

GUIDE TO COMPLETING THIS FORM

- o This form is for **FOREIGN COMPANIES** only. For companies incorporated in Australia use the **AUSTRALIAN COMPANIES IDENTIFICATION FORM**.
- o Complete one form for each company.
- o Complete separate **INDIVIDUAL ID Forms** for each of the company's Beneficial Owners.
- o Complete all applicable sections of this form in **BLOCK LETTERS**.

SECTION 1: FOREIGN COMPANY IDENTIFICATION PROCEDURE

1.1 General Information

Full name of foreign company

Country of formation / incorporation / registration

☐ Select ☒ if registered by a foreign body and provide name of body

For companies incorporated in Australia do not use this form; complete the **AUSTRALIAN COMPANIES IDENTIFICATION FORM**.

1.2 Is the foreign company registered with ASIC? (select ☒ ONE of the following)

☐ **Yes** Provide ARBN

Provide **EITHER** ☐ principal place of business address in Australia **OR** ☐ local agent name and address details (Tick one box)

Address (PO Box is NOT acceptable)

Street

Suburb State Postcode Country

Name of local agent in Australia

☐ **No** Provide company identification number (if any) issued by the foreign registration body

Principal place of business in the company's country of formation or incorporation (PO Box is NOT acceptable)

Street

Suburb State Postcode Country

1.3 Registered Address of Company

Provide the registered address as registered with ASIC. If the company is NOT registered with ASIC, provide the registered address in the country of formation, incorporation or registration (if any).

Street

Suburb State Postcode Country

1.4 Company Type (select ☒ only ONE of the following categories)

- ☐ **Private**, proceed to 1.5
- ☐ **Public**, proceed to 1.6

1.5 Directors (Required for all Private Companies as per 1.4, NOT required for Public Companies)

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 ☐.

1.6 Listing and Regulatory Details (select ✓ any of the following categories if applicable)

- ☐ **Public Listed** (companies that are subject to disclosure requirements that ensure transparency of Beneficial Ownership comparable to similar public listing requirements in Australia. Refers to listing on a financial market that by stock exchange rules, law or enforceable means promotes transparency of beneficial owner information.) *Proceed to Section 2*
- Name of market / disclosure regime
- Country
- ☐ **Majority Owned Subsidiary of an Australian Public Listed company** (companies that are majority owned by an Australian company that is listed on a financial market such as the ASX) *Proceed to Section 2*
- Australian listed company name
- Name of market / exchange
- ☐ **Regulated in Australia** (subject to the supervision of an Australian Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees). *Proceed to Section 2*
- Regulator name
- Licence details (e.g. AFSL, ACL, RSE)

1.7 Beneficial Ownership

To be completed for all companies that are not Public Listed companies, majority owned by an Australian Public Listed company or companies regulated in Australia as per 1.6

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?

Yes ☐ (Complete 1.7.1) No ☐ (Complete 1.7.2)

1.7.1 Shareholder Beneficial Owners

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)	Surname
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If beneficial owner name/s are provided above, proceed to section 2.

1.7.2 Other Beneficial Owners

If there are no individuals who meet the requirement of 1.7.1, provide the names of the individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)	Surname	Role (such as Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

SECTION 2: FATCA INFORMATION (US FOREIGN ACCOUNT TAX COMPLIANCE ACT)**2.1 FATCA Status** (select ✓ only ONE of the following categories and provide the information requested)

- ☐ **United States Company** (A company created in the US, established under the laws of the US or a US taxpayer)

Provide the company's US Taxpayer Identification Number (TIN)

Is the company an exempt payee for US tax purposes?

Yes ☐

No ☐

If the company is an exempt payee, provide its exemption code

If the company is a US Company section 2 is now complete, proceed to section 3.

- ☐ **Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

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

If the company 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

☐ Nonparticipating Financial Institution

☐ Other (describe the FATCA status in the box provided)

If the company is a Financial Institution section 2 is now complete, proceed to section 3.

- ☐ **Non-Financial Public Listed Company** (Public listed companies as per 1.6 that are not Financial Institutions as described above)

If the company is a Public Listed Company, section 2 is now complete, proceed to section 3.

- ☐ **Non-Financial Private Company or an unlisted public company** that are not Financial Institutions as described above

Are any of the Company's Beneficial Owners US citizens or residents of the US for tax purposes

Yes ☐

No ☐

If yes, provide an individual ID Form for this Beneficial Owner, including their US Taxpayer Identification Number (TIN), unless already provided in part of 1.7 of this form.

SECTION 3: FOREIGN COMPANY VERIFICATION PROCEDURE

Identification documentation is to be provided to verify the information listed in one of the verification procedure described below (either the standard verification procedure for companies registered with ASIC, the standard verification procedure for companies not registered with ASIC or the simplified verification procedure for Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies or companies regulated in Australia as described in section 1.6 of this form).

Standard verification procedure for Foreign Companies registered with ASIC

Information to be verified:

- The full name of the company as registered by ASIC
- The ARBN issued to the company
- Whether it is registered by a foreign registration body and if so, whether it is registered as a private or public company.

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	Perform a search of the relevant foreign registration body.
<input type="checkbox"/>	If the ASIC or foreign registration body database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC or by the relevant foreign registration body. *

Standard verification procedure for Foreign Companies NOT registered with ASIC

Information to be verified:

- The full name of the company
- Whether it is registered by a foreign registration body and if so whether it is registered as a private or public company
- the identification number issued to the company

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant foreign registration body.
<input type="checkbox"/>	If the foreign registration body database is not reasonably available, an original or certified copy of the certification of registration issued by the relevant foreign registration body. *
<input type="checkbox"/>	Where the above means are unavailable, a disclosure certificate from the company given by an individual acting as agent of the company (where the agent has been verified). See your licensee for other disclosure certificate requirements. *

Simplified verification procedure for a regulated company, a listed company or a majority owned subsidiary of an Australian listed company (as described in section 1.6 of this form)

Information to be verified:

- The full name of the company
- That the company is a regulated company, a listed company or a majority owned subsidiary of an Australian listed company (whichever is applicable)

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant financial market.
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	A public document issued by the company. *

* 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:

- Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per 1.7 AND
- Attach a legible certified copy of the ID documentation used to verify the company (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 4: RECORD OF VERIFICATION PROCEDURE

ID DOCUMENT DETAILS	Document 1	Document 2 (if required)
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		
Issue date / Search date		
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:

- 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;
- individual customer ID Forms have been provided for the company's Beneficial Owners (where applicable) and
- the FATCA 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"/>