



BT Customer Identification Procedure Form Foreign Companies Not Registered in Australia

SECTION 1: FOREIGN COMPANY IDENTIFICATION PROCEDURE (MANDATORY)

1.1 GENERAL INFORMATION

Investor number (if known)

Is the company registered with ASIC?

- Yes. (Complete the BT Customer Identification and Verification Form Foreign Companies Registered in Australia)
- No

Full name of the foreign company

Business, trading or other name(s) other than the name above (if any)

Country of company's formation/incorporation/registration

Date of formation/incorporation/registration (DD/MM/YYYY)

Industry type/classification

Company's registered address in country of formation/ incorporation/ registration (not a PO Box)

Company's principal place of business address in country formation/ incorporation/registration (not a PO Box)

Is the company registered outside of Australia by a government body responsible for the incorporation/registration of companies, e.g. company registry office

- Yes (provide the following)

Name of the government body responsible for the incorporation/ registration of the company

Company registration number issued by the government body

- No

1.2 COMPANY TYPE (select only one of the following)

- Proprietary
- Public

1.3 LISTING AND REGULATORY DETAILS (Select any of the following applicable categories)

- Public Listed company (company that is listed on a foreign stock exchange)

Name of stock exchange

Country of jurisdiction of the foreign stock exchange

- Majority Owned Subsidiary of an Australian Public Listed company (companies that are majority owned by an Australian company that is listed on an Australian stock exchange)

Australian listed company name

Name of stock exchange

- Majority Owned Subsidiary of a Foreign Public Listed Company (companies that are majority owned by a foreign company that is listed on an foreign stock exchange)

Foreign listed company name (Parent Company)

Name of foreign stock exchange

Country or jurisdiction of the stock exchange

1.4 DIRECTORS (Name(s) of all directors are required for all Proprietary companies)

Provide the names of ALL company directors and complete separate individual customer ID forms for each of these individuals.

Full given name(s)

Surname

Full given name(s)	Surname
1.	
2.	
3.	
4.	

- Tick here if there are more than 4 directors and provide details on a separate sheet



SECTION 2: TAX INFORMATION (MANDATORY)

Is the Company a resident of a country other than Australia for tax purposes?

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

____ / ____ / ____

No (proceed to section 3)

TIN not issued outside of Australia in which the company is 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 <https://www.oecd.org/tax/automatic-exchange/crs-implementation-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: BENEFICIAL OWNERS IDENTIFICATION & VERIFICATION (NOT APPLICABLE FOR COMPANY TYPES LISTED IN SECTION 1.3)

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?

Yes (complete 3.1)

No (complete 3.2)

3.1 SHAREHOLDER BENEFICIAL OWNERS

Provide the names of ALL individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).

Complete separate individual customer ID forms for each of these individuals.

Full given name(s)	Surname
1.	
2.	
3.	
4.	

3.2 OTHER BENEFICIAL OWNERS

If there are no individuals who meet the requirements of 3.1, provide the names of the individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

Complete separate individual customer ID forms for each of these individuals.

Individual customer 1

Full given name(s)

Surname

Role

Individual customer 2

Full given name(s)

Surname

Role

Tick here if there are more than 2 Beneficial Owners and provide details on a separate sheet



SECTION 4: ADDITIONAL INFORMATION (MANDATORY)

4.1 SOURCE OF FUNDS

This refers to where the company's funds came from in regard to deposits into the account. Please note the company may have multiple sources of funds. Please indicate all sources of funds below.

- | | |
|--------------------------------------------------------------|---------------------------------------------------|
| <input type="checkbox"/> Commission | <input type="checkbox"/> Bonus |
| <input type="checkbox"/> Business income | <input type="checkbox"/> Business profit |
| <input type="checkbox"/> Investment income | <input type="checkbox"/> Corporate investments |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Loan |
| <input type="checkbox"/> Capital injection | <input type="checkbox"/> Insurance payment |
| <input type="checkbox"/> Government grant | <input type="checkbox"/> Sale of assets |
| <input type="checkbox"/> Liquidation of assets | <input type="checkbox"/> Mergers and acquisitions |
| <input type="checkbox"/> Gift/donation | <input type="checkbox"/> Controlled money account |
| <input type="checkbox"/> Tax refund | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Additional Sources (Please specify) | |

4.2 SOURCE OF WEALTH

This refers to where or how the company has built its net worth. Please note that the company may have multiple sources of wealth. Please indicate all sources of wealth below.

- | | |
|--------------------------------------------------------------|---------------------------------------------------|
| <input type="checkbox"/> Business income | <input type="checkbox"/> Business profit |
| <input type="checkbox"/> Investment income | <input type="checkbox"/> Corporate investments |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Insurance payment |
| <input type="checkbox"/> Owns property | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Sale of assets | <input type="checkbox"/> Liquidation of assets |
| <input type="checkbox"/> Gift/Donation | <input type="checkbox"/> Mergers and acquisitions |
| <input type="checkbox"/> None | <input type="checkbox"/> Controlled money account |
| <input type="checkbox"/> Additional Sources (Please specify) | |

4.3 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 www.bt.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.

SECTION 5: FOREIGN COMPANY VERIFICATION PROCEDURE (MANDATORY)

Identification documentation is to be provided to verify the information listed in the verification procedures described below.

The verification procedures apply to the companies described in section 1.3 of this form:

- Unregistered foreign companies that are public listed companies
- Majority owned subsidiaries of an Australian listed public company
- Regulated public/proprietary companies and
- Majority owned subsidiary of foreign public listed companies

Additionally, the below also applies to any unregistered foreign public/proprietary company other than those listed in section 1.3.

Important

- Ensure that individual customer ID Forms have been provided for the Company's Directors and Beneficial Owners as per section 1.4 and 3; or
- Alternatively, if these individuals are existing customers, they may complete ID verification through the BT Panorama website or mobile app.
- Attach a legible certified copy of the ID documentation used to verify the foreign company.
- 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.

Tick	Company Type	Verification Required
<input type="checkbox"/>	Majority owned subsidiary of an Australian listed public company	B and C
<input type="checkbox"/>	Unregistered foreign listed public company	A and C
<input type="checkbox"/>	Majority owned subsidiary of a foreign listed public company	A and B and C
<input type="checkbox"/>	Foreign public/proprietary company other than the above	A



Tick	Verification Option
<input type="checkbox"/>	A Information relating to registration outside of Australia must be verified from at least ONE of the following: <ul style="list-style-type: none"> • Search of the relevant foreign registration (incorporation/formation) body, or • Certificate of registration issued by the relevant foreign registration body, or • A public document issued by the company within the last 12 months (e.g. audited annual accounts)
<input type="checkbox"/>	B <ul style="list-style-type: none"> • The company's status as a majority owned subsidiary must be verified from at least ONE of the following: • A public document issued by the relevant company within the last 12 months (e.g. audited annual accounts), or • ASIC search if registered, or • Search of the relevant foreign registration body if unregistered
<input type="checkbox"/>	C Company/Parent's listing status must be verified from a search of the relevant approved domestic/foreign stock exchange

SECTION 6: AUTHORISED PERSON DECLARATION (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 *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act 2006)*, and the *Tax Laws Amendment (Implementation of the Common Reporting Standard) Act 2016*.

Full Name

Position Held

Signature of Authorised Person 1 ([Wet \(pen\) signature](#) required)

<input type="text"/>	Date (DD/MM/YYYY) / /
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Full Name

Position Held

Signature of Authorised Person 2 ([Wet \(pen\) signature](#) required)

<input type="text"/>	Date (DD/MM/YYYY) / /
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Full Name

Position Held

Signature of Authorised Person 3 ([Wet \(pen\) signature](#) required)

<input type="text"/>	Date (DD/MM/YYYY) / /
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Full Name

Position Held

Signature of Authorised Person 4 ([Wet \(pen\) signature](#) required)

<input type="text"/>	Date (DD/MM/YYYY) / /
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SECTION 7: VERIFICATION OF ID AND DECLARATION (ADVISERS ONLY)

This section is mandatory and must be completed by the Client's financial adviser or an authorised representative for the relevant AFSL holder.

Tick the applicable option:

- I have attached a legible original certified copy of the ID that I used to verify the foreign company (and any required translation).
- I have sighted and retained copies of the necessary original or certified copy of ID as recorded in the 'ID Documents Details' table(s) below.

ID Document details Document 1

Verified From	<input type="checkbox"/> Performed search	<input type="checkbox"/> Original
	<input type="checkbox"/> Certified copy	
Document Issuer/website		
Public Document Type		
Issue date/Search date	/ /	
Accredited English translation	<input type="checkbox"/> N/A	<input type="checkbox"/> Sighted

ID Document details Document 2 (if required)

Verified From	<input type="checkbox"/> Performed search	<input type="checkbox"/> Original
	<input type="checkbox"/> Certified copy	
Document Issuer/website		
Public Document Type		
Issue date/Search date	/ /	
Accredited English translation	<input type="checkbox"/> N/A	<input type="checkbox"/> Sighted



By completing and signing this section 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 Tax information provided is reasonable considering the documentation provided.
- 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 confirm that I am the appointed financial adviser, or an authorised representative for the relevant AFSL holder, and that I am duly authorised to act on the Client's behalf in the completion of this form.

AFSL Name (if applicable)

AFSL Number (if applicable)

Representative/Employee Name and Staff ID

Phone number

Signature ([Digital \(written\) signature](#) required)

Date verification Completed (DD/MM/YYYY)

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

- 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 court¹
- A magistrate
- A chief executive officer of a Commonwealth court¹
- A 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

- A Dentist
- A Medical practitioner
- A Nurse
- A Pharmacist

JP

- A Justice of the Peace¹

Law enforcement office

- A police office
- A Sheriff
- A Sheriff's office

Post office

- 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

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 or an employee of Westpac New Zealand Limited with 2 or more years of continuous service)



A complete list of people who can certify your identification documents please refer to our website [https://www.bt.com.au/content/dam/public/panorama/pdf/BT_Panorama - How to certify documents flyer.PDF](https://www.bt.com.au/content/dam/public/panorama/pdf/BT_Panorama_-_How_to_certify_documents_flyer.PDF)

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

The completed form can be sent to us via one of the following methods:

Your Financial Adviser: they may require a copy of this form for record keeping purposes or for processing on your behalf.

Post: BT Panorama, GPO Box 2861, Adelaide SA 5001

Questions? Call us on 1300 881 716 or email support@panorama.com.au



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