

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 by individuals, sole traders and joint investors only. Customer identification forms for other entity types can be downloaded from [www.bt.com.au/AML](http://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](http://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 Individuals and Sole Traders

## INSTRUCTIONS AND CHECKLIST FOR COMPLETING THE CUSTOMER IDENTIFICATION FORM

### WHO SHOULD COMPLETE THIS CUSTOMER IDENTIFICATION FORM

If you are an individual, sole trader or joint investor 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** 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 will be required. For full instructions and a list of documents required, please visit our website [www.bt.com.au/AML](http://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** 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), and
  - product application form (except online applications) 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 and 2**.

### 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](http://www.bt.com.au/AML).

## 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"><li>• 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))</li><li>• a judge of a court</li><li>• a magistrate</li><li>• a chief executive officer of a Commonwealth court</li><li>• a registrar or deputy registrar of a court</li><li>• a notary public</li></ul>
JP	<ul style="list-style-type: none"><li>• a Justice of the Peace</li></ul>
Police	<ul style="list-style-type: none"><li>• a police officer</li></ul>
Accountant	<ul style="list-style-type: none"><li>• 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</li></ul>
Post office	<ul style="list-style-type: none"><li>• an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li><li>• 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</li></ul>
Diplomatic service	<ul style="list-style-type: none"><li>• an Australian consular officer</li><li>• an Australian diplomatic officer (within the meaning of the Consular Fees Act 1985)</li></ul>
Financial corporations (bank, building society, credit union)	<ul style="list-style-type: none"><li>• an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the <i>Statutory Declaration Regulations 1993</i>)</li><li>• a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the <i>Statutory Declaration Regulations 1993</i>)</li><li>• 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.</li></ul>



# Customer Identification Form For Individuals and Sole Traders

## SECTION 1

### INSTRUCTIONS

- Complete all applicable sections on this form using **black pen** – print in clear **CAPITAL LETTERS**.
- Complete one form for each investor (eg two forms in total for two joint investors).

### SECTION 1A: PERSONAL DETAILS

Surname (must complete)

Date of Birth dd/mm/yyyy

/
 /
 




Full given name(s) (must complete)

Daytime contact phone number

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

State

Postcode

Country, if not Australia

### SECTION 1B: SOLE TRADER DETAILS (IF APPLICABLE)

Complete this section if you are a sole trader.

Full business name (if any)

ABN (if any)










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

State

Postcode

Country, if not Australia

### SECTION 1C: VERIFICATION PROCEDURE

Please send us certified copies of documents that show your full name and **either** your date of birth or residential address.

- Complete Part A to tell us what documents you are sending us.
- If you cannot send us a certified copy of a document from Part A, then complete either Part B or C.
- Contact us if you are unable to provide the required documents in Parts A, B or C.
- **Do not send original documents, only certified copies.** Please refer to the 'How to certify your documents' section for more information.

#### PART A – ACCEPTABLE PRIMARY ID DOCUMENTS

Cross X	Select ONE valid option from this section only.
<input type="checkbox"/>	Certified copy of an Australian State/Territory driver's licence containing a photograph of the person.
<input type="checkbox"/>	Certified copy of an Australian passport (a passport that has expired within the preceding two years is acceptable).
<input type="checkbox"/>	Certified copy of a 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"/>	Certified copy of a foreign passport or similar travel document containing a photograph and the signature of the person.*

OR

Continued overleaf ▶▶

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**PART B – ACCEPTABLE SECONDARY ID DOCUMENTS**

Should only be completed if you do not send a certified copy of a document from Part A or Part C.

Cross X	Select ONE valid option from this section	AND	Cross X	ONE valid option from this section
<input type="checkbox"/>	Certified copy of an Australian birth certificate		<input type="checkbox"/>	Certified copy of 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
<input type="checkbox"/>	Certified copy of an Australian citizenship certificate		<input type="checkbox"/>	Certified copy of 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. <b>Block out the TFN before scanning, copying or storing this document.</b>
<input type="checkbox"/>	Certified copy of a Pension card issued by Centrelink		<input type="checkbox"/>	Certified copy of a document issued by a local government body or utilities provider within the preceding three 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)
<input type="checkbox"/>	Certified copy of a Health card issued by Centrelink		<input type="checkbox"/>	If under the age of 18, certified copy of a notice that was issued to the individual by a school principal within the preceding three months; and contains the name and residential address; and records the period of time that the individual attended that school

**OR**

**PART C – ACCEPTABLE FOREIGN ID DOCUMENTS**

Should only be completed if you do not send a certified copy of a document from Part A or B.

Cross X	BOTH documents from this section must be presented
<input type="checkbox"/>	Certified copy of a Foreign driver's licence* that contains a photograph of you and your date of birth.
<input type="checkbox"/>	Certified copy of a National ID card* issued by a foreign government containing your photograph and your signature.

\* Documents written in any other language but English must be accompanied by an English translation prepared by an accredited translator.

**SECTION 2: FINANCIAL ADVISER USE ONLY**

**INSTRUCTIONS**

• **Option 1** – Financial advisers can complete Section 2A as outlined below. Please ensure that you indicate which document(s) you have sighted as set out in Section 1C of this form. Enclose the completed verification procedure with your client's application form and mail to BT. **This method is preferred by BT.**

**OR**

• **Option 2** – Financial advisers can send BT copies of all documents received from the client with this completed Customer Identification Form and the application form. Documents must be provided in line with Section 1C of this form.

**SECTION 2A: RECORD OF VERIFICATION PROCEDURE**

Verify the **individual's** full name; and **either** their date of birth or residential address.

ID DOCUMENT DETAILS	Document 1		Document 2 (if applicable)	
Verified from	<input type="checkbox"/> Original	<input type="checkbox"/> Certified copy	<input type="checkbox"/> Original	<input type="checkbox"/> Certified copy
Document issuer				
Issue date (dd/mm/yyyy)				
Expiry date (dd/mm/yyyy)				
Document number				
Accredited English translation	<input type="checkbox"/> n/a	<input type="checkbox"/> Sighted	<input type="checkbox"/> n/a	<input type="checkbox"/> Sighted

**SECTION 2B: FINANCIAL ADVISER DETAILS – identification and verification conducted by:**

Date verified (dd/mm/yyyy) <input type="text"/> / <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/>	Financial Adviser's name <input type="text"/>
Phone number <input type="text"/> ( ) <input type="text"/>	AFS licensee name <input type="text"/>
	AFSL number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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