

IDENTIFICATION FORM INDIVIDUALS AND SOLE TRADERS

GUIDE TO COMPLETING THIS FORM

- Complete one form for each individual. Complete all applicable sections of this form in BLOCK LETTERS.
- Contact your licensee if you have any queries.

SECTION 1. PERSONAL DETAILS

Surname			Date of Birth (dd/mm/yy)
<input type="text"/>			<input type="text"/>
Full Given Names			
<input type="text"/>			
Residential Address (PO Box is NOT acceptable)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full Business Name (if any)			ABN (if any)
<input type="text"/>			<input type="text"/>
Address of Principal Place of Business (if any) (PO Box is NOT acceptable)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 2. FATCA INFORMATION (US FOREIGN ACCOUNT TAX COMPLIANCE ACT)

Is the individual a US citizen or resident of the US for tax purposes?

<input type="checkbox"/> Yes	If yes, provide the individual's US Taxpayer Identification Number (TIN):	<input type="text"/>
<input type="checkbox"/> No		

SECTION 3. 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 own a document from Part I, then complete either Part II or III.)
- ✓ Contact your licensee if the individual is unable to provide the required documents.

PART I - ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS

Tick ✓ Select ONE valid option from this section only

<input type="checkbox"/>	Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
<input type="checkbox"/>	Foreign passport or similar travel document containing a photograph and the signature of the person*

IDENTIFICATION FORM INDIVIDUALS AND SOLE TRADERS

PART II – ACCEPTABLE SECONDARY ID DOCUMENTS – should only be completed if the individual does not own a document from Part I

Tick✓ Select ONE valid option from this section only

- Australian birth certificate
- Australian citizenship certificate
- Pension card issued by Department of Human Services (previously known as Centrelink)

Tick✓ AND ONE valid option from this section

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
- A document issued by the Australian 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.
- A document issued by a local government body or 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)
- If under the age of 18, a notice 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

PART III – ACCEPTABLE FOREIGN PHOTOGRAPHIC ID DOCUMENTS – should only be completed if the individual does not own a document from Part I

Tick✓ Select ONE valid option from this section only

- Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth*
- National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued*

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

IMPORTANT NOTICE

- ✓ Either attach a legible certified copy of the ID documentation used to verify the individual (and any required translation) OR
- ✓ Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section below and DO NOT attach copies of the ID Documents

SECTION 4. RECORD OF VERIFICATION PROCEDURE

ID DOCUMENT DETAILS	DOCUMENT 1		DOCUMENT 2	
Verified From	<input type="checkbox"/> Original	<input type="checkbox"/> Certified copy	<input type="checkbox"/> Original	<input type="checkbox"/> Certified copy
Document Issuer				
Issue Date				
Expiry Date				
Document Number				
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 Rules, in the capacity of an AFSL holder or their authorised representative and
- the FATCA information provided is reasonable considering the documentation provided.

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"/>