

# Beneficial Owner Information Form

24 July 2019

## Australian Unity Investment Bonds

Please complete all applicable sections of this form in **BLOCK** letters and use a blue or black pen.

Contact our Investor Services team on +61 8 8236 4700 (or 1300 1300 38 from within Australia), email [investmentbonds@australianunity.com.au](mailto:investmentbonds@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); or
  - unregistered trusts, including family trusts.
- Entities incorporated or created outside of Australia such as:
  - companies;
  - partnerships;
  - trusts; or
  - 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.

### Step 1 Account details

Account name	<input type="text"/>			
Current Australian Unity account number (if applicable)	<input type="text"/>			
What type of investment account? (Please indicate using an 'X')				
<input type="checkbox"/> Partnership	<input type="checkbox"/> Company	<input type="checkbox"/> Australian Superannuation Fund	<input type="checkbox"/> Trust	<input type="checkbox"/> Estate

### Step 2 Beneficial Owner 1

Title	<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Ms	<input type="checkbox"/> Miss	Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name in full	<input type="text"/>										
Residential address (not a PO Box)	<input type="text"/>										
Suburb	<input type="text"/>						State	<input type="text"/>			
Postcode	<input type="text"/>		Country (if not Australia)	<input type="text"/>							

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](http://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/wealth](http://australianunity.com.au/wealth).**

### Step 3 Beneficial Owner 2

If more than two beneficiaries exist, please call us on 1300 1300 38.

Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss	Date of birth	<input type="text" value="DD"/>	<input type="text" value="MM"/>	<input type="text" value="YYYY"/>
Name in full	<input type="text"/>				
Residential address (not a PO Box)	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>		
Postcode	<input type="text"/>	Country (if not Australia)	<input type="text"/>		
Are you a Politically Exposed Person?	<input type="checkbox"/> Yes <input type="checkbox"/> 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.

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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/wealth](http://australianunity.com.au/wealth).**

### Step 4 Adviser Arrangements (Adviser use only for identification verification 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	<input type="text"/>				
Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss				
Adviser's surname	<input type="text"/>				
Adviser's given name(s)	<input type="text"/>				
Telephone	<input type="text" value="0000"/>	-	<input type="text" value="0000"/>	-	<input type="text" value="0000"/>
Facsimile	<input type="text" value="00"/>	-	<input type="text" value="0000"/>	-	<input type="text" value="0000"/>
Mobile	<input type="text" value="0000"/>	-	<input type="text" value="0000"/>	-	<input type="text" value="0000"/>
Email	<input type="text"/>				

Australian Unity Adviser code	<input type="text"/>
Dealer group/Licensee	<input type="text"/>
AFS Licence No.	<input type="text"/>

#### Adviser mailing Address

Unit	<input type="text"/>	Street number	<input type="text"/>	P.O. Box	<input type="text"/>
Street name	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>		
Postcode	<input type="text"/>	Country (if not Australia)	<input type="text"/>		
Address stamp	<div style="border: 1px solid black; height: 100px; width: 100%;"></div>				

#### 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	<div style="border: 1px solid black; width: 400px; height: 40px; display: flex; align-items: center; justify-content: center;">X</div>	Date	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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## Step 5 Declarations and investor 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 in accordance with its Privacy Policy 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 an <b>Australian Superannuation Fund</b> or <b>trust</b>	THEN	the trustee(s), 'as trustee(s) for...'

### Investor 1

Capacity	<input type="checkbox"/> Individual	<input type="checkbox"/> Partner	<input type="checkbox"/> Trustee	<input type="checkbox"/> Other	<input type="text"/>
Surname	<input type="text"/>				
Given name(s)	<input type="text"/>				
Investor signature	<input type="text"/>		Common Seal (if applicable)	<input type="text"/>	
Date	<input type="text"/>				

### Investor 2

Capacity	<input type="checkbox"/> Individual	<input type="checkbox"/> Partner	<input type="checkbox"/> Trustee	<input type="checkbox"/> Other	<input type="text"/>
Surname	<input type="text"/>				
Given name(s)	<input type="text"/>				
Investor signature	<input type="text"/>		Common Seal (if applicable)	<input type="text"/>	
Date	<input type="text"/>				

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**Return by post (together with any identification documents where relevant) to:**

Australian Unity Investment Bonds  
Reply Paid 89  
Adelaide SA 5001  
(no stamp required if mailed in Australia)

**OR**




**If posting from outside of Australia, please send to:**

Australian Unity - Investor Services  
271 Spring Street  
Melbourne VIC 3000




**Contact us**

-  Australian Unity  
271 Spring Street, Melbourne VIC 3000
-  [australianunity.com.au](http://australianunity.com.au)

**Investor Services**

-  [investments@australianunity.com.au](mailto:investments@australianunity.com.au)
-  1300 1300 38
-  1800 804 890

**Adviser Services**

-  [investments@australianunity.com.au](mailto:investments@australianunity.com.au)
-  1300 133 285
-  1800 804 890