

BankSA Customer Identification Procedure Form

– Individuals & Sole Traders

Section 1: Your details (mandatory).

Account number (if known)

Title

Given name(s)

Family name

Gender ☐ Male ☐ Female

Are you known by any other name(s)?

☐ Yes (insert below) ☐ No

Date of birth (DD/MM/YYYY)

 / /

Permanent residential address (cannot be a PO Box)

State	Postcode	Country, if not Australia

Occupation (if completing hard copy of form, please refer to the online form to select ONE occupation from the drop down list)

Employment Type:

- | | | | |
|-------------------------------------|---|--|---|
| ☐ Full-time | ☐ Self employed | ☐ Temporary | ☐ Student |
| ☐ Unemployed | ☐ Dependent contractor | ☐ Independent contractor | ☐ Part-time |
| ☐ Casual | ☐ Retired | ☐ Social security recipient | ☐ Other (home duties/work compensation/etc.) |

1.1 Contact details

Mobile number

Email address

1.2 Complete if you are a sole trader

Full business name (if any)

ABN (if any)

Principal place of business (cannot be a PO Box)

State	Postcode	Country, if not Australia

Industry type

Section 2: Tax residency (mandatory).

Are you a resident of a country other than Australia for tax purposes?

☐ Yes. Date you became a non-resident for tax purposes (complete section 2)

 / /

☐ No (proceed to section 3)

Provide the country/countries outside of Australia in which you are a resident for tax purposes and country's associated Tax Identification Number (TIN)*

* A TIN is an identifying number or equivalent used for tax purposes.

'TIN not issued' is only applicable to specific countries. For more details go to oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/tax-identification-numbers

Note: If there are more than 3 countries in which the company is a tax resident, please provide the details on a separate paper.

Country 1 (Primary country of residence for tax purposes)

Foreign TIN 1

Reason (if TIN not applicable)

☐ TIN not issued

Country 2

Foreign TIN 2

Reason (if TIN not applicable)

☐ TIN not issued

Country 3

Foreign TIN 3

Reason (if TIN not applicable)

☐ TIN not issued

Section 3: Additional information (mandatory).**3.1 Source of funds.**

This refers to where your funds came from in regard to deposits into the account. For example, if your superannuation contribution is made by your employer you would select salary/wages. Please note you may have multiple sources of funds. Please indicate all sources of funds below.

- | | | | |
|--|---|---|---|
| ☐ Salary/wages | ☐ Business income/earnings | ☐ Investment income/earnings | ☐ Superannuation/pension |
| ☐ Bonus | ☐ Commission | ☐ Sale of assets | ☐ Liquidation of assets |
| ☐ Business profit | ☐ Rental income | ☐ Loan | ☐ Compensation payment |
| ☐ Insurance payment | ☐ Government benefit | ☐ Tax refund | ☐ Redundancy |
| ☐ Gift/donation | ☐ Inheritance | ☐ Windfall | |
| ☐ Additional sources (Please specify) | | | |

Section 3: Additional information (mandatory) (continued).**3. 2 Source of wealth.**

This refers to where or how you have built your net worth. For example, if your assets have been gained through savings from your salary you would select 'employment income'. Please note that you may have multiple sources of wealth. Please indicate all sources of wealth below.

- | | | | |
|--|---|---|---|
| ☐ Employment income/ earnings | ☐ Business income/earnings | ☐ Investment income/earnings | ☐ Superannuation/pension |
| ☐ Sale of assets | ☐ Liquidation of assets | ☐ Owns real estate/property | ☐ Business profit |
| ☐ Rental income | ☐ Redundancy | ☐ Insurance payment | ☐ Compensation payment |
| ☐ Gift/donation | ☐ Government benefit | ☐ Inheritance | ☐ Windfall |
| ☐ Additional sources (Please specify) | | | |

3. 3 Privacy statement and consent request.**Privacy Statement.**

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at banksa.com.au/privacy/privacy-statement or by calling us. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your request.

Consent Request.

By signing below, you consent to us collecting and holding any sensitive information such as health information or information about your racial or ethnic origin which appears on copies of your identity documents. You will not be able to withdraw your consent to BankSA holding this information after it has been provided because BankSA is required to retain copies of identification documents under the Anti-Money Laundering and Counter Terrorism Financing Act 2006 (AML/CTF Act 2006).

Section 4: Document verification procedure (mandatory).

Complete this form and provide the relevant certified identity document/s as outlined in Part I OR Part II OR Part III (Aged Care Residents) OR Part IV (Indigenous customers).

Important.

The ID documents you supply must:

- be an original certified copy. (for guidance on how to certify your Identity documents and who can certify, refer to Appendix A of this form.)
- be valid, clear and must not be cancelled, defaced or mutilated. Where applicable, the ID cannot be expired (unless specified)

Documents that are written in a language that is not English must be accompanied by an English translation prepared by National Accreditation Authority for Translators and Interpreters (NAATI) translator.

Section 4: Document verification procedure (mandatory) (continued).**PART I – Primary Photographic Identification Document**

Tick	Select ONE document from this section only
☐	Australian driver's licence/learner's permit
☐	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
☐	Australian proof of age card issued by a State or Territory
☐	Foreign passport or travel document issued by a foreign government, the United Nations or an agency of the United Nations (must not be cancelled, defaced or mutilated) which contains either your signature OR your unique identifier
☐	Foreign driver's licence/permit that contains a photograph of you and your date of birth
☐	National identity card issued by a foreign government, the United Nations or an agency of the United Nations which contains either a signature OR your unique identifier

PART II – Primary Non-Photographic Identification Document AND ONE Secondary Identification Document

(complete only if documents from Part I cannot be provided)

Tick	Select ONE Primary Non-Photographic Document from this section
☐	Australian birth certificate (or extract issued by a State or Territory)
☐	Australian Citizenship Certificate (including a Citizenship by Descent Certificate)
☐	Pension card issued by Department of Human Services
☐	Health card issued by Department of Human Services
☐	Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations
☐	Citizenship certificate issued by a foreign government

Tick	AND ONE Secondary Identification Document from this section
☐	A notice issued by the Commonwealth or a State/Territory within the last 12 months that includes your name and residential address and records the provision of financial benefits (e.g. Centrelink notice)
☐	A notice issued by the Australian Taxation Office (ATO) within the last 12 months that includes your name and residential address and records a debt payable by or to the individual (e.g. notice of assessment)
☐	Utilities notice issued by a local government or utilities provider within the last 3 months and includes your name and residential address and records the provision of a service to that address or name
☐	Foreign driver's licence which does not contain a photograph
☐	Department of Veterans' Affairs pension concession card (Australian)
☐	A current tenancy/lease agreement (must not be cancelled or expired)
☐	Medicare card
☐	Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages
☐	Identification card issued to a student at an Australian higher education institution (TAFE or University) which contains your photograph and signature
☐	A current card issued under a Commonwealth, State, or Territory law for the purpose of identification, for a government service, or as a licence

Section 4: Document verification procedure (mandatory) (continued).**PART III – Aged care residents only** (complete only if documents from Part I or Part II cannot be provided)

Tick	Select TWO of the following documents from this section
☐	Notice/invoice/letter issued by an Australian assisted care facility or Australian assisted care service provider within the last 3 months that includes your full name and date of birth and the facility's or your address
☐	Notice/letter from an Australian Government agency issued within the last 3 months which contains your full name and address or the address of the facility where you reside
☐	A letter/correspondence, issued within the last 3 months, from a medical practitioner (for example, a general practitioner) licensed in Australia, which verifies your full name and date of birth or your full name and address
☐	A Medicare card/Department of Veterans' Affairs pension concession card (Australian)

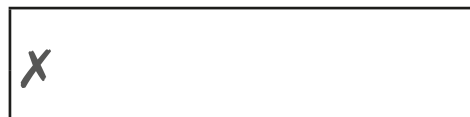
PART IV – Indigenous Customers ONLY (complete only if documents from Part I or Part II cannot be provided)

Tick	Select ONE of the following documents
☐	Indigenous Customer Identification Form that is: (i) Completed by one referee that is a recognised elder (or another person that is regarded as a leader within the community) to verify the information provided by you. (ii) Witnessed by an independent person with no direct familial ties to you or the referee.
☐	Indigenous community identification card issued by an Indigenous Council or Corporation that includes your name, date of birth/approximate age, address/location and photograph.

Section 5: Client declaration and consent (mandatory).

- I declare that to the best of my knowledge the information I have provided above is true and correct as at the date of this document.
- I understand that it is an offence to knowingly give false or misleading information or knowingly produce a false or misleading document under the AML/CTF Act 2006, and the Tax Laws Amendment (Implementation of the Common Reporting Standard) Act 2016.
- I agree to the consents in Section 3.3 Privacy Statement and Consent Request Section.

Signature (Wet (pen) signature required)



Date

 / /

Signatory's full name (please print)

Appendix A

A. What is a certified copy of a document?

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

To have your document certified, take the original document and a photocopy of it to one of the persons listed in the categories below.

The certifier will then write or stamp the copy with the words: “I, [full name of authorised certifier], as [select appropriate person from authorised list below], certify that this [name of document] is a true copy of the original [signature and date]”.

That person will need to print their name, date and qualification/occupation which makes them an eligible certifier on the photocopy.

If there are multiple pages to the copy, the certifier will need to fully certify each page.

Note: Only original certified ID documents must be supplied. Photocopies of certified documents will not be accepted.

B. List of eligible persons who can certify your identity documents.

A document can be certified by the following authorised persons:

Legal

- 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))
- Judge of a court¹
- Magistrate
- Chief Executive Officer of a Commonwealth court¹
- Registrar or Deputy Registrar of a court¹

Foreign jurisdiction

- A person who is authorised by law in the relevant jurisdiction to administer oaths or affirmations or to authenticate documents¹

Healthcare

- Dentist
- Medical practitioner
- Nurse
- Pharmacist

JP

- Justice of the Peace¹

Law enforcement

- Police officer
- Sheriff
- Sheriff's officer

Post office

- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- 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

Accountant

- who is a fellow of the National Tax Accountants' Association; or
- who is a member of any of the following:
 - Chartered Accountants Australia and New Zealand;
 - the Association of Taxation and Management Accountants;
 - CPA Australia;
 - the Institute of Public Accountants

Diplomatic service

- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the *Consular Fees Act 1955*)¹
- Employee of the Australian Trade and Investment Commission who is:
 - in a country or place outside of Australia; and
 - authorised under paragraph 3(d) of the *Consular Fees Act 1955*; and
 - exercising his or her function at that place

Financial institutions (eg bank, building society, credit union)

- An officer with two or more continuous years of service in Australia
- 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
- An officer of an Australian bank, building society or finance company branch or office located in a foreign jurisdiction with 2 or more years of continuous service (includes an employee of Westpac New Zealand Limited with two or more years of continuous service)

For a complete list of people who can certify your identification documents please refer to our website bt.com.au/personal/help/how-to-certify-id.html

¹ Authorised to certify a copy of your document when overseas.

Post a signed copy of this completed form to BankSA Margin Lending, Reply Paid 1467, Royal Exchange NSW 1225