

## SECTION 1: CUSTOMER DETAILS (MANDATORY)

Full legal name of organisation

Name of account(s)

Account number(s)

Organisation type (select ONE only)

- |   |  |
|---|--|
| <input type="checkbox"/> Company                  | <input type="checkbox"/> Partnership     |
| <input type="checkbox"/> Incorporated Association | <input type="checkbox"/> Trust           |
| <input type="checkbox"/> Registered Co-operative  | <input type="checkbox"/> Government Body |

Mobile number

Email address

- Please tick this box if you consent to using email as your default correspondence preference for all correspondence (including annual and tax statements) in future.

## SECTION 2: VERIFYING OFFICER IDENTIFICATION PROCEDURE (MANDATORY)

### Individual's name

Given name(s)

Surname

Are you known by any other name(s)?

- Yes (insert below)       No

Residential address (cannot be a PO Box)

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

Date of Birth (DD/MM/YYYY)

Occupation

Employment Type:

- |   |   |
|---|---|
| <input type="checkbox"/> Full-time              | <input type="checkbox"/> Part-time                                  |
| <input type="checkbox"/> Self employed          | <input type="checkbox"/> Casual                                     |
| <input type="checkbox"/> Temporary              | <input type="checkbox"/> Retired                                    |
| <input type="checkbox"/> Student                | <input type="checkbox"/> Social security recipient                  |
| <input type="checkbox"/> Unemployed             | <input type="checkbox"/> Other (home duties/work compensation/etc.) |
| <input type="checkbox"/> Dependent contractor   |   |
| <input type="checkbox"/> Independent contractor |   |

## SECTION 3: TAX INFORMATION (MANDATORY)

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

- Yes. Date the individual 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 individual 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 individual has more than 3 countries in which they are a tax resident, please provide the details on a separate form.

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

### 4.1 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 <https://www.bt.com.au/privacy/privacy-statement.html> 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 Westpac holding this information after it has been provided because Westpac is required to retain copies of identification documents under the Anti-Money Laundering and Counter Terrorism Financing Act 2006 (Cth).

## SECTION 5: CUSTOMER AUTHORISATION OF VERIFYING OFFICER (MANDATORY)

I/we declare that the above verifying officer is an employee, agent or contractor of the entity (listed in Section 1 of this form) and is duly authorised to act as a verifying officer for the account(s) above in the name of this entity. Westpac Group may continue to act on any notification from nominated Verifying Officer until it receives written notification of the revocation of their authority to act as Verifying Officer of the entity. Westpac Group may continue to accept and act on instructions from any agents authorised to operate the entity's accounts and/or facilities listed above as notified by a Verifying Officer until it receives written notification of the revocation of that authority.

1. Signature of Director/Secretary/Trustee/Partner or other person authorised to sign on behalf of the entity (Wet (pen) signature required)

Date (DD/MM/YYYY)

Role of authorised person

2. Signature of Director/Secretary/Trustee/Partner or other person authorised to sign on behalf of the entity (Wet (pen) signature required)

Date (DD/MM/YYYY)

Role of authorised person

## SECTION 6: DECLARATION AND CONSENT BY VERIFYING OFFICER (MANDATORY)

I agree to:

- a) Identify the agents or signatories of the above customer in accordance with requirements of the Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) Act and Rules and will provide the product issuer with the full name and signature of each agent or signatory.
- b) Collect the following details from each agent or signatory:
  - (1) Full name of agent/signatory;
  - (2) Title of the position/role held by the agent/signatory with the customer;
  - (3) A copy of the agent/signatory's signature; and
  - (4) Evidence of the agent/signatory's authorisation to act on behalf of the customer.
- c) Make a record of the above details for each agent/signatory which will be retained by the customer.
- d) the consents in Section 3.1 Privacy Statement and Consent Request Section.

Signature of Verifying Officer (Wet (pen) signature required)

Date (DD/MM/YYYY)

## SECTION 7: DOCUMENT VERIFICATION PROCEDURE (MANDATORY)

Individual to provide the relevant documentation identified in ONE of the below verification procedures.

- Complete Part I OR Part II

#### Important

- Attach a legible certified copy of the ID documentation used to verify the individual (and any required translation).
- An agent (including individual and non-individual) nominated by the customer or Verifying officer cannot certify identity documents for a nominated Verifying officer. A verifying officer cannot delegate its verification.
- 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.

### PART I – ONE Primary Photographic Identification Document

Tick	Select ONE document from this section only
<input type="checkbox"/>	Australian driver's licence/learner's permit
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Australian proof of age card issued by a State or Territory
<input type="checkbox"/>	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 a signature OR a unique identifier of the person
<input type="checkbox"/>	Foreign driver's licence/permit that contains a photograph of the person in whose name it issued and the individual's date of birth
<input type="checkbox"/>	National identity card issued by a foreign government, the United Nations or an agency of the United Nations which contains either a signature OR a unique identifier of the person

**PART II – Primary Non-Photographic Identification Document AND ONE Secondary Identification Document (complete if the individual does not own a document from Part I)**

Tick	Select ONE Primary Non-Photographic Document from this section
<input type="checkbox"/>	Australian birth certificate (or extract)
<input type="checkbox"/>	Australian Citizenship Certificate
<input type="checkbox"/>	Pension card issued by Department of Human Services
<input type="checkbox"/>	Health card issued by Department of Human Services
<input type="checkbox"/>	Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations
<input type="checkbox"/>	Citizenship certificate issued by a foreign government

Tick	AND ONE Secondary Identification Document from this section
<input type="checkbox"/>	A notice issued by the Commonwealth or a State/Territory within the last 12 months that includes the individual's name and residential address and records the provision of financial benefits (e.g. Centrelink notice)
<input type="checkbox"/>	A notice issued by the Australian Taxation Office (ATO) within the last 12 months that includes the individual's name and residential address and records a debt payable by or to the individual (e.g. tax assessment)
<input type="checkbox"/>	Utilities notice issued by a local government or utilities provider within the last 3 months and includes the customer's name and residential address and records the provision of a service to that address or name
<input type="checkbox"/>	If the individual is under the age of 18 years, notice issued by the principal of a school within the last 3 months, that includes the name of the individual, residential address and period of school attendance
<input type="checkbox"/>	Foreign driver licence which does not contain a photograph
<input type="checkbox"/>	Department of Veterans' Affairs pension concession card (Australian)
<input type="checkbox"/>	A current tenancy/lease agreement (must not be cancelled or expired)
<input type="checkbox"/>	Medicare card
<input type="checkbox"/>	Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages
<input type="checkbox"/>	Identification card issued to a student at an Australian higher education institution (TAFE or University) which contains a photograph and signature
<input type="checkbox"/>	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 8: VERIFICATION OF ID (ADVISERS ONLY)**

This section is mandatory in validating the information provided in this form matches the Certified ID. The Verification of ID section must be completed by the Applicants Financial Adviser or representative from their office.

Tick the applicable option:

- I have attached a legible original certified copy of the ID that I used to verify the Verifying Officer (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 Documents Details	Document 1
Verified From	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer	
Issue Date	/ /
Expiry Date	/ /
Document Number	
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

ID Documents Details	Document 2 (if required)
Verified From	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer	
Issue Date	/ /
Expiry Date	/ /
Document Number	
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

**By completing and signing this Record of Verification Procedure 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 Foreign Tax information provided is reasonable considering the documentation provided.

AFSL Name (if applicable)

AFSL Number (if applicable)

Representative/Employee Name and Staff ID

Phone Number

Adviser signature (Wet (pen) signature required)

Date (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 court<sup>1</sup>
- A magistrate
- A chief executive officer of a Commonwealth court<sup>1</sup>
- A registrar or deputy registrar of a court<sup>1</sup>

#### Foreign jurisdiction

- A person who is authorised by law in the relevant jurisdiction to administer oaths or affirmations or to authenticate documents<sup>1</sup>

#### Healthcare

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

#### JP

- A Justice of the Peace<sup>1</sup>

#### Law enforcement officer

- A police officer
- A Sherriff
- A Sherriff'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)<sup>1</sup>
- 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 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/personal/help/how-to-certify-id.html>

<sup>1</sup>Authorised to certify a copy of your document when overseas.

**Post a signed copy of this completed form to:**

BT Funds, GPO Box 804, Melbourne VIC 3001

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