IDENTIFICATION FORM
AUSTRALIAN REGULATED TRUSTS

GUIDE TO COMPLETING THIS FORM

- *This form is for AUSTRALIAN REGULATED TRUSTS only. Australian Regulated Trusts include registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.*
- *For Self-Managed Superannuation Funds and trusts which are not subject to the oversight an Australian regulator, complete the UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM.*
- *Complete one form for each regulated trust. If completing by hand, complete applicable sections in block letters. Contact your licensee if you have any queries.*
- *Refer to your (or your licensee's) AML/CTF program if you have queries regarding the collection and verification of information.*

SECTION 1 – MANDATORY IDENTIFICATION INFORMATION

Section 1.1: Information on the Trust

Full name of the Trust	
Full business name of the Trust (if any)	
Any other names the Trust is commonly known by	
Any unique identifier for the Trust (eg ABN or ARSN)	
Principal place of business or operations	
Document which governs the Trust (eg trust deed, legislation, etc.)	
Provide description of industry or sector and, if applicable, products / services offered as a Trust	
Nature of services sought	
Provide reasons for seeking the specified services	

Sanctions

Targeted financial sanctions (TFS) are measures that a government or the United Nations Security Council imposes in response to a situation of international concern. Refer to the Department of Foreign Affairs and Trade (DFAT) and Australian Sanctions Office (ASO) website for the government's Consolidated List listing all persons and entities designated for TFS.

Is the Trust subject to targeted financial sanctions? ☐ Yes ☐ No

Section 1.2: Type of Regulated Trust

Tick ✓	Select one of the following types of Regulated Trust	
☐	**Registered managed investment scheme** Provide Australian Registered Scheme Number (ARSN)	
☐	**Unregistered managed investment scheme** Provide the unregistered managed investment scheme's ABN	
☐	**Government superannuation fund** Provide name of the legislation establishing the fund	
☐	**Other regulated Trust** (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 (eg ASIC, APRA) Provide the Trust's ABN or registration/licensing details	

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

SECTION 2 – MANDATORY BENEFICIARY IDENTIFICATION PROCEDURE

Section 2.1: Beneficiaries

Is it possible to identify or name any of the beneficiaries of the Trust? ☐ Yes (*Complete sections 2.1.1 and 2.1.2)* ☐ No (*ONLY complete section 2.1.2*)

Section 2.1.1: Named beneficiaries

Please name each beneficiary named under the Trust (including any non-individual beneficiaries):

1 | 3

2 | 4

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

Section 2.1.2: Class of beneficiaries

If applicable, please describe each class of beneficiaries under the Trust:

1

2

If there are more classes of beneficiaries, provide details on a separate sheet and tick this box ☐

SECTION 3 – TRUSTEE IDENTIFICATION PROCEDURE

For Australian Regulated Trusts, identification information is required for the Trustee(s) representing the Trust in receiving designated services. Please provide the names of all relevant trustees. If there is a corporate Trustee, provide the names of all directors on the board of the corporate Trustee. For each identified Trustee, you must complete separate identification forms depending on their entity type (eg the INDIVIDUAL IDENTIFICATION FORM, COMPANY IDENTIFICATION FORM or FOREIGN COMPANY IDENTIFICATION FORM).

Please provide identification information for individual Trustees (section 3.1) and corporate Trustees (section 3.2) as relevant.

Section 3.1: Individual Trustees (List all individual Trustee(s) representing the Trust in receiving designated services)

Full given name(s) | Surname

Full given name(s) | Surname

For each individual Trustee, complete the INDIVIDUAL IDENTIFICATION FORM. If there are more trustees, provide details on a separate sheet and tick this box ☐

Section 3.2: Company Trustee (List all corporate Trustee(s) representing the Trust in receiving designated services. Each identified Trustee must complete either the COMPANY IDENTIFICATION FORM or other ID Form as applicable in addition to this form)

Full name of Trustee as registered by ASIC

Each company Trustee must complete the COMPANY IDENTIFICATION FORM. If there are more trustees, provide details on a separate sheet and tick this box ☐

Full given name(s) of director of Trustee

1

2

3

4

If there are more trustee(s) or directors, provide details on a separate sheet and tick this box ☐

Section 3.3: Authority to Act (For any Trustee representing the Trust to receive designated services, provide information on the Trustee's authority to act as trustee of the Trust (eg by way of trust deed, etc.))

Authority to act as trustee:

SECTION 4 – INDIVIDUALS WITH RESPONSIBILITY FOR TRUST

If there are any individuals **not named in section 3 above** with primary responsibility for governance and executive decisions of the trust, provide their full names below. This may include other appointors, guardians or protectors of a Trust, the directors of a corporate trustee, or the beneficiary of a bare trust.

Full given name(s) | Surname

1

2

If there are more individuals with primary responsibility for governance and executive decisions of the trust, please provide details on a separate sheet and tick this box ☐

SECTION 5 – VERIFICATION PROCEDURE FOR AUSTRALIAN REGULATED TRUSTS

This table must be completed for all Customers which are Australian regulated trusts. Refer to your, or your licensee's, AML/CTF policies.
You must verify the information which corresponds with the ML/TF risk of the customer.

	Information to be verified *(select all which apply)*	**Documentary and/or electronic verification**	**Description of verification document or process** *(for example, ASIC's professional registers, ABN Lookup, Trust Deed)*	**Document number / description of the document**	**Document issue date (if applicable)**	**Document expiry date (if applicable)**
☐	Full name of the Trust	☐ Documentary ☐ Electronic	ASIC professional registers, ABN Look u			
☐	Full business name, or any other name, of the Trust	☐ Documentary ☐ Electronic				
☐	The ABN or other unique identifier issued to the Trust	☐ Documentary ☐ Electronic				
☐	Principal place of business	☐ Documentary ☐ Electronic				
☐	Governance document(s) of the Trust	☐ Documentary ☐ Electronic				
☐	Sanctions checks	☐ Documentary ☐ Electronic				
☐	The Trustee's authority to act as trustee of the Trust	☐ Documentary ☐ Electronic				
☐	That the trust is: ☐ a registered or unregistered managed investment scheme ☐ a government superannuation fund ☐ other regulated trust	☐ Documentary ☐ Electronic				

SECTION 6 – ENHANCED CUSTOMER DUE DILIGENCE PROCEDURE FOR AUSTRLIAN REGULATED TRUSTS

This section is to be completed ONLY where the Customer is assigned a high ML/TF risk rating by the reporting entity, or if you are required to complete Enhanced Customer Due Diligence (ECDD) under your (or your licensee's) AML/CTF program. You must verify the information which corresponds with the ML/TF risk of the customer. Refer to your (or your licensee's) AML/CTF program for the ECDD procedures you must apply. The following is not a complete list of ECDD information that could be collected and verified. There may be additional ECDD processes you need to follow in your (or your licensee's) AML/CTF program.
This section is to be completed in addition to sections 1-5 above.

Source of funds and source of wealth
Source of funds refers to how and where the company received the funds for the specific transaction and/or services being sought, for example, salary and wages, business income, dividends and investment income, proceeds from sales of real estate or personal property, or gifts or inheritance.

Provide information about the Trust's source of funds

Source of wealth refers to where the company's entire wealth and assets come from. This can be from economic, business or commercial activities, along with other circumstances that generated, or significantly contributed to, the company's overall net worth.

Provide information about the Trust's source of wealth

Enhanced Verification Procedure

Information to be verified *(select all which apply)*	Documentary and/or electronic verification	Description of verification document or process *(for example, Trust Deed, letter from accountant or lawyer, driver's licence or passport, etc.)*	Document number / description of the document	Document issue date (if applicable)	Document expiry date (if applicable)
☐ Industry / sector and products / services provided by the Trust	☐ Documentary ☐ Electronic				
☐ Nature of services sought	☐ Documentary ☐ Electronic				
☐ Reasons for seeking designated services	☐ Documentary ☐ Electronic				
☐ Source of funds	☐ Documentary ☐ Electronic				
☐ Source of wealth	☐ Documentary ☐ Electronic				
☐ The identity of all beneficiaries of the Trust	☐ Documentary ☐ Electronic				
☐ The identity of any other person with responsibility over the Trust	☐ Documentary ☐ Electronic				

SECTION 7 - DECLARATION

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
- Customer ID Forms have been provided to the identified trustee(s) of the Trust.

AFS Licensee Name		AFSL No.	
Representative/ Employee Name		Phone No.	
Signature *(digital signature acceptable)*		Date Verification Completed	

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