

Investor Identification Form

Individuals and Sole Traders



Australian Unity Investment Bonds

The information requested below is required under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML). The information collected will be used to verify your personal details. In accordance with the Anti-Money Laundering laws, if you do not provide the information or if we require additional information to be collected we will contact you for further information and we will:

- Delay the start of your investment/withdrawal of funds until we are satisfied with the information received, or
- Refund your contribution or refuse to withdraw funds from your investment.

One form is to be completed by each investor or by an adviser on the investor's behalf.

Please phone the Investor Services Team on **1300 1300 38** if you have any questions.

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

1A: Individual Personal Details

Title Mr Mrs Ms Miss Other (please specify)

Surname

Given name(s)

Residential address (not a PO Box)

Suburb State

Postcode Country

Phone Mobile

Email

Date of birth / /

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

Are you a resident of a country other than Australia? Yes No

Please identify the source of your investable assets or wealth:

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Inheritance/gift	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other – please specify: <input type="text"/>

1B: Sole Trader Personal Details

(Also complete this step if you, the individual, is a sole trader.)

Full business name

ABN (if any)

2. Individual/Sole Trader Identification Procedures

- Verify the individual's full name; and **EITHER** their date of birth or residential address.
- Complete **EITHER** Part **A** or Part **B**. (Note: Part **B** should only be completed if the individual does not own a document from Part **A**.)
- If the individual is unable to provide the required documents contact the Investor Services Team on 1300 1300 38.
- Documents that are written in a language that is not English, must be accompanied by an English translation prepared by an accredited translator.
- Each page of a copied document must be certified as a true copy (*Refer to page 2 for details*).

2A: Initial ID Requirements (Documents must show photo and signature of the person)

Select only one option from this section, go to step 3 once completed.

- Australian State/Territory or foreign current driver's licence showing a photograph.
- Australian passport (must not have expired more than 2 years previously).
- Card issued under a State or Territory for the purpose of proving a person's age, card must also show a photograph.
- Foreign passport or similar travel document showing a photograph and containing a signature.
- National identity card issued by a foreign government showing a photograph of the person in whose name the card is held.

2B: Additional ID Requirements (Two documents required, one from each section)

Select one option from this section.

- Australian or foreign birth certificate/extract
- Australian or foreign citizenship certificate
- Pension card issued by Centrelink
- Health card issued by Centrelink

AND one option from this section.

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits and which contains a name and residential address.
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable to or from the Commonwealth and which contains a name and residential address.
- A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services and contains a valid name and residential address.
- If under the age of 18, a notice that:
 - Was issued by a school principal within the preceding 3 months; and
 - Contains a valid name and residential address; and
 - Records the period of time that the person attended the school; or
 - A Medicare card if the child does not attend school.

3. Individual/Sole Trader Declaration

I/We have no reason to suspect that the contribution lodged with the application or any subsequent contributions is or will be derived from or related to any money laundering, terrorism financing or other illegal activities.

A certified copy of each document is to be attached to this completed form (do not send originals). Each page of a copy must be certified as a true copy. Please sign here confirming that all information being forwarded is correct.

I/We declare that the information provided for meeting FATCA 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.

Signature

Date

Persons who may certify documents


A certified copy means a document that has been certified as a true copy of an original document by one of the following persons:

- A person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described).
- A judge of a court or a magistrate.
- A chief executive officer of a Commonwealth court.
- A registrar or deputy registrar of a court.
- A Justice of the Peace.
- A notary public (for the purposes of the Statutory Declaration Regulations 1993).
- A police officer.
- An agent of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public.
- An officer with 2 or more continuous years of service with one or more financial institution (for the purposes of the Statutory Declaration Regulations 1993).
- An officer with, or authorised representative of, a holder of an Australian financial services license, having 2 or more continuous years of service with one or more licensees.
- A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

The certifier must:

- Write the following wording, or similar, on the copy of your documents:
Example, for identity verification documents that contain a photograph of you “I certify that I have seen the original documentation and that the photograph is a true likeness and this copy is a complete and accurate copy of that original.”
Example, for other identity verification documents “I certify that I have seen the original documentation and this copy is a complete and accurate copy of that original.”
- Sign and date each page of the photocopy.
- Add their name in block capitals along with their position/capacity, address and daytime contact telephone number (not a mobile phone). The certifier may be contacted by us.
- Add the official stamp of their office, if possible.

OFFICE USE ONLY		
Document Details		
<input checked="" type="checkbox"/> Original Viewed <input checked="" type="checkbox"/> Certified Copy Viewed <input checked="" type="checkbox"/> Attached <input checked="" type="checkbox"/> Not Attached		
Information	Document 1	Document 2 (if required)
ID Document Details	<input type="text"/>	<input type="text"/>
Document Issuer	<input type="text"/>	<input type="text"/>
State/Country of Issue	<input type="text"/>	<input type="text"/>
Issued Date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY
Expiry Date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY
Document Number	<input type="text"/>	<input type="text"/>
English Translation Required	Sighted <input checked="" type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Sighted <input checked="" type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Signed by <input type="text"/>	Date <input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY	
Policy No. <input type="text"/>	EV Checked <input type="text"/>	




 **Return by post**
(together with any identification documents where relevant)
Australian Unity, 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




Contact us

-  Australian Unity
114 Albert Road, South Melbourne VIC 3205
-  australianunity.com.au/wealth

Investor Services

-  enquiries@australianunity.com.au
-  1300 1300 38
-  1800 804 890

Adviser Services

-  investmentbonds@australianunity.com.au
-  1300 133 285
-  1800 804 890