

Know your customer – individual/sole trader

Information sheet

When to use this form

Use this form to provide the information we need to verify your identity and to meet our legal obligations (including those under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*).

Verifying a customer's identity

We need to verify or confirm your identity by checking that certain details you provide in this form **match** the details that are in certain documents you need to attach to this form.

! Please send us **original certified copies** of your original documents—don't send us the original documents. If the document is not written in English, then you must also attach an English translation prepared by an accredited translator.

Getting your copies certified

A copy of a document must be certified to be a true and correct copy of the original document. Only certain people can certify copies including:

- police officer or sheriff
- justice of the peace or notary public
- legal practitioner, magistrate, judge or registrar/deputy registrar of a court
- pharmacist, physiotherapist or veterinary surgeon
- optometrist, dentist, medical practitioner or nurse
- member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants.

You can see the full list of people who can certify documents or extracts at resolutionlife.com.au/identification.

Example:

I certify that this is a true and correct copy of the original document.

John Citizen

John Citizen, Justice of the Peace 10
Other Street
Suburb NSW 2000

02 9999 9999 30 May 2015

Documents for an individual/sole trader

So we can verify the identity of an individual/sole trader, you need to send us the documents shown under option A or B:

Option A

One of these:

- current Australian state or territory driver licence that has your photo
- Australian passport that is current or expired within the last two years
- card issued under a state or territory law to prove your age that has your photo
- current foreign government passport (or similar international travel document) that has your photo and signature
- current foreign driver licence that has your photo
- current national identity card that has your photo.

Option B

One of these:

- Australian or foreign birth certificate
- Australian or foreign citizenship certificate
- birth certificate extract
- pension card issued by Department of Human Services
- health card issued by Department of Human Services.

Plus

! The documents listed below are only **valid** if they include the customer's full name and residential address.

One of these:

- a document issued by the Commonwealth or a state or territory within the last 12 months that shows financial benefits paid to you
- a document issued by the ATO within the last 12 months that shows money to be paid to you or that you need to pay to them (make sure you cross out your TFN)
- a document issued by a local government body or utility provider within the last three months that shows the services provided to you at your address
- if you're under 18 years old, a notice issued by a school principal within the last three months that shows how long you attended that school.

Privacy – use and disclosure of personal information

The privacy of your personal information is important to us.

We collect and hold personal information about you so we can provide you with financial products and services and assist you with your ongoing financial needs. If we do not collect this information, we may not be able to provide you with these products and services. We may also use your personal information for other purposes, such as enhancing our customer service and product options, and to inform you of opportunities which may be beneficial to you via direct marketing. Please contact us if you do not want to receive this information.

Personal information may be shared with business areas or companies within the Resolution Life Group. We may also provide information to local and overseas entities which provide Resolution Life with administrative, financial, research or other services, other insurers and credit providers, financial advisers, brokers and other organisations authorised by Resolution Life to assist in reviewing customer needs. A list of countries where these providers are likely to be located can be accessed via our privacy policy.

We may also disclose personal information to courts, tribunals and disputes resolution bodies, government agencies, and other bodies we are required to provide information to under the law.

The Resolution Life privacy policy (available at [resolutionlife.com.au](https://www.resolutionlife.com.au)) provides more information about how we manage and protect your personal information. It sets out how you can access and correct your information, how you may complain about a breach of privacy and our process for resolving privacy related enquiries and complaints.

Please keep this information sheet for your records—
don't return it with your completed form(s).

Know your customer – individual/sole trader

Use this form to provide the information we need to verify your identity and to meet our legal obligations (including those under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*).

Note: You should only use this form if you're an individual or sole trader. A different form applies for a trust, company or other organisation.

Please print in CAPITAL LETTERS and place a cross in any applicable boxes.

1. What you need to do

Are you completing this form as an individual or sole trader?

Individual > Complete sections 1, 2 and 4–6

Sole trader > Complete sections 1–6

2. Personal details

Please provide the plan/policy/member/account number for products you hold with Resolution Life or any other reference number:

Title Date of birth

Surname

Given name(s)

Gender Male Female Other

Occupation

Industry

Country of residence for tax purposes Australia Other—provide details below:
Name of country

Residential address

Address (a PO Box is not acceptable)

Suburb State Postcode

Country

2. Personal details (continued)

Correspondence address

Same as residential address Other—provide details below:

Address

Suburb State Postcode

Country

3. Sole trader details

Full business name of sole trader

Australian Business Number (ABN)

Principal place of business address

Same as residential address Same as correspondence address Other—provide details below:

Address (a PO Box is not acceptable)

Suburb State Postcode

Country

4. Agent details (if relevant)

! Complete this section if you've been authorised by our customer to complete applications and transactions on their behalf. You also need to attach proof of our customer's authority for you to act for them (eg a power of attorney).

Agent 1

Title

Surname

Given name(s)

Agent 2

Title

Surname

Given name(s)

5. Declaration

I understand that it's a criminal offence to knowingly provide:

- information in this form that is false or misleading
- false documents to support this form.

I declare that the information in this form and in any supporting document:

- is complete and correct
- that is about another person has been provided with their consent (if required)
- may be used for any product, service or benefit that I hold, apply for, request or obtain
- may be disclosed to and used by the provider of the product, service or benefit in line with their privacy obligations to comply with anti-money laundering and counter-terrorism financing legislation.

Note: Anyone authorised to sign or transact on behalf of our customer must be appointed in line with the relevant application form, product disclosure statement or other disclosure document.

5. Declaration (continued)

Signatory 1

Name

Signature

Date

Signatory 2

Name

Signature

Date

6. Checklist

- Have you completed all relevant sections of this form?
- Have you read and understood the declaration in section 5 and signed and dated that section?
- Have you attached original certified copies of documents to verify your identity as set out in the **information sheet**?
- If you're an authorised agent, have you attached an original certified copy of a document which authorises you to act for our customer?

Financial adviser and office use

Request ID

Financial adviser ID

Financial adviser name

Customer identification verified by:

- Originals
- Original certified copies
- Attached documents