

AML/CTF Checklist

FOR INTERNAL USE ONLY

Please refer to AML-CTF Program Part B for further detail, if needed.

Please select the entity being registered

Individual Joint holding Company Trust Sole trader Partnership

Investor full name (please note that there is to be one checklist for each investing person/entity)

Date of birth / / or ACN and/or ABN

INDIVIDUAL

The following documents are required from the individual or entity being registered. For Individuals, please supply a document from list A, or where these are not available, then one from list B, below.

- A** An original or certified copy of **one** of the following:
- an Australian driver's licence containing a photograph of the person
 - an Australian passport
 - an identification card issued by a state or territory that contains the date of birth and a photograph of the card holder
 - a card issued under a law of a State or Territory for the purpose of proving the person's age which contains a photograph of the person in whose name the document is issued
 - a foreign passport or similar travel document containing a photograph, the date of birth and signature of the person (where the document is not in English, it must be accompanied by an English translation prepared by an accredited translator)
 - a foreign driver's licence that contains a photograph of the person (where the document is not in English, it must be accompanied by an English translation prepared by an accredited translator).

- B** An original or certified copy of **one** of the following:
- an Australian birth certificate
 - an Australian citizenship certificate
 - a pension card issued by Centrelink,
 - a citizenship certificate issued by a foreign government. (Where the document is not in English, it must be accompanied by an English translation prepared by an accredited translator)
 - a birth certificate issued by a foreign government, United Nations or United Nations agency. (Where the document is not in English, it must be accompanied by an English translation prepared by an accredited translator).

PLUS, one of the following:

An original or certified copy of a notice that contains the name and residential address of the person, and is issued by:

- the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits
- the Australian Taxation Office within the preceding 12 months and records a debt payable to or by the person by or to the Commonwealth
- a local government body or utilities provider within the preceding 3 months that records the provision of services to that address or to that person
- in relation to a person under the age of 18, a school principal within the preceding 3 months that records the period of time that the person attended at the school.

INDIVIDUAL ACTING IN THE CAPACITY OF A SOLE TRADER

The following documents are required from the registered entity:

- an original or certified copy of a business name search, **and**
- verification documents required for an Individual (above).

PARTNERSHIP

The following documents are required from the registered entity:

An original or certified copy or certified extract of **one** of the following:

- a current partnership agreement
- minutes of a partnership meeting.

Either copy must include:

- the full name of the partnership
- the full business name (if any) of the partnership, as registered under any state or territory business name legislation
- the country in which the partnership was established
- the full name and residential address of each partner

NOTE: verification documents for an Individual (above) are also required for one partner.

COMPANY

The following documents are required from the registered entity:

- An original or certified copy of a search of ASIC databases showing:
 - the full name of the company
 - the ACN
 - the registered office address
 - the principal place of business
 - the full names of each director, and
 - the full names, DOB and residential addresses of each “beneficial owner” (being an individual who ultimately owns through one or more shareholdings of 25% or more of the issued capital of the company (only required if a proprietary company or private company and is not licensed and is not subject to regulation). **NOTE:** verification documents for an Individual (above) are also required for each beneficial owner.
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TRUST/TRUSTEE

The following documents are required from the registered entity:

1. For all trusts (including self-managed super funds/wrap trusts/master trusts/IDPS), the **original trust deed or an originally certified copy or certified extract** of the trust deed confirming:
 - full name of the trust
 - full business name (if any) of the trustee
 - type of trust
 - country where the trust was established
 - full name of trust settlor (except where the trust settlor is deceased or the material asset contribution to the trust by the settlor at the time the trust was established is less than \$10,000)
 - name of each beneficiary or class of beneficiary. If the trust is a unit trust, a certified extract of the trust register is required to confirm the name of each beneficiary.

If the trustee is an individual, we also need documentation required for an Individual (listed on page 1). If the trustee is a company, we also need documentation required for a Company (listed above).

For the items below, please refer to AML/CTF Program Part B 3(d) regarding trust/trustee (if required).

2. For a trust that is a registered managed investment scheme (MIS):
 - an ASIC search confirming the registration of the MIS, or
 - a search of the relevant regulator's records showing the ARSN of the scheme and the relevant regulatory details.
 3. For a trust that is an unregistered MIS that is not ASIC-regulated **and** only has wholesale clients **and** does not make small scale offerings under section 1012E of the Corporations Act, a declaration by a director or responsible manager of the MIS to this effect is required. Also required is a search of the relevant regulator's records showing the ABN of the scheme and that the trust is a MIS.
 4. For a trust that is registered and subject to regulatory oversight of a Commonwealth statutory regulator in relation to its activities as a trust, one of the following:
 - a search of the relevant ASIC database
 - a search of the relevant regulator's records
 - a search of the relevant ATO database
 5. For a trust that is a government superannuation fund established by legislation, a copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.
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