

Instruction sheet

Completing the identification form for verifying officers

Identification and Verification

Anti-Money Laundering & Counter-Terrorism Financing laws require Colonial First State to establish the identity of its clients (and other persons associated with a client's account). **To do this, you need to complete the attached form and this instruction sheet will assist you in doing so.**

Verifying the information

All documents are required to be verified; there are a number of ways this can occur:

- If you have an adviser they are able to verify documents on our behalf and will need to complete section 6 of the form.
- If you **do not** have an adviser, you will need to get the documents stated in section 5 of the form correctly certified (see section 'How do I get a document certified?') in order for Colonial First State to verify them on your behalf. Please then send the certified documents along with your completed identification form to us.

What do I need to complete?

The below table provides you with a guide to which sections need to be completed (identified by a tick (✓) and also provides a brief explanation of each of those sections. A section where a cross (✗) appears does not need to be completed.

What other identification can I provide?

If you are an individual and do not own a primary identification document (listed in the table headed Part I of Section 5 of the form), you must provide two forms of acceptable certified secondary identification (listed in the table headed Part II of Section 5 of the form) by selecting one option from each of the two categories within Part II. For example, you can provide an Australian Birth certificate and a document issued by the Australian Taxation Office in the last twelve months or a utilities notice (eg electricity or water bill) containing your full name and residential address.

Alternatively, you may wish to provide your foreign driver's licence that contains your photo and your date of birth, or a national ID card issued by a foreign government containing your photo and your signature (listed in the table headed Part III of Section 5 of the form).

Will documents in a language other than English be accepted?

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator. An accredited translator is any person who is currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator or above.

How do I get a document certified?

To be correctly certified, we need the document(s) to be certified as 'True copy of the original document' and signed by a:

- Justice of the Peace
- Solicitor
- Police Officer
- Magistrate
- Notary Public (for the purposes of the Statutory Declaration Regulations 1993)
- Employee of Australia Post (with two or more years of continuous service)
- Your financial adviser (provided they have two or more years of continuous service)
- Your accountant (provided they hold a current membership to a professional accounting body)
- Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- An officer of a bank, building society, credit union or finance company provided they have two or more years of continuous service.

The party certifying the ID document(s) will also need to state what position they hold and sign and date the document(s). If the certification does not appear on the document(s), you may be asked to send in new certified documents. There are additional persons who can certify documents. A full list of the persons who can certify documents is available from our forms library at colonialfirststate.com.au.

Section	
1	Customer details ✓
2	Verifying Officer identification procedure ✓
3	Customer Authorisation of Verifying Officer ✓
4	Declaration by Verifying Officer ✓
5	Verification procedure ✓ You will need to give us a certified copy of one of the following: <ul style="list-style-type: none"> • current Australian driver's licence containing your photo • proof of age ID card containing your photo • Australian passport • foreign passport containing your photo and signature. If you do not have one of the documents, please see above for other documents you can provide. Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator. An accredited translator is any person who is currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator or above. Please indicate by ticking the appropriate boxes in Parts I, II or III, which documents you have provided.
6	Record of verification procedure ✓ If you have an adviser they will need to complete this section on your behalf. If you do not have an adviser, Colonial First State will complete this section on your behalf once we have verified your certified documents.
7	Authorised Agents/Signatories You can use this section to provide us with details of the authorised agents/signatories.

GUIDE TO COMPLETING THIS FORM

- This form is for non-individual customers (e.g. a company, trust etc) who appoint a verifying officer to identify the customer's agents/signatories. This form is to be completed each time the customer appoints a new verifying officer. The product issuer will identify each verifying officer, who will in turn be responsible for identifying the customer's agents/signatories.
- Complete all applicable sections of the form in BLOCK LETTERS.
- Contact your licensee if you have any queries.

SECTION 1: CUSTOMER DETAILS

Name of Company, Trust, Partnership, Association, Registered Co-Operative or Government Body

SECTION 2: VERIFYING OFFICER IDENTIFICATION PROCEDURE

Surname

Date of Birth dd/mm/yyyy

Full Given Name(s)

Residential Address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

SECTION 3: CUSTOMER AUTHORISATION OF VERIFYING OFFICER

I/we declare that the above verifying officer is an employee, agent or contractor of the customer (listed in Section 1 of this form) and is duly authorised to act as a verifying officer for this customer.

Signature of Director/Secretary/ Trustee/ Partner or other person authorised to sign on behalf of the Customer

Date dd/mm/yyyy

Signature of Director/Secretary/ Trustee/ Partner or other person authorised to sign on behalf of the Customer

Date dd/mm/yyyy

SECTION 4: DECLARATION BY VERIFYING OFFICER

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.

Signature of Verifying Officer

Date dd/mm/yyyy

SECTION 5: VERIFYING OFFICER VERIFICATION PROCEDURE

Verify the verifying officer's full name; and **EITHER** their date of birth or residential address.

- Complete Part I (or if the verifying officer does not own a document from Part I, then complete either Part II or III.)
- Contact your licensee if the verifying officer is unable to provide the required documents.

PART I – ACCEPTABLE PRIMARY ID DOCUMENTS

Tick ✓	Select ONE valid option from this section only
<input type="checkbox"/>	Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
<input type="checkbox"/>	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 ✓	Select ONE valid option from this section
<input type="checkbox"/>	Australian birth certificate
<input type="checkbox"/>	Australian citizenship certificate
<input type="checkbox"/>	Pension card issued by Department of Human Services (previously known as Centrelink)
Tick ✓	AND ONE valid option from this section
<input type="checkbox"/>	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 individual's name and residential address
<input type="checkbox"/>	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 individual's name and residential address. <i>Block out the TFN before scanning, copying or storing this document.</i>
<input type="checkbox"/>	A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)

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

Tick ✓	Select ONE valid option from this section only
<input type="checkbox"/>	Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth*
<input type="checkbox"/>	National ID card issued by a foreign government containing a photograph and a signature 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.

IMPORTANT NOTE:

- ➔ **Either attach a legible certified copy of the ID documentation used to verify the verifying officer (and any required translation) OR**
- ➔ **Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section below and DO NOT attach copies of the ID Documents**

SECTION 6: RECORD OF VERIFICATION PROCEDURE

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

By completing and signing this Record of Verification Procedure I declare that I have verified the identity of the Customer as required by AML/CTF Rules and that this identification procedure has been performed by an AFSL holder or an authorised representative of an AFSL holder.

AFS Licensee Name	<input type="text"/>	AFSL No.	<input type="text"/>
Representative/ employee name	<input type="text"/>	Phone No.	<input type="text"/>
Signature	<input type="text"/>	Date Verification Completed	<input type="text"/>

SECTION 7: AUTHORISED AGENTS/SIGNATORIES

- The Verifying Officer can use this section of the form to provide the product issuer with the details of the authorised agents/signatories. Alternatively, if agreed with the product issuer, the Verifying Officer can provide all of the details comprised in this section using another method.
- The Verifying Officer is to provide the product issuer with a new list comprising of the agents/signatories details, as and when required.

The following individuals are authorised to act on behalf of the above customer:

	Surname	Given Name(s)	Signature
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

If there are more agents/signatories, please attach a separate sheet including all of the details comprised in this section.

Signature of Verifying Officer

Date dd/mm/yyyy