

# Instruction sheet

## IDENTIFICATION FORM FOR AUSTRALIAN REGULATED TRUSTS AND TRUSTEES (INCLUDING SELF-MANAGED SUPER FUNDS)

### LIFESTREAM GUARANTEED INCOME VIA COLONIAL FIRST STATE FIRSTCHOICE

#### Identification and verification

All clients applying for a new policy must complete the identification procedures for the purposes of Anti-Money Laundering and Counter-Terrorism Financing laws. In addition, in order to comply with the obligations of the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) we are required to collect further information.

To do this, you need to complete the attached form.

#### What do I need to complete?

The sections you complete of the attached form depend on what type of trust you are. The below table provides you with a guide to which sections you need to complete as identified by a solid dot (•) and also provides a brief explanation of each of the sections.

#### You will need to identify what type of trust you are - are you:

- a regulated trust eg a Self Managed Superannuation Fund ('SMSF') or a trust that is regulated by the Australian Securities and Investments Commission ('ASIC'), the Australian Taxation Office ('ATO') or the Australian Prudential Regulation Authority ('APRA')
- a registered managed investment scheme (ie managed investment scheme that is registered by ASIC)
- an Australian Government superannuation fund (ie a government superannuation fund established under Commonwealth or State/Territory legislation), or
- an other regulated trust type.

#### Will documents in a language other than English be accepted?

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator. An accredited translator is any person who is currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator or above.

### Identification requirements

#### What the certifier needs to do to certify your photocopied ID

The certifier can certify the photocopy of your ID by placing a stamp or writing 'This is a true and correct copy of the original' followed by their signature, printed name, qualification and the date. For example:

#### Persons who can certify documents

A person who is currently licensed or registered under a law to practise in one of the following occupations:

- Chiropractor
- Dentist
- Legal practitioner
- Medical practitioner
- Nurse
- Optometrist
- Patent attorney
- Pharmacist
- Physiotherapist
- Psychologist
- Trademarks attorney
- Veterinary surgeon.



*This is a true and correct copy of the original.*

*JOHN CLARKE - Justice of the Peace - 01.08.19*

## Identification requirements (continued)

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) or a person who is in the following list:

- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- An officer with, or a credit representative of, a holder of an Australian Credit Licence (ACL), having two or more years of continuous service with one or more licensees
- An officer with, or authorised representative of, a holder of an Australian Financial Services Licence (AFSL), having two or more years of continuous service with one or more licensees
- Australian Consular Officer, within the meaning of the Consular Fees Act 1955. This includes a person appointed to hold or act in any of the following offices of the Commonwealth (of Australia) in a country or place outside Australia:
  - (a) Consul-General
  - (b) Consul
  - (c) Vice-Consul
  - (d) Trade Representative
  - (e) Consular Agent
- Australian Diplomatic Officer, within the meaning of the Consular Fees Act 1955. This includes a person appointed to hold or act in any of the following offices of the Commonwealth (of Australia) in a country or place outside Australia:
  - (a) Ambassador
  - (b) High Commissioner
  - (c) Minister
  - (d) Head of a Mission
  - (e) Commissioner
  - (f) Charge d'Affaires
  - (g) Counsellor, Secretary or Attache at an Embassy, High Commissioner's office, Legation or similar
- Bailiff
- Bank officer with two or more continuous years of service
- Building society officer with two or more years of continuous service
- Chief executive officer of a Commonwealth court
- Clerk of a court
- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with two or more years of continuous service
- Employee of the Australian Trade and Investments Commission who is:
  - (a) in a country or place outside Australia and
  - (b) authorised under paragraph 3 (d) of the Consular Fees Act 1955 and
  - (c) exercising his or her function in that place
- Employee of the Commonwealth who is:
  - (a) in a country or place outside Australia and
  - (b) authorised under paragraph 3 (c) of the Consular Fees Act 1955 and
  - (c) exercising his or her function in that place
- Fellow of the National Tax Accountants' Association
- Finance company officer with two or more years of continuous service
- Holder of a statutory office not specified in another item in this list
- Judge of a court
- Justice of the Peace
- Magistrate
- Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
- Master of a court
- Member of Chartered Secretaries Australia
- Member of Engineers Australia, other than at the grade of student
- Member of the Association of Taxation and Management Accountants
- Member of the Australasian Institute of Mining and Metallurgy
- Member of the Australian Defence Force who is:
  - (a) an officer or
  - (b) a non-commissioned officer within the meaning of the Defence Force Discipline Act 1982 with two or more years of continuous service or
  - (c) a warrant officer within the meaning of that Act
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants
- Member of:
  - (a) the Parliament of the Commonwealth or
  - (b) the Parliament of a State or
  - (c) a Territory legislature or
  - (d) a local government authority of a State or Territory
- Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
- Notary public
- Permanent employee of:
  - (a) the Commonwealth or a Commonwealth authority or
  - (b) a State or Territory or a State or Territory authority or
  - (c) a local government authority or
  - (d) With two or more years of continuous service and the person is not already specified in another item on this list
- Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
- Police officer
- Registrar, or Deputy Registrar, of a court
- Senior Executive Service employee of:
  - (a) The Commonwealth or a Commonwealth authority or
  - (b) a State or Territory or a State or Territory authority
- Sherriff
- Sheriff's officer
- Teacher employed on a full-time basis at a school or tertiary education institution.

## Identification and verification procedure for the trust and trustee

- If the trust has one trustee, you need to complete either **section 2.1** (for trustees that are individuals) or **section 2.2** (for trustees that are an Australian company or foreign company).
- If the trust has more than one trustee, you need to provide us with information for ONLY ONE of the trustees.
- The identity of the trust must be verified (not the trustee).

### Section

<b>1</b>	<b>Regulated trust identification procedure</b>	
1.1	General information	•
1.2	Type of regulated trust	•
<b>2</b>	<b>Trustee identification procedure</b>	
2.1	Individual trustee	To be completed if the trustee is an individual (ie natural person)
2.2	Company trustee	To be completed if the trustee is an Australian company. If the selected trustee is a foreign company, please complete the <b>Foreign company identification form</b> in addition to this form.
2.2.1	Company details	As above
2.2.2	Company type	As above
2.2.3	Directors	To be completed for proprietary companies only
<b>3</b>	<b>Tax information</b>	To be completed, except for regulated super funds (e.g. SMSFs and APRA regulated super funds)
3.1	Tax status	•
<b>4</b>	<b>Regulated trust verification procedure</b>	Resolution Life will perform the trust verification procedure. However if we cannot access the information to complete this procedure we may ask you to provide us with further information.
<b>5</b>	<b>Record of verification procedure</b>	To be completed by the adviser.

Please mail this form to: **Colonial First State, Reply Paid 27, SYDNEY NSW 2001**  
ePost (adviser use only): **Scan and upload the forms via ePost through FirstNet adviser**

**GUIDE TO COMPLETING THIS FORM**

- o This form is for AUSTRALIAN REGULATED TRUSTS only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.
- o For Trusts that are not subject to the oversight an Australian regulator, complete the UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM.
- o Collect information about the Trust and one Trustee. The identity of the Trust must be verified (not the Trustee).
- o Tax information must be collected from an authorised representative of the Trust Page 3 of 6
- o Complete all applicable sections of this form in BLOCK LETTERS.

**SECTION 1: REGULATED TRUST IDENTIFICATION PROCEDURE**

**Section 1.1: General Information**

Full name of Trust	<input style="width: 100%;" type="text"/>
Country where trust established (only required if not Australia)	<input style="width: 100%;" type="text"/>
Full business name of trustee in respect of the trust (if any)	<input style="width: 100%;" type="text"/>

**Section 1.2: Type of Regulated Trust**

Tick ✓	Select one of the following type of Regulated Trust
<input type="checkbox"/>	<b>Self-Managed Superannuation Fund</b> Provide the SMSF's ABN <input style="width: 400px;" type="text"/>
<input type="checkbox"/>	<b>Registered managed investment scheme</b> Provide Australian Registered Scheme Number (ARSN) <input style="width: 400px;" type="text"/>
<input type="checkbox"/>	<b>Unregistered managed investment scheme</b> (Where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies) Provide the unregistered managed investment scheme's ABN <input style="width: 400px;" type="text"/>
<input type="checkbox"/>	<b>Government superannuation fund</b> Provide name of the legislation establishing the fund <input style="width: 400px;" type="text"/>
<input type="checkbox"/>	<b>Other regulated Trust</b> (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 (e.g. ASIC, APRA, ATO) <input style="width: 400px;" type="text"/> Provide the Trust's ABN or registration/licensing details <input style="width: 400px;" type="text"/>

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

**SECTION 2: TRUSTEE IDENTIFICATION PROCEDURE** (Please complete EITHER section 2.1 OR section 2.2)

For Australian Regulated Trusts, identification information is required for one of the Trustees. This information is only required for one Trustee, even if the Trust has a number of Trustees. Please provide identification information for either an individual Trustee (section 2.1) or a corporate Trustee (section 2.2).

**Section 2.1: Individual Trustee** (To be completed if the selected Trustee is an individual)

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Residential Address (PO Box is <u>not</u> acceptable)		
Street	<input style="width: 100%;" type="text"/>	
Suburb	State	Postcode
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Country	<input style="width: 100%;" type="text"/>	

**OR**

**Section 2.2: Company Trustee** (To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then complete the FOREIGN COMPANY IDENTIFICATION FORM in addition to this form)

### 2.2.1 Company Details

Full name as registered by ASIC

ACN

Registered Office Address (PO Box is not acceptable)

Street

Suburb

State

Postcode

Country

Principal Place of Business (if any) (PO Box is not acceptable)

Street

Suburb

State

Postcode

Country

### 2.2.2 Company Type (Select one of the following company types)

- Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies), proceed to section 3
- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to section 2.2.3

### 2.2.3 Directors (To be completed for proprietary companies, not required for public companies as per 2.2.2)

Provide the names of all directors.

Full given name(s)

1

2

3

4

Surname





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

## SECTION 3: TAX INFORMATION

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 3 and can proceed to section 4.

### 3.1 Tax Status

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

If the Trust 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  
(If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN)
- Nonparticipating Financial Institution
- Other (describe the Trust's FATCA status in the box provided)

**SECTION 4: REGULATED TRUST VERIFICATION PROCEDURE***Regulated Trust Verification procedure:**Information to be verified:*

- o Full name of the Trust*
- o That the Trust is a Self-Managed super fund; registered managed investment scheme, unregistered managed investment scheme, government superannuation fund or other regulated Trust, as applicable*

Tick ✓	Verification options (select one of the following options used to verify the Trust)
<input type="checkbox"/>	Perform a search of the ASIC, ATO or relevant regulator's website (e.g. "Super Fund Lookup" at www.abn.business.gov.au).
<input type="checkbox"/>	A copy of an offer document of the managed investments scheme (e.g. a copy of a Product Disclosure Statement)
<input type="checkbox"/>	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website

**IMPORTANT NOTE:**

- **Attach a legible certified copy of the ID documentation used to verify the Trust 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 5: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT	Document 1	Document 2
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		
Document Type / Search details		
Issue date / Search date		

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
- the tax 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"/>