

# Beneficial Owner Information Form

## Australian Unity Investment Bonds

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

### 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 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. 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.

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.

### 1. Account Details

Account Name

Current account number (if applicable)

What type of investment are you opening? (Please indicate using an 'X')

- Partnership     Company     Superannuation fund     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

Email

Are you a US Citizen or US tax resident?  Yes  No If 'Yes', please provide your Taxpayer Identification Number ('TIN')

Are you a Politically Exposed Person?  Yes  No

## 3. Beneficial Owner 2

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

Title  Mr  Mrs  Ms  Miss Date of birth   /   /

Name in full

Residential address (not a PO Box)

Suburb  State

Postcode     Country

Email

Are you a US Citizen or US tax resident?  Yes  No If 'Yes', please provide your Taxpayer Identification Number ('TIN'):

Are you a Politically Exposed Person?  Yes  No

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

If you are an existing adviser with us, please provide your name, 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)

Phone  Mobile

Facsimile

Email

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

**Adviser mailing address**

Residential address (not a PO Box)	<input type="text"/>
Suburb	<input type="text"/>
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Country <input type="text"/>
Adviser stamp	<input type="text" value="X"/>

**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 require 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 breach AML/CTF laws and will provide notification if I become aware of anything that would cause a breach to AML/CTF laws; and
- confirm that the details provided in any identification and verification records are true and correct. Please note, we reserve the right to reject any applicable GN 24 form attached to this Application Form for whatever reason (for example, if it has been incorrectly completed).

**Adviser signature**

Name of account owner 1

  


Date  /  /

## 5. Declarations and investor signature(s)

I We agree and acknowledge:

- that we may give information relating to my your account and investment in that account to your 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 my holding an investment in the relevant 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 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 Limited 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 or corporate partnership or 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>superannuation fund or trust</b>	THEN	the trustee(s), 'as trustee(s) for...'

### Investor 1

Capacity  Director  Partner  Trustee  Other

Name in full

Investor signature

Common Seal (if applicable)

Date   /   /

### Investor 2

Capacity  Director  Partner  Trustee  Other

Name in full

Investor signature

Common Seal (if applicable)

Date   /   /

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### Return by post

(together with any identification documents where relevant)

**Australian Unity - Investment bonds, Reply Paid 89, Adelaide SA 5001**

(no stamp required if mailed in Australia)

If posting from outside of Australia, please send to:

**Head Office: 114 Albert Road, South Melbourne VIC 3205**



### Fax

1800 804 890



### Email

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

#### Contact us



Australian Unity  
114 Albert Road, South Melbourne VIC 3205



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

#### Investor Services



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



1300 1300 38



1800 804 890

#### Adviser Services



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



1300 133 285



1800 804 890