

Identification Form Trusts & Trustees

GUIDE TO COMPLETING THIS FORM

- Complete the following in **BLOCK LETTERS**:
 - Section 1 (unshaded parts) – all trusts.
- AND** select **v** and complete one of the following sections for **ONLY ONE** of the trustees:
 - Section 2 (unshaded parts) – selected trustee is an individual.
 - Section 3 (unshaded parts) - selected trustee is an Australian Company
- Only send the **completed sections** of this form with the application form.
- Contact your licensee if you have any queries

SECTION 1A: TRUST DETAILS

1.1 General Information

Full name of trust	
Full business name (if any)	
Country where trust established	

1.2 Type of Trust (select **v** only one of the following trust types and provide the information requested)

<input type="checkbox"/> Registered managed investment scheme	
Provide Australian Registered Scheme Number (ARSN) (Go to Section 1B)	

<input type="checkbox"/> Regulated trust (e.g. an SMSF)	
Provide name of the regulator (e.g. ASIC, APRA, ATO)	
Provide the trust's ABN or registration details (Go to Section 1B)	

<input type="checkbox"/> Government superannuation fund	
Provide name of the legislation establishing the fund (Go to Section 1B)	

<input type="checkbox"/> Other trust type	
Trust description (e.g. Family, unit, charitable, estate) (Complete Section 1.3 and 1.4)	

SMSF – RSE Registered Fund – Corporate trustee (Pty Ltd)

1.3 Beneficiary Details (only complete if “Other trust type” is selected in section 1.2 above)

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund.

Do the terms of the trust identify the beneficiaries by reference to membership of a class?

Yes

Provide details of the membership class/es (e.g. unit holders, family members of named person, charitable purpose)

(Go to Section 1.4)

No

How many beneficiaries are there?

provide full name of each beneficiary below

Full given name(s)	Surname
1	
2	
3	
4	
5	
6	

If there are more beneficiaries, provide details on a separate sheet

1.4 Trustee Details (only complete if “Other trust type” is selected in section 1.2 above)

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund.

How many trustees are there?

Provide full name & address of each trustee below

Trustee 1

Full given name(s) or Company name Surname

Residential address if an individual trustee or company registered office address
(*PO Box is NOT acceptable*)

Street							
Suburb		State		Postcode		Country	

Trustee 2

Full given name(s) or Company name Surname

Residential address if an individual trustee or company registered office address
(*PO Box is NOT acceptable*)

Street							
Suburb		State		Postcode		Country	

The Identification Form provided by the IOOF Group is based on the format designed by IFSA and the FPA. Certain areas of the form have been shaded as a guide to reflect the required sections to be completed by specific customer types.

SMSF – RSE Registered Fund – Corporate trustee (Pty Ltd)

Trustee 3

Full given name(s) or Company name Surname

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Residential address if an individual trustee or company registered office address
(PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

Trustee 4

Full given name(s) or Company name Surname

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Residential address if an individual trustee or company registered office address
(PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

Trustee 5

Full given name(s) or Company name Surname

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Residential address if an individual trustee or company registered office address
(PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

Trustee 6

Full given name(s) or Company name Surname

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Residential address if an individual trustee or company registered office address
(PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

If there are more trustees, provide details on a separate sheet

(Go to Section 1B)

SECTION 1B: TRUST VERIFICATION PROCEDURE

For a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund (as selected in 1.2), verify:

- o The full name of the trust
- o That the trust is a registered managed investment scheme, regulated trust or government superannuation fund, as applicable.

Tick v	Verification options
	(select one of the following options to verify the Trust)
	Perform a search of the ASIC, ATO or relevant regulator's website (e.g. "Super Fund Lookup" at www.abn.business.gov.au).
	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.

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SMSF – RSE Registered Fund – Corporate trustee (Pty Ltd)

If 'Other trust type' is selected in section 1.2 above, verify:

- o The full name of the trust.

Tick v	Verification options (select one of the following options to verify the Trust)
	A notice issued by the Australian Taxation Office within the last 12 months (eg a Notice of Assessment). <i>Block out the TFN before scanning, copying or storing this document.</i>
	A letter from a solicitor or qualified accountant that confirms the name of the trust.
	An original or certified copy or certified extract of the trust deed.

Documents that are written in a language that is not English, must be accompanied by an English translation prepared by an accredited translator

SECTION 1C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

→ **Attach** a legible copy of the ID documentation used to verify the Trust (and any required translation).

→ **Alternatively, if agreed** between your licensee and the product issuer. Complete the ID Document Details below, and **DO NOT** attach copies of the ID Documents.

ID DOCUMENT DETAILS	
Verified From	<input type="checkbox"/> Performed Search <input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer / Website	
Issued date / Search date	
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

SECTION 1D: FINANCIAL PLANNER DETAILS – identification and verification conducted by:

Date Verified (dd/mm/yyyy)			
Financial Planner's Name		Phone No.	
AFS Licensee Name		AFSL No.	

Complete ONLY ONE of the following sections, as required, to collect the additional information about the identity of ONLY ONE of the trustees:

- **Section 2 (unshaded parts) – selected trustee is an individual**
- **Section 3 (unshaded parts) – selected trustee is an Australian Company**

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SECTION 2A: INDIVIDUAL DETAILS
(to be completed if selected trustee is an Individual)

Full Given Name(s)	Surname	Date of Birth (dd/mm/yy)

Residential address (PO Box is NOT acceptable)
Only provide address details if not provided in Section 1.4 above

Street							
Suburb		State		Postcode		Country	

If the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE.

If 'Other trust type' is selected in Section 1.2 above, complete Sections 2B and 2C below.

SECTION 2B: INDIVIDUAL TRUSTEE VERIFICATION PROCEDURE

If 'Other trust type' is selected in Section 1.2 above, verify the **Trustee's** full name; and **EITHER** their date of birth **OR** residential address.

- o Complete Part I (or if the trustee does not own a document from Part I, then complete either Part II or III).

PART I – ACCEPTABLE PRIMARY ID DOCUMENTS

Tick v	Select ONE valid option from this section only
	Australian State / Territory driver's licence containing a photograph of the person
	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
	Card issued under a State or Territory for the purpose of providing a person's age containing a photograph of the person
	Foreign passport or similar travel document containing a photograph and the signature of the person*

PART II – ACCEPTABLE SECONDARY ID DOCUMENTS – should only be completed if the individual does not own a document from Part I

Tick v	Select ONE valid option from this section
	Australian birth certificate
	Australian citizenship certificate
	Pension card issued by Centrelink
	Health card issued by Centrelink
Tick v	AND ONE valid option from this section
	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 individuals name and residential address
	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 individuals name and residential address
	A document issued by a local government body or utilities provider within

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	the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individuals name and residential address)
PART III – ACCEPTABLE FOREIGN ID DOCUMENTS – <i>should only be completed if the individual does not own a document from Part I</i>	
Tick v	BOTH documents from this section must be presented
	Foreign driver's license that contains a photograph of the person in whose name it issued and the individuals date of birth*
	National identity card issued by a foreign government containing a photograph of the person in whose name the card was issued*

**Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.*

SECTION 2C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

→ **Attach** a legible copy of the ID documentation used to verify the individual trustee (and any required translation).

→ **Alternatively, if agreed** between your licensee and the product issuer, complete the ID Document Details below, and **DO NOT** attach copies of the ID Documents.

ID DOCUMENT DETAILS	Document 1	Document 2
Verified From	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy	<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	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

If the selected trustee is an individual, the form is now COMPLETE.

SECTION 3A: AUSTRALIAN COMPANY DETAILS
(to be completed if selected trustee is an Australian Company)

3.1 General Information

Full name as registered by ASIC	
ACN	

Registered office address (PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

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

Street							
Suburb		State		Postcode		Country	

3.2 Regulatory / Listing Details (select v the following categories which apply to the trustee company and provide the information requested)

- Regulated company** (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name	
Licence details	

Australian listed company

Name of market / exchange	
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Majority-owned subsidiary of an Australian listed company

Australian listed company name	
Name of market / exchange	

3.3 Company Type (select v only ONE of the following categories)

- Public** *If the trust is a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now **COMPLETE**.*

If 'Other trust type' is selected in Section 1.2 above, complete Sections 3B and 3C below.

- Proprietary** *Continue to Section 3.4*

3.4 Directors (only needs to be completed for proprietary companies)

This section does NOT need to be completed for public and listed companies.

How many directors are there? provide full name if each director below

Full given name(s)	Surname
1	
2	
3	
4	

If there are more directors, provide details on a separate sheet.

If the company is a regulated company (as selected in Section 3.2 above) AND the trust type selected in Section 1.2 above is:

- o a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE.
- o 'Other Trust Type', complete Sections 3B and 3C below.

Otherwise, continue to section 3.5 below.

3.5 Shareholders (only needs to be completed for proprietary companies that are not regulated companies as selected in Section 3.2)

Provide details of ALL individuals who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital

Shareholder 1

Full given name(s) or Company name Surname

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Residential address (PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

Shareholder 2

Full given name(s) or Company name Surname

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Residential address (PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

Shareholder 3

Full given name(s) or Company name Surname

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Residential address (PO Box is NOT acceptable)

Street							
Suburb		State		Postcode		Country	

If the trust type selected in Section 1.2 above, is:

- o a registered managed investment scheme, regulated trust (eg SMSF) or government superannuation fund, the form is now COMPLETE.
- o 'Other Trust Type', complete Sections 3B and 3C below.

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SECTION 3B: AUSTRALIAN COMPANY TRUSTEE VERIFICATION PROCEDURE

Standard verification procedure

If 'Other trust type' is selected in Section 1,2 above, verify:

- The full name of the company as registered by ASIC
- Whether the company is registered as a proprietary or a public company
- The ACN issued to the company

Tick v	Verification options (select one of the following options used to verify the Company)
	Perform a search of the relevant ASIC database
	If the ASIC database is not reasonably available, an original or certified copy of then certification of registration issued by ASIC

Alternative verification procedure

For a company which is an Australian listed company, a majority owned subsidiary of an Australian listed company or is a regulated company (ie licensed by an Australian Commonwealth, State or Territory statutory regulator).

If 'Other trust type' is selected in Section 1.2 above, verify:

- That the trustee company is an Australian listed company (if applicable)
- That the trustee company is a majority owned subsidiary of an Australian listed company (if applicable)
- That the trustee company is a regulated company (if applicable)

Tick v	Verification options (select one or more of the following options used to verify the Company)
	Perform a search of the relevant market/exchange
	Perform a search of the relevant ASIC database
	Perform a search of the license or other records of the relevant Commonwealth, State or Territory statutory regulator
	A public document issued by the relevant company.

SECTION 3C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

→ **Attach** a legible copy of the ID documentation used to verify the trustee company.

→ **Alternatively, if agreed** between your licensee and the product issuer, complete the ID Document Details below, and **DO NOT** attach copies of the ID Documents.

ID DOCUMENT DETAILS	Document 1	Document 2
Verified From	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified Copy	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer / Website		
Public Document Type		
Issued date / Search date		

If the selected trustee is an Australian company, the form is now COMPLETE.