

Documentation-based Safe Harbour Options

IDENTIFICATION GUIDE

Investor Type

CERTIFIED* Copies of Original Documentation Required **

Individual / Sole Trader

- (1) a current licence or permit issued under a law of a State or Territory or equivalent authority of a foreign country for the purpose of driving a vehicle that contains a photograph of the person in whose name the document is issued;
- (2) a current passport issued by the Commonwealth;
- (3) a current passport or a similar document issued for the purpose of international travel, that:
 - a. contains a photograph and the signature of the person in whose name the document is issued;
 - b. is issued by a foreign government, the United Nations or an agency of the United Nations; and
 - c. if it is written in a language that is not understood by the person carrying out the verification - is accompanied by an English translation prepared by an accredited translator.
- (4) a current card issued under a law of a State or Territory for the purpose of proving the person's age which contains a photograph of the person in whose name the document is issued.
- (5) a current national identity card issued for the purpose of identification, that:
 - a. contains a photograph and the signature of the person in whose name the document is issued;
 - b. is issued by a foreign government, the United Nations or an agency of the United Nations; and
 - c. if it is written in a language that is not understood by the person carrying out the verification - is accompanied by an English translation prepared by an accredited translator

OR

Primary non-photographic identification document means any of the following:

- (1) a birth certificate or birth extract issued by a State or Territory;
- (2) a citizenship certificate issued by the Commonwealth;
- (3) a citizenship certificate issued by a foreign government that, if it is written in a language that is not understood by the person carrying out the verification, is accompanied by an English translation prepared by an accredited translator;
- (4) a birth certificate issued by a foreign government, the United Nations or an agency of the United Nations that, if it is written in a language that is not understood by the person carrying out the verification, is accompanied by an English translation prepared by an accredited translator;
- (5) a concession card, as defined from time to time in the Social Security Act 1991, or an equivalent term which expresses the same concept in relation to concession holders.

Secondary identification document means any of the following:

- (1) a notice that:
 - a. was issued to an individual by the Commonwealth, a State or Territory within the preceding twelve months;
 - b. contains the name of the individual and his or her residential address; and
 - c. records the provision of financial benefits to the individual under a law of the Commonwealth, State or Territory (as the case may be);
- (2) a notice that:
 - a. was issued to an individual by the Australian Taxation Office within the preceding 12 months;
 - b. contains the name of the individual and his or her residential address; and
 - c. records a debt payable to or by the individual by or to (respectively) the Commonwealth under a Commonwealth law relating to taxation;
- (3) a notice that:
 - a. was issued to an individual by a local government body or utilities provider within the preceding three months;
 - b. contains the name of the individual and his or her residential address; and
 - c. records the provision of services by that local government body or utilities provider to that address or to that person.
- (4) In relation to a person under the age of 18, a notice that:
 - a. was issued to a person by a school principal within the preceding three months;
 - b. contains the name of the person and his or her residential address; and
 - c. records the period of time that the person attended at the school.

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Domestic Company	<ul style="list-style-type: none"> An originally certified copy of the ASIC company extract listing company officers and shareholders (not more than 6 months old). <p>AND</p> <ul style="list-style-type: none"> Identification as required for an "Individual" for each individual listed in Section 3 of the application, account signatories (if these are different to the individuals listed in Section 3) and Beneficial Owners.
Trust	<ul style="list-style-type: none"> An originally certified copy of the Trust Deed <p>AND</p> <ul style="list-style-type: none"> Identification as required for: <ul style="list-style-type: none"> Individual Trustee(s) (refer to "Individual"); or Corporate Trustee (refer to Domestic Company)
Partnership	<ul style="list-style-type: none"> An originally certified copy of the Partnership Agreement. An originally certified copy of the most recent minutes of a Partnership meeting, or other appropriately executed document confirming who can sign on behalf of the partnership. An originally certified copy of the regulated status of the Partnership (if regulated). <p>AND</p> <ul style="list-style-type: none"> Identification as required for an "Individual" for each individual listed in Section 3 of the application, account signatories (if these are different to the individuals listed in Section 3) and Beneficial Owners.
Association	<ul style="list-style-type: none"> An originally certified copy of the Constitution or Rules of the Association; and An originally certified copy of the most recent minutes of an Association meeting or other appropriately executed document confirming who can sign on behalf of the Association; and An originally certified copy of the regulated status of the Association as issued by ASIC. <p>AND</p> <ul style="list-style-type: none"> Identification as required for an "Individual" for each individual listed in Section 3 of the application, account signatories (if these are different to the individuals listed in Section 3) and Beneficial Owners.
Registered Co-operative	<ul style="list-style-type: none"> An originally certified copy of any register maintained by the Co-Op. An originally certified copy of the most recent minutes of a Co-Op meeting, or other appropriately executed document confirming who can sign on behalf of the partnership. An originally certified copy of a document issued by the body responsible for the registration of the Co-Op. <p>AND</p> <ul style="list-style-type: none"> Identification as required for an "Individual" for each individual listed in Section 3 of the application, account signatories (if these are different to the individuals listed in Section 3) and Beneficial Owners.

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Politically Exposed Person	<p>An individual who:</p> <ol style="list-style-type: none">(1) who holds a prominent public position or function in a government body or an international organisation, including:<ol style="list-style-type: none">a. Head of State or head of a country or government; orb. government minister or equivalent senior politician; orc. senior government official; ord. Judge of the High Court of Australia, the Federal Court of Australia or a Supreme Court of a State or Territory, or a Judge of a court of equivalent seniority in a foreign country or international organisation; ore. governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia; orf. senior foreign representative, ambassador, or high commissioner; org. high-ranking member of the armed forces; orh. board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and(2) who is an immediate family member of a person referred to in paragraph (1), including:<ol style="list-style-type: none">a. a spouse; orb. a de facto partner; orc. a child and a child's spouse or de facto partner; ord. a parent; and(3) who is a close associate of a person referred to in paragraph (1), which means any individual who is known (having regard to information that is public or readily available) to have:<ol style="list-style-type: none">a. joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph (1); orb. sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph (1).(4) In these Rules:<ol style="list-style-type: none">a. domestic politically exposed person means a politically exposed person of an Australian government body;b. foreign politically exposed person means a politically exposed person of a government body of a foreign country;c. international organisation politically exposed person means a politically exposed person of an international organisation.(5) In this definition international organisation means an organisation:<ol style="list-style-type: none">a. established by formal political agreement by two or more countries and that agreement has the status of an international treaty; andb. recognised in the law of the countries which are members of the organisation. <p>NOTE: The term de facto partner is defined in the Acts Interpretation Act 1901 and the terms 'foreign country' and 'government body' are defined in the AML/CTF Act.</p>
Beneficial Owner	<ol style="list-style-type: none">(1) of a person who is a reporting entity, means an individual who owns or controls (directly or indirectly) the reporting entity;(2) of a person who is a customer of a reporting entity, means an individual who ultimately owns or controls (directly or indirectly) the customer;(3) In this definition: control includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating policies; and(4) In this definition: owns means ownership (either directly or indirectly) of 25% or more of a person.

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