

To comply with our obligations under the Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF) Act 2006, BT customers must now complete a Customer Identification Form in addition to the application form.

This Customer Identification Form is to be completed for product applications relating to domestic and foreign companies only. Customer identification forms for other entity types can be downloaded from www.bt.com.au/AML or can be obtained from BT Customer Relations on 132 135.

Please follow the instructions provided.

Are you lodging your application form through a financial adviser? Please speak to your financial adviser before completing the Customer Identification Form.

Existing customers of BT or the Westpac Banking Corporation may not be required to complete the Customer Identification Form. To determine if you are required to lodge this form, please visit www.bt.com.au/AML for further information or call BT Customer Relations on 132 135 and provide your BT/Westpac account details.

Applications received without a completed Customer Identification Form and any necessary supporting documentation, from customers who are required to be identified, cannot be processed.

Customer Identification Form For Australian and Foreign Companies

INSTRUCTIONS AND CHECKLIST FOR COMPLETING THE CUSTOMER IDENTIFICATION FORM

WHO SHOULD COMPLETE THIS CUSTOMER IDENTIFICATION FORM

If you are an Australian or foreign company investing in a new BT product.

IMPORTANT INFORMATION FOR INVESTORS

- If you are lodging your product application form through a financial adviser, please contact your financial adviser for further information.
- If you are lodging your product application form as a **direct investor** (without a financial adviser), you have two options available to you:

OPTION 1

Complete **Section 1** or **2** of the Customer Identification Form only, and attach certified copies of your identity document(s). If you choose this option, please use the **checklist** provided below.

OR

OPTION 2

Westpac branches may be able to perform the identification procedure. Please note that extra identification may be required. For full instructions and a list of documents required, please visit our website www.bt.com.au/AML.

CHECKLIST FOR OPTION 1

Before you send the Customer Identification Form, ensure that you have correctly completed all items on the **checklist** below. Ensuring that all information and documentation is provided will assist in a smooth application process.

This **checklist** section of this form is provided for your records and is not required by BT to process your application.

- Complete **all** applicable fields in **Section 1** or **2** of the Customer Identification Form using the instructions provided.
- The following documents must be mailed to BT:
 - completed Customer Identification Form
 - certified copies of your identification document(s), where required and
 - product application form with any applicable documentation.

IMPORTANT INFORMATION FOR FINANCIAL ADVISERS

BT will also accept identification from a correctly completed Investment and Financial Services Association/Financial Planning Association (IFSA/FPA) identification form.

When using this Customer Identification Form, please complete **Sections 1** or **2** and **3**.

MORE INFORMATION

WHY WESTPAC BANK BRANCHES ARE ABLE TO COLLECT YOUR IDENTIFICATION ON BT'S BEHALF

BT is the wealth management arm of the Westpac Banking Corporation, and as such, BT and Westpac are working together to help meet the AML/CTF obligations faced when new customers join. This cooperation means that customers new to BT have the convenient option to have the identification procedure performed at a Westpac Branch if they choose.

If you require more information on our AML/CTF requirements, please visit our website www.bt.com.au/AML.

Customer Identification Form For Australian and Foreign Companies

HOW TO CERTIFY YOUR DOCUMENTS

A certified copy is a document that has been certified as a true copy of an original document.

To certify a document, take the original document and a photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document. That person will need to print their name, date and the capacity in which they are signing (eg postal agent, Justice of the Peace). Sample wording is provided below.

I, [full name], as [category of persons as listed below], certify that this [name of document] is a true and correct copy of the original [signature and date].

Who can certify copies of documents	
Legal	<ul style="list-style-type: none"> • a solicitor or barrister (that is, a person who is enrolled on the roll of the Supreme Court of a state or territory, or the High Court of Australia, as a legal practitioner (however described)) • a judge of a court • a magistrate • a chief executive officer of a Commonwealth court • a registrar or deputy registrar of a court • a notary public
JP	<ul style="list-style-type: none"> • a Justice of the Peace
Police	<ul style="list-style-type: none"> • a police officer
Accountant	<ul style="list-style-type: none"> • a member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants Australia or the National Institute of Accountants with two or more years of continuous membership
Post office	<ul style="list-style-type: none"> • an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public • a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
Diplomatic service	<ul style="list-style-type: none"> • an Australian consular officer • an Australian diplomatic officer (within the meaning of the Consular Fees Act 1985)
Financial corporations (bank, building society, credit union)	<ul style="list-style-type: none"> • an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993) • a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993) • an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees.

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GUIDE TO COMPLETING THIS FORM

- Complete all parts of **one** of the following:
 - Australian companies – Section 1
 - Foreign companies – Section 2
- Only send the **completed sections** of this form with the product application form.

SECTION 1: AUSTRALIAN COMPANIES (to be completed if company is an Australian Company)

SECTION 1A: COMPANY DETAILS

1.1 GENERAL INFORMATION

Full name as registered by ASIC

Australian Company Number (ACN)

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Registered office address (PO Box is **not** acceptable)

	<i>State</i>	<i>Postcode</i>	<i>Country</i>
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Principal place of business (if any) (PO Box is **not** acceptable)

	<i>State</i>	<i>Postcode</i>	<i>Country</i>
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1.2 REGULATORY / LISTING DETAILS

Select [**X**] the following categories which apply to the company and provide the information requested

<input type="checkbox"/> Regulated company <i>(licensed by an Australian Commonwealth, state or territory statutory regulator)</i>	Regulator name	
	Licence details	
<input type="checkbox"/> Australian listed company	Name of market/exchange	
<input type="checkbox"/> Majority-owned subsidiary of an Australian listed company	Australian listed company name	
	Name of market/exchange	

1.3 COMPANY TYPE

Select [**X**] only **one** of the following categories)

<input type="checkbox"/> Public	Go to Section 1B.
<input type="checkbox"/> Proprietary	Go to Section 1.4 below.

1.4 DIRECTORS

To be completed for proprietary companies.
This section does **not** need to be completed for public and listed companies.

How many directors are there? Provide full name of each director below

	Full given name(s)	Surname
1		
2		
3		
4		

If there are more directors, provide details on a separate sheet.

- If the company is a regulated company (as selected in Section 1.2 above), go to Section 1B.
- For all other proprietary companies continue to Section 1.5 below.

1.5 SHAREHOLDERS

To be completed for proprietary companies that are not regulated companies as selected in Section 1.2.

Provide details of **all individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

1 SHAREHOLDER 1

Full given name(s) Surname

Residential address (PO Box is **not** acceptable)

State Postcode

Country, if not Australia

2 SHAREHOLDER 2

Full given name(s) Surname

Residential address (PO Box is **not** acceptable)

State Postcode

Country, if not Australia

3 SHAREHOLDER 3

Full given name(s) Surname

Residential address (PO Box is **not** acceptable)

State Postcode

Country, if not Australia

SECTION 1B: VERIFICATION PROCEDURE – AUSTRALIAN COMPANY

- Complete either Part A or Part B to tell us what document you are sending us or the verification method BT should perform.
- Contact us if you are unable to provide the required document.
- **If instructed to provide certified copies of documents**, please refer to the 'How to certify your documents' section for information on how to do this.

PART A – ACCEPTABLE DOCUMENT

Cross X	Verification options: Select ONE of the following options used to verify the company.
<input type="checkbox"/>	Certified copy of the certification of registration issued by ASIC.
<input type="checkbox"/>	Perform a search of the relevant database (BT to perform for direct customers).

OR

PART B – ALTERNATIVE ACCEPTABLE DOCUMENT

For a company which is an Australian listed company or majority owned subsidiary of an Australian listed company, or is a regulated company (ie licensed by an Australian, Commonwealth, state or territory statutory authority).

Cross X	Verification options: Select ONE of the following options used to verify the company.
<input type="checkbox"/>	Public document issued by the relevant company.
<input type="checkbox"/>	Perform a search of the relevant market/exchange (BT to perform for direct customers).
<input type="checkbox"/>	Perform a search of the relevant database (BT to perform for direct customers).
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, state or territory statutory regulator (BT to perform for direct customers).

SECTION 2: FOREIGN COMPANIES (to be completed if the company is a foreign company)

SECTION 2A: COMPANY DETAILS

2.1 GENERAL INFORMATION

Full name of foreign company

Country of formation / incorporation / registration

Select [X] if registered by a foreign body and provide name of body

2.2 IS THE FOREIGN COMPANY REGISTERED WITH ASIC?

Select [X] ONE of the following

<input type="checkbox"/> YES	Provide ARBN <input type="text"/> Provide either (cross one box): <input type="checkbox"/> principal place of business address in Australia OR <input type="checkbox"/> local agent name and address details Address (PO Box is not acceptable) <table border="1" style="width: 100%;"> <tr> <td style="text-align: right;"><i>State</i></td> <td style="text-align: right;"><i>Postcode</i></td> </tr> <tr> <td>Country, if not Australia</td> <td></td> </tr> </table> Name of local agent in Australia <input type="text"/>	<i>State</i>	<i>Postcode</i>	Country, if not Australia	
<i>State</i>	<i>Postcode</i>				
Country, if not Australia					
<input type="checkbox"/> NO	Provide company identification number (if any) issued by the foreign registration body <input type="text"/> Principal place of business in the company's country of formation or incorporation (PO Box is not acceptable) <table border="1" style="width: 100%;"> <tr> <td style="text-align: right;"><i>State</i></td> <td style="text-align: right;"><i>Postcode</i></td> </tr> <tr> <td>Country, if not Australia</td> <td></td> </tr> </table>	<i>State</i>	<i>Postcode</i>	Country, if not Australia	
<i>State</i>	<i>Postcode</i>				
Country, if not Australia					

2.3 REGISTERED ADDRESS OF COMPANY

Provide the registered address as registered with ASIC. If the company is **not** registered with ASIC, provide the registered address in the country of formation, incorporation or registration (if any).

State Postcode Country

2.4 REGULATORY / LISTING DETAILS

Select [X] each of the following categories that apply to the company and provide the information requested.

<input type="checkbox"/> Regulated company <i>(licensed by an Australian Commonwealth, state or territory statutory regulator)</i>	Regulator name	
	Licence details	
<input type="checkbox"/> Listed on a major financial market	Name of market/exchange	
<input type="checkbox"/> Majority-owned subsidiary of an Australian listed company	Australian listed company name	
	Name of market/exchange	

2.5 COMPANY TYPE

Select [X] only **one** of the following categories and provide any information requested.

<input type="checkbox"/> Public	Go to Section 2.6 below.
<input type="checkbox"/> Private/Proprietary	Go to Section 2.6 below.
<input type="checkbox"/> Other	Go to Section 2.6 below.

2.6 DIRECTORS

Complete for all companies other than public or listed companies.

How many directors are there? Provide full name of each director below

	Full given name(s)	Surname
1		
2		
3		
4		

If there are more directors, provide details on a separate sheet.

- If the company is a regulated company (as selected in Section 2.4 above), go to Section 2B.
- For all other private, proprietary or other companies continue to Section 2.7 below.

2.7 SHAREHOLDERS

Complete for all companies other than public, listed or regulated companies.

Provide details of **all individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

1 SHAREHOLDER 1	
Full given name(s)	Surname
<input type="text"/>	<input type="text"/>
Residential address (PO Box is not acceptable)	
<input type="text"/>	
State Postcode	
Country, if not Australia	<input type="text"/>

2 SHAREHOLDER 2

Full given name(s)

Surname

Residential address (PO Box is **not** acceptable)

State

Postcode

Country, if not Australia

3 SHAREHOLDER 3

Full given name(s)

Surname

Residential address (PO Box is **not** acceptable)

State

Postcode

Country, if not Australia

SECTION 2B: FOREIGN COMPANY VERIFICATION PROCEDURE

- Complete Part A, Part B or Part C to tell us what documents you are sending us or the verification method BT should perform.
- Contact us if you are unable to provide the required documents.
- **Do not send original documents, only certified copies.** Please refer to the 'How to certify your documents' section for information on how to do this.

**PART A – ACCEPTABLE ID DOCUMENTS
a foreign company registered with ASIC.**

Cross X	Verification option – Select this option if the foreign company is registered with ASIC.
<input type="checkbox"/>	A certified copy of the certification of registration issued by ASIC or by the relevant foreign registration body.
<input type="checkbox"/>	Perform a search of the relevant ASIC database (BT to perform for direct customers).
<input type="checkbox"/>	Perform a search of the relevant foreign registration body (BT to perform for direct customers).

OR**PART B – ACCEPTABLE ID DOCUMENTS
a foreign company not registered with ASIC.**

Cross X	Verification option – Select this option if the foreign company is not registered with ASIC.
<input type="checkbox"/>	A certified copy of the certification of registration issued by the relevant foreign registration body.
<input type="checkbox"/>	A disclosure certificate from the company given by an individual acting as agent of the company where the agent has been verified. Contact BT Customer Relations for more information.
<input type="checkbox"/>	Perform a search of the relevant foreign registration body (BT to perform for direct customers).

OR**PART C – ACCEPTABLE ID DOCUMENTS
a listed company, a majority owned subsidiary of an Australian listed company or a regulated company.**

Cross X	Verification option
<input type="checkbox"/>	A public document issued by the relevant company.
<input type="checkbox"/>	Perform a search of the relevant financial market (BT to perform for direct customers).
<input type="checkbox"/>	Perform a search of the relevant ASIC database (BT to perform for direct customers).
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, state or territory statutory regulator (BT to perform for direct customers).

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

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