



BT Customer Identification Procedure Form

Australian Regulated Trusts (Including Self-Managed Super Funds)

SECTION 1: AUSTRALIAN REGULATED TRUST IDENTIFICATION PROCEDURE (MANDATORY)

This form is applicable to:

- Australian Registered Managed Investment Scheme
- Unregistered Managed Investment Schemes (only has wholesale clients and does not make small scale offerings)
- Government Superannuation Funds
- Other Regulated Trusts subject to oversight by Australian Regulators (including Self-Managed Super Funds).

For trusts other than the above (e.g. family, unit, charitable, estate), complete the **Unregulated Australian Trusts & Foreign Trusts ID form**.

1.1 GENERAL INFORMATION

Investor number (if known)

Full name of trust

Country where trust established

Full Business, trading or other name(s) other than the full name of the trust (if any) (if you have more than one, please attach a separate list)

Principal place of business (cannot be a PO Box)

	<i>State</i>	<i>Postcode</i>
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Country, if not Australia

Industry type/classification

State/Territory, country (if not Australia) of registration

Date of registration (DD/MM/YYYY)

SECTION 1.2 TYPE OF REGULATED TRUST (MANDATORY)

- Registered managed investment scheme
Provide Australian Registered Scheme Number (ARSN)
- Unregistered managed investment scheme (Where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies)
- Government superannuation fund
Provide name of the legislation establishing the fund
- Other regulated Trust (A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA regulated superannuation fund) e.g. SMSF
Provide name of the regulator (e.g. ASIC, APRA, ATO)
- Provide the Trust's registration/licensing details (e.g. ABN for an SMSF)

SECTION 2: TRUSTEE INFORMATION (MANDATORY)

If trustees comprise of individuals and companies complete both 2.1 and 2.2

2.1 INDIVIDUAL TRUSTEE

Provide the name(s) of all individual trustee(s) and **complete separate individual customer ID Forms** for each of these individuals.

Trustee 1

Title

Full given name(s)

Surname

Trustee 2

Title

Full given name(s)

Surname



Trustee 3

Title

Full given name(s)

Surname

Trustee 4

Title

Full given name(s)

Surname

Tick here if there are more than 4 Individual Trustees and provide details on a separate sheet

2.2 COMPANY TRUSTEE

Provide the full name of the company trustee and **Complete an Australian company or foreign company ID form** depending on the company type of the company trustee.

Full Company Name

SECTION 3: TAX INFORMATION (MANDATORY)

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

Yes. Date the trust became a non-resident for tax purposes (complete section 3)

No (proceed to section 4)

Provide the country/countries outside of Australia in which the trust 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 the trust has more than 3 countries in which it 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 4: ADDITIONAL INFORMATION (MANDATORY)**4.1 SOURCE OF FUNDS**

This refers to where the trust's funds came from in regard to deposits into the account. Please note the trust 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 trust has built its net worth. Please note that the trust 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: AUSTRALIAN REGULATED TRUST VERIFICATION PROCEDURE (MANDATORY)

Information to be verified:

- Full name of the Trust
- That the Trust is a Registered Managed Investment Scheme, Unregistered Managed Investment Scheme, Government Superannuation Fund or Other Regulated Trust (including SMSF)

Important

- Ensure that individual customer ID Forms have been provided for all individual trustees as per section 2.1; or
- Alternatively, if these individuals are existing customers, they may complete ID verification through the BT Panorama website or mobile app.
- Ensure an Australian or foreign company ID form is provided for the company trustee.
- 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	Trust Type	Verification Required
<input type="checkbox"/>	Registered Managed Investment Scheme	A
<input type="checkbox"/>	Unregistered Managed Investment Scheme	E and F
<input type="checkbox"/>	Government Superannuation Fund	C or D
<input type="checkbox"/>	Other Regulated Trust (including SMSFs)	B

Tick	Verification Options
<input type="checkbox"/>	A Search of the relevant ASIC database to verify that the customer is a managed investment scheme
<input type="checkbox"/>	B Search of the relevant government regulator database (e.g. ASIC, or APRA or ATO Super Fund Lookup) to confirm it is licensed and subject to regulatory oversight by an Australian Commonwealth regulator
<input type="checkbox"/>	C Search of the Super Fund Lookup database
<input type="checkbox"/>	D A copy or relevant extract of the legislation that established the fund as a Government Superannuation Fund sourced from a government website
<input type="checkbox"/>	E A Trust Deed (or certified copy or certified extract)
<input type="checkbox"/>	F Declaration from the customer that the trust only has wholesale clients and does not make small scale offerings

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 (e.g. Trustee or Director)

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

Date (DD/MM/YYYY)

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 regulated trust (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		
Document Type/ Search details		
Issue date/search date	/	/
Expiry date	/	/

ID Document details

Document 2

Verified From	<input type="checkbox"/> Performed search	<input type="checkbox"/> Original
	<input type="checkbox"/> Certified copy	
Document Issuer/ website		
Document Type/ Search details		
Issue date/search date	/	/
Expiry date	/	/



By completing and signing this section I declare that:

- An identity verification procedure has been completed in accordance with the AML/CTF Act/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 officer

- A police officer
- A Sheriff
- A Sheriff's officer

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)

¹ *Authorised 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

BT Financial Group - A Division of Westpac Banking Corporation ABN 33 007 457 141 AFSL and Australian credit licence 233714



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