

# Beneficial Owner Information Form

## Platinum Investment Bond

**PRINT** clearly in **BLACK** or **BLUE** pen keeping well within the boxes. Use crosses in the boxes marked with an 'X'.

Contact Australian Unity's Investor Services team on 1800 670 638 from within Australia, email [platinuminvestmentbond@australianunity.com.au](mailto:platinuminvestmentbond@australianunity.com.au) or alternatively contact your financial adviser if you have any queries.

### To be completed by:

- Australian incorporated or created entities such as:
  - unlicensed proprietary limited companies, not subject to regulatory oversight (note: not applicable for complying Australian Superannuation Fund investors);
  - unregistered trusts, including family trusts.
- Entities incorporated or created outside of Australia such as:
  - companies;
  - partnerships;
  - trusts;
  - estates.

### About this Form:

- The purpose of this Form is to collect information about Beneficial Owners as required under the Anti-Money Laundering and Counter Terrorism Financing Act 2006 ('AML/CTF laws'), together with legislation designed to give effect to the Foreign Account Tax Compliance Act ('FATCA') agreement between Australia and the United States and the OECD Common Reporting Standard. A Beneficial Owner of a Customer means an individual who ultimately owns or controls (directly or indirectly) the Customer

where control includes control as a result of or by means of trusts (including in the capacity as beneficiary, trustee or settlor), agreements, arrangements, understandings and practices, and includes exercising control to determine decisions about financial and operating policies and owns means ownership (either directly or indirectly) of 25% or more of a person/Customer.

- If you are submitting this Beneficial Owner Information Form directly, without having consulted with a financial adviser, you must submit original certified copies of identification documents with this Form for all Beneficial Owners, which can be either a Driver Licence or Passport containing photo identification that identifies the Beneficial Owner's full name and date of birth and/or residential address. If you are applying through a financial adviser, your financial adviser will assist you in providing the necessary identification documents for all Beneficial Owners.

### Definitions:

- A 'Politically Exposed Person' ('PEP') is an individual who holds a prominent public position or function in a government body or an international organisation in Australia or overseas, such as a Head of State, or Head of a Country or Government or a Government Minister, or equivalent senior politician. A PEP can also be an immediate family member of a person referred to above, including spouse, de facto partner, child, and a child's spouse or a parent. A close associate of a PEP i.e. any individual who is known to have joint beneficial ownership of a legal arrangement or entity is also considered to be a PEP. Where you identify as, or have an association with a PEP, we may request additional information from you.

## 1. Account Details

Account name

Policy number

What type of investment account?

Partnership  Company  Trust  Estate

## 2. Beneficial Owner 1

Title  Mr  Mrs  Ms  Miss Date of birth //

Name in full

Residential address (not a PO Box)

Suburb  State

Postcode  Country

Are you a Politically Exposed Person?  Yes  No

Tax Residency rules differ by country. Whether you are a tax resident of a particular country is often (but now always) based on the amount of time you spend in a country, the location of your residence or place of work. For the US, tax residency can be as a result of citizenship or residency. If you have any questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Answer both tax residency questions:

Are you a tax resident of Australia?  Yes  No

Are you a tax resident in a country other than Australia?  Yes  No

Tax regulations require Australian Unity to establish the tax residency of investors. Therefore if you answered 'Yes' to being a tax resident of a country other than Australia, you MUST complete the Tax Residency Information Form available at [australianunity.com.au/platinum](http://australianunity.com.au/platinum).

### 3. Beneficial Owner 2

If more than two beneficiaries exist, please call us on 1800 670 638

Title  Mr  Mrs  Ms  Miss Date of birth   /   /

Name in full

Residential address (not a PO Box)

Suburb  State

Postcode     Country

Are you a Politically Exposed Person?  Yes  No

Tax Residency rules differ by country. Whether you are a tax resident of a particular country is often (but now always) based on the amount of time you spend in a country, the location of your residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

If you have any questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Answer both tax residency questions:

Are you a tax resident of Australia?  Yes  No

Are you a tax resident in a country other than Australia?  Yes  No

Tax regulations require Australian Unity to establish the tax residency of investors. Therefore if you answered 'Yes' to being a tax resident of a country other than Australia, you MUST complete the Tax Residency Information Form available at [australianunity.com.au/platinum](http://australianunity.com.au/platinum).

### 4. Adviser Arrangements (adviser use only for identification of Beneficial Owners)

If you are an existing adviser with us, please provide your name, Australian Unity adviser code and affix your adviser stamp below. Otherwise, please complete all details below.

Adviser's business name

Title  Mr  Mrs  Ms  Miss

Adviser's given name(s)

Surname

Phone  Facsimile

Mobile

Email

Australian Unity Adviser code

Dealer group/Licensee

AFS License No

### Adviser Mailing Address

Unit	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Street number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	P.O. Box	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Street name	<input type="text"/>				
Suburb	<input type="text"/>			State	<input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country	<input type="text"/>		
Mobile	<input type="text"/>				
Address stamp	<input type="text"/>				

### Beneficial Owner Identity Verification Declaration

I certify in accordance with the FSC/FPA Industry Guidance Note 24 (GN 24), that I have: (Mark the appropriate box with an 'X').

1. Collected, verified and retained the appropriate customer identification documentation to confirm the identity of all Beneficial Owners with this application to meet my obligations in respect of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 ('AML/CTF laws') and agree to provide access to these records as required
- OR
2. Attached a copy of the industry customer Identification Form which confirms that I have sighted and verified all of the documentation required to identify all Beneficial Owners under AML/CTF laws
- OR
3. Attached a copy of the source documents from which I have identified all Beneficial Owners as required by the AML/CTF laws.

If no box is marked, I agree that Option 1 applies.

In addition, as the Investor's financial adviser, I warrant and represent to Australian Unity that I, as applicable:

- have followed and complied with GN 24 and any other applicable AML/CTF laws in identifying and verifying all Beneficial Owners with this application;
- will continue to comply with GN 24;
- will provide, upon request, original identification and verification records and details of the identification procedures adopted;
- have kept a record of all Beneficial Owners' identification and verification and will retain these for a period of seven years after the investor adviser relationship has ended;
- will if requested update and re-verify all Beneficial Owners and provide any other additional information regarding all Beneficial Owners;
- will not knowingly do anything to cause Australian Unity to breach AML/CTF laws and will notify Australian Unity if I become aware of anything that would cause Australian Unity to breach AML/CTF laws; and
- confirm that the details provided in any identification and verification records are true and correct.

**Please note:** Australian Unity reserves the right to reject any applicable GN 24 form attached to the relevant Application Form for whatever reason (for example, if it has been incorrectly completed).

### Adviser signature

Date  /  /

## 5. Declaration and Signature(s)

### I/We agree and acknowledge:

- that Australian Unity may give information relating to my/our account and investment in that account to my/our adviser whose stamp appears on the Beneficial Owner Information Form;
- that if this Beneficial Owner Information Form is signed under a Power of Attorney, the Attorney verifies that no notice of revocation of that power has been received at the date of completing this Form;
- for all account types, that the Beneficial Owner Information Form is signed in accordance with the governing rules and/or constituent documents;
- that all of the information provided in this Beneficial Owner Information Form is complete and accurate to the best of my/our ability/abilities;
- that I/we will provide any supporting or additional information which might be required in order to process our application, or subsequently, as a consequence of me/us holding an investment in the relevant Australian Unity product;
- that the information provided for meeting US Foreign Account Tax Compliance ('FATCA') Act requirements (where applicable) is true and correct and that I/we will provide all necessary co-operation and assistance in order for me/us to comply with obligations under Australian legislation designed to give effect to the FATCA agreement between Australia and the United States;
- that my/our personal information will be collected, used and disclosed by Australian Unity and Platinum Asset Management in accordance with their Privacy Policies and in accordance with the law.

### Who signs below

If the account is held for a <b>partnership</b>	THEN	all partners or those authorised to sign on behalf of the partnership.
If the account is held for a <b>company</b> or <b>corporate partnership</b> or <b>corporate trustee</b>	THEN	two directors; or a director and a company secretary; or if there is a single director, by that director. By signing as a single director you confirm that your company is a single director company.
If the account is held for a <b>trust</b>	THEN	the trustee(s), 'as trustee(s) for ...'

### Investor 1

Capacity  Individual  Partner  Trustee  Other

Surname

Given name(s)  State

Investor signature  X **Common Seal (if applicable)**  X

Date  /  /

### Investor 2

Capacity  Individual  Partner  Trustee  Other

Surname

Given name(s)  State

Investor signature  X **Common Seal (if applicable)**  X

Date  /  /

If you are submitting this Beneficial Owner Information Form directly, without having consulted with a financial adviser, you must submit original certified copies of identification documents with this Form for all Beneficial Owners, which can be either a Driver Licence or Passport containing photo identification that identifies the Beneficial Owner's full name and date of birth and/or residential address. If you are applying through a financial adviser, your financial adviser will assist you in providing the necessary identification documents for all Beneficial Owners.

## Return by email

Send completed form together with identification documents where relevant.

[platinuminvestmentbond@australianunity.com.au](mailto:platinuminvestmentbond@australianunity.com.au)

### Contact us

Australian Unity  
Investment Bonds  
GPO Box 4397  
Melbourne VIC 3001  
[australianunity.com.au/platinum](https://australianunity.com.au/platinum)

### Investor Services

[platinuminvestmentbond@australianunity.com.au](mailto:platinuminvestmentbond@australianunity.com.au)  
1800 670 638

### Adviser Services

[investmentbonds@australianunity.com.au](mailto:investmentbonds@australianunity.com.au)  
1300 133 285