



# Instruction sheet

## COMPLETING THIS IDENTIFICATION FORM FOR AUSTRALIAN REGULATED TRUSTS AND TRUSTEES (INCLUDING SELF-MANAGED SUPER FUNDS)

### Identification and Verification

All clients applying for a new policy must complete the identification procedures for the purposes of Anti-Money Laundering and Counter-Terrorism Financing laws. In addition, in order to comply with the obligations of the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) we are required to collect further information.

To do this, you need to complete the attached form.

### What do I need to complete?

The sections you complete of the attached form depend on what type of trust you are. The table over the page provides you with a guide on which mandatory sections you need to complete as identified by a solid dot (\*). For the other sections a brief explanation is provided and will depend on individual circumstances.

You need to identify what type of trust you are.

Are you a:

- Regulated trust eg a Self Managed Superannuation Fund ('SMSF') or a trust that is regulated by the Australian Securities and Investments Commission ('ASIC'), the Australian Taxation Office ('ATO') or the Australian Prudential Regulation Authority ('APRA')
- registered managed investment scheme (ie managed investment scheme that is registered by ASIC)
- Australian Government superannuation fund (ie a government superannuation fund established under Commonwealth or State/Territory legislation), or
- other regulated trust types?

### 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 one of the following:

- 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
- A judge of a court
- A magistrate
- A chief executive officer of a Commonwealth court
- A registrar or deputy registrar of a court
- A justice of the Peace
- A notary public (for the purposes of the Statutory Declaration Regulations 1993)
- A notary public in a foreign country
- A police officer

- (Postal Agent) An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- (post Office) A permanent employee of The Australian Postal Corporation with two (2) or more years of continuous service who is employed in an office supplying postal services to the public
- An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- An officer with, 2 or more continuous years of service with one or more respective financial institutions (eg: bank, building society, credit union or finance company)
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two (2) or more continuous years of service with one or more licensees
- A member of the Institute of Chartered Accountants in Australia CPA Australian or the National Institute of Accountants with two (2) or more years of continuous membership

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.

## IDENTIFICATION AND VERIFICATION PROCEDURE FOR THE TRUST AND TRUSTEE

- If the trust has one trustee, you need to complete either Section 2.1 (for trustees that are individuals) or Section 2.2 (for trustees that are an Australian company or foreign company).
- If the trust has more than one trustee, you need to provide us with information for ONLY ONE of the trustees.
- The identity of the trust must be verified (not the trustee).

### SECTION

#### 1 Regulated trust identification procedure

1.1 General information •

1.2 Type of regulated trust •

#### 2 Trustee identification procedure •

2.1 Individual trustee To be completed if the trustee is an individual (ie natural person)

2.2 Company trustee To be completed if the trustee is an Australian company. If the selected trustee is a foreign company, please complete the Foreign Company Identification Form in addition to this form.

2.2.1 Company details As above

2.2.2 Company type As above

2.2.3 Directors To be completed for proprietary companies only

#### 3 Tax information

3.1 Tax status To be completed, except for regulated super funds (e.g. SMSFs and APRA regulated super funds)

4 Regulated trust verification procedure AIA Australia will perform the trust verification procedure. However, if we cannot access the information to complete this procedure we may ask you to provide us with further information.

5 Record of verification procedure To be completed by the adviser.

Please mail this form to: **AIA Australia**, GPO Box 3306 Sydney NSW 2001

**GUIDE TO COMPLETING THIS FORM**

- o This form is for AUSTRALIAN REGULATED TRUSTS only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.
- o For Trusts that are not subject to the oversight an Australian regulator, complete the UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM.
- o Collect information about the Trust and one Trustee. The identity of the Trust must be verified (not the Trustee).
- o Tax information must be collected from an authorised representative of the Trust
- o Complete all applicable sections of this form in BLOCK LETTERS.

**SECTION 1: REGULATED TRUST IDENTIFICATION PROCEDURE**

**Section 1.1: General Information**

Full name of Trust	<input type="text"/>
Country where trust established (only required if not Australia)	<input type="text"/>
Full business name of trustee in respect of the trust (if any)	<input type="text"/>

**Section 1.2: Type of Regulated Trust**

Tick ✓	Select one of the following type of Regulated Trust
<input type="checkbox"/>	<b>Self-Managed Superannuation Fund</b> Provide the SMSF's ABN <input type="text"/>
<input type="checkbox"/>	<b>Registered managed investment scheme</b> Provide Australian Registered Scheme Number (ARSN) <input type="text"/>
<input type="checkbox"/>	<b>Unregistered managed investment scheme</b> (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) Provide the unregistered managed investment scheme's ABN <input type="text"/>
<input type="checkbox"/>	<b>Government superannuation fund</b> Provide name of the legislation establishing the fund <input type="text"/>
<input type="checkbox"/>	<b>Other regulated Trust</b> (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) Provide name of the regulator (e.g. ASIC, APRA, ATO) <input type="text"/> Provide the Trust's ABN or registration/licensing details <input type="text"/>

Other types of Trusts (e.g. family, unit, charitable, estate) or Trusts regulated by a foreign regulatory body should complete the **UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM**, rather than this form.

**SECTION 2: TRUSTEE IDENTIFICATION PROCEDURE** (Please complete EITHER section 2.1 OR section 2.2)

For Australian Regulated Trusts, identification information is required for one of the Trustees. This information is only required for one Trustee, even if the Trust has a number of Trustees. Please provide identification information for either an individual Trustee (section 2.1) or a corporate Trustee (section 2.2).

**Section 2.1: Individual Trustee** (To be completed if the selected Trustee is an individual)

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Residential Address (PO Box is <u>not</u> acceptable)		
Street	<input type="text"/>	
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	<input type="text"/>	

**OR**

**Section 2.2: Company Trustee** (To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then complete the FOREIGN COMPANY IDENTIFICATION FORM in addition to this form)

### 2.2.1 Company Details

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

### 2.2.2 Company Type (Select one of the following company types)

- Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies), proceed to section 3
- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to section 2.2.3

### 2.2.3 Directors (To be completed for proprietary companies, not required for public companies as per 2.2.2)

Provide the names of all directors.

	Full given name(s)	Surname
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

If there are more directors, provide details on a separate sheet and tick this box .

## SECTION 3: TAX INFORMATION

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 3 and can proceed to section 4.

### 3.1 Tax Status

Provide the Trust's Global Intermediary Identification Number (GIIN), if applicable

If the Trust is a Financial Institution but does not have a GIIN, provide its FATCA status *(select ✓ ONE of the following statuses)*

Deemed Compliant Financial Institution

Excepted Financial Institution

Exempt Beneficial Owner

Non Reporting IGA Financial Institution  
(If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN)

Nonparticipating Financial Institution

Other (describe the Trust's FATCA status in the box provided)

**SECTION 4: REGULATED TRUST VERIFICATION PROCEDURE****Regulated Trust Verification procedure:**

Information to be verified:

- o Full name of the Trust
- o That the Trust is a Self-Managed super fund; registered managed investment scheme, unregistered managed investment scheme, government superannuation fund or other regulated Trust, as applicable

Tick ✓	Verification options (select one of the following options used to verify the Trust)
<input type="checkbox"/>	Perform a search of the ASIC, ATO or relevant regulator's website (e.g. "Super Fund Lookup" at www.abn.business.gov.au).
<input type="checkbox"/>	A copy of an offer document of the managed investments scheme (e.g. a copy of a Product Disclosure Statement)
<input type="checkbox"/>	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website

**IMPORTANT NOTE:**

- **Attach a legible certified copy of the ID documentation used to verify the Trust 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 5: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT	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		
Document Type / Search details		
Issue date / Search date		

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 Rules, in the capacity of an AFSL holder or their authorised representative and
- the tax information provided is reasonable considering the documentation provided.

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"/>