

# Australian Domestic Proprietary Company Identification Checklist.



Our purpose is to improve the financial wellbeing of our customers and communities.

This checklist is a guide to help you understand what customer information is collected and checked before any financial product or service can be provided. The following is required to ensure we can meet our regulatory obligations.

## What is an Australian Domestic Proprietary Company?

An Australian Domestic Proprietary Company is:

- A company, registered with the Australian Securities and Investments Commission (ASIC)
- Issued with an Australian Company Number (ACN)
- Not registered on the Australian Stock Exchange (ASX)
- Generally has “Pty Ltd” or “Proprietary Limited” after its name

*For a non-Australian company additional information may be required. Refer to your representative for further detail*

## Customer to provide

## We need to verify

✓ Full name of the company (as registered with ASIC)	Yes
✓ Business name (if any)	Yes
✓ Full address of the company’s registered office	
✓ Full address of the company’s principal place of business (if any)	
✓ Australian Company Number (ACN)	Yes
✓ Industry type	
✓ Confirmation where the primary business activity is investing*	
✓ Tax Residency information of the company. Countries of Tax Residency and corresponding Tax Identification Numbers.	
✓ Beneficial Owners of the company	Yes
✓ Names of each directors and identification information for one director of the company	Yes
✓ Identification information for each account signatory	Yes

\* If company earns more than 50% of its total income from investment activities

## Documents the customer must provide

- ✓ Identification documents for each Beneficial Owner, account signatory and director (if any) (as detailed overleaf)

### What is a ‘Beneficial Owner’?

A Beneficial Owner is any person, who ultimately owns or controls (directly or indirectly) the organisation customer.

All Beneficial Owners of a company must be identified. For an Australian Domestic Proprietary Company, this would be direct or indirect ownership of 25% or more of the share in the company. If there are no individuals who own 25% or more of the customer, determine effective control via one of the following:

- (a) any individual who controls decisions about financial and operating policies (including but not limited to the CEO, Managing Director, CFO etc); or
- (b) any individual who is entitled to exercise 25% or more of the voting rights (including the power of veto).

### How do I provide this information?

Original documents must be presented or certified copies can be provided to your local branch or Bank representative.

### What if I cannot provide the information required?

If you are unable to provide the minimum requirements we may not be able to provide the requested product or service. Where key documents no longer exist, alternative documents may be considered on a case-by-case basis. Please speak to your representative for further assistance.

# Individual Customer Identification Checklist.



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This checklist is a guide to help you understand what customer information is collected and checked before any financial product or service can be provided. The following is required to ensure we can meet our regulatory obligations.

## Customer to provide

- |   |  |
|---|--|
| ✓ Full name (including any other names known by, if any)      | ✓ Country or countries of Tax Residency and corresponding Tax Identification Numbers (as applicable)               |
| ✓ Residential address   | ✓ Occupation and employment details (as applicable)  |
| ✓ Full postal address (if different from residential address) | <b>If a Sole Trader</b>  |
| ✓ Date of birth   | ✓ Full business name, principal place of business address, industry, and Australian Business Number (ABN) (if any) |
| ✓ Full contact details including telephone and email address  |  |

## Customer documents required to verify full name AND either residential address OR date of birth

### Provide one Primary Photographic Document:

- ✓ Australian or New Zealand drivers licence
- ✓ Australian Passport (can be accepted two years from the expiry date)
- ✓ International Passport or travel document\*
- ✓ Government issued Firearms licence
- ✓ Foreign National Identity Card\*
- ✓ Proof of Age card – Australian State or Territory
- ✓ NSW Photo Card / Birth Card or WA Photo Card

**OR**

### Two Primary Non-Photographic Documents:

- ✓ Australian or foreign birth certificate or extract
- ✓ Australian or foreign citizenship certificate
- ✓ Pension or Health care card issued by Centrelink/ Department of Human Services or Department of Veterans Affairs
- ✓ Australian drivers licence (not containing a photograph of the person)

**OR**

### One Primary Non-Photographic AND one Secondary Document:

#### Secondary Document:

- ✓ A notice from the Commonwealth / State or Territory issued to the person and containing their name and residential address, and records the provision of financial benefits to that person (issued within the preceding 12 months)
- ✓ Australian Tax Office (ATO) notice containing name and residential address (issued within the preceding 12 months)
- ✓ A utilities notice from a local government body (e.g. Council rates bill) or utility (e.g. gas, electricity or water bill) provider showing name and residential address, and indicates provision of services to that person (issued within the preceding 3 months)
- ✓ Overseas drivers licence
- ✓ Commonwealth / State or Territory security guard / crowd safety officer identity card

\* issued by foreign government, the United Nations (UN) or an agency of the UN

## How do I provide this information?

- Original documents must be presented or certified copies can be provided to your local branch or Bank representative.
- All documents must be current and not expired unless otherwise stated.
- Digital drivers licences are not an acceptable form of identification.

## How do I get my documents certified?

To be correctly certified the required documents must be clearly noted as 'True copy of the original document' and signed by a prescribed person. For further details of parties who can certify copies please refer to your representative for further assistance.

## What if my documents aren't in English?

If your identification documents are not in English then a translation of each document is required. All translations must be completed by a translator who is accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) or an equivalent.

## What happens if the name on the identification document is different or has changed?

If the name on the identification document has changed since it was issued, then a Change of Name certificate, issued by the Registry of Births Deaths and Marriages must also be provided.