Individual ID form sections 1 & 2 for all named beneficiaries.

Beneficiary 1

Full given name(s)

Surname

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

Street

Suburb

State

Postcode

Country

Beneficiary 2

Full given name(s)

Surname

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

Street

Suburb

State

Postcode

Country

Beneficiary 3

Full given name(s)

Surname

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

Street

Suburb

State

Postcode

Country

Beneficiary 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 beneficiaries provide details on a separate sheet and tick this box

1.4 TRUSTEE DETAILS

Provide the details below for **all** Trustees.

Complete Section 1.4.1 for Individual Trustee(s) and/or Section 1.4.2 for Australian Corporate Trustee(s).

1.4.1 Individual Trustee details

NOTE: Under AML/CTF regulations, the Bank considers the Individual Trustee(s) to be the Controller(s) of the Trust. Therefore Section 1.6 does not need to be completed.

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

Trustee 1

Full given name(s)

Surname

Trustee 2

Full given name(s)

Surname

Trustee 3

Full given name(s)

Surname

Trustee 4

Full given name(s)

Surname

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

(Please note that this type of account cannot be opened in Advisor Plus. Please send a completed Trust application form and Unregulated Trust ID form to BWAMI).

Complete this section if the Individual Trustee(s) is/are 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 1.4.1 has been completed then proceed to Section 2.

1.4.2 Australian Corporate Trustee details

NOTE: Under AML/CTF regulations, the Bank considers the Beneficial Owner(s)/Controller(s) of the Corporate Trustee to be the Controller(s) of the Trust.

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

If there are more than one Australian Corporate Trustee, provide their details on a separate sheet and tick this box

(Please note that this type of account cannot be opened in Advisor Plus. Please send a completed Trust application form and Unregulated Trust ID form to BWAM).

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 1.4.2 has been completed then proceed to Section 1.5.

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

1.5.1 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 1.5.2(a)
- Public** (companies whose name does not include the word Pty or proprietary) Proceed to 1.5.2(b)

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

1.5.2(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 1.5.3
- 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 1.5.3

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 1.5.3

Australian listed company name

Name of market/exchange

1.5.2(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 1.5.4
- 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 1.6

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 1.6

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 1.6

Australian listed company name

Name of market/exchange

1.5.3 Directors (to be completed for ALL Proprietary companies as identified in sections 1.5.1 and 1.5.2(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

1.5.4 Beneficial Owner(s)/Controller(s) of the Company (to be completed for Proprietary companies (not regulated) and Public Unlisted companies as identified in section 1.5.2)

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

Yes (Complete 1.5.4(a)) No (Complete 1.5.4(b))

1.5.4(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 1.5.4(a) has been completed then, proceed to Section 2

1.5.4(b) Controller(s) of the Company

If there are no individuals who meet the requirement of 1.5.4(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

1.6 CONTROLLER(S) OF THE TRUST

Under AML/CTF regulations, the Bank considers the Beneficial Owner(s)/Controller(s) of the Corporate Trustee to be the Controller(s) of the Trust.

This section is only required to be completed for a Corporate Trustee that is an Australian Public Listed company, a Regulated company or a Majority-owned Subsidiary of an Australian Public Listed company.

Provide the details of the individuals that directly or indirectly control* the Trust.

* Includes control by acting as Trustee; or by means of trusts, agreements, arrangements, understandings and practices; or exercising control through the capacity to direct the Trustees; or the ability to appoint or remove the Trustees.

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 |
| <input type="text"/> | <input type="text"/> |
| Role (such as Trustee or Appointer) | |
| <input type="text"/> | |

Controller 2

| | |
|-------------------------------------|----------------------|
| Full given name(s) | Surname |
| <input type="text"/> | <input type="text"/> |
| Role (such as Trustee or Appointer) | |
| <input type="text"/> | |

Controller 3

| | |
|-------------------------------------|----------------------|
| Full given name(s) | Surname |
| <input type="text"/> | <input type="text"/> |
| Role (such as Trustee or Appointer) | |
| <input type="text"/> | |

Controller 4

| | |
|-------------------------------------|----------------------|
| Full given name(s) | Surname |
| <input type="text"/> | <input type="text"/> |
| Role (such as Trustee or Appointer) | |
| <input type="text"/> | |

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

SECTION 2: VERIFICATION PROCEDURE

2.1 UNREGULATED TRUST VERIFICATION PROCEDURE

Information to be verified:

- Full name of the Trust
- Full name of the Settlor(s) of the Trust unless the Trust was settled for less than \$10,000 or the Settlor(s) is/are deceased.

| | |
|--------------------------|--|
| Tick ✓ | Verification options (select one or more of the following options used to verify the Trust) |
| <input type="checkbox"/> | An original or certified copy of the Trust Deed or if not reasonably available an original or certified extract of the Trust Deed* Extracts of Trust Deeds must include the name of the Trust, Trustees, Beneficiaries and Settlor(s) (where applicable) |
| <input type="checkbox"/> | A notice issued by the Australian Taxation Office within the last 12 months (e.g. a Notice of Assessment)* |

* 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 Unregulated Trust Verification Procedure in Section 3.1
- Ensure that a separate Individual ID Form has been completed for each Individual Trustee
- You may wish to attach copies of the ID documentation used to verify the Trust (and any required translation).

2.2 AUSTRALIAN CORPORATE TRUSTEE VERIFICATION PROCEDURE (to be completed if Section 1.4.2 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 1.5.2 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 1.5.2 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 UNREGULATED TRUST 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 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"/> |
| Accredited English Translation | <input type="checkbox"/> N/A <input type="checkbox"/> Sighted | <input type="checkbox"/> N/A <input type="checkbox"/> Sighted |

3.2 RECORD OF AUSTRALIAN CORPORATE TRUSTEE VERIFICATION PROCEDURE (to be completed if Section 1.4.2 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 each Individual Trustee or 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"/> |