

**ANTI-MONEY LAUNDERING and COUNTER-TERRORISM FINANCING Act 2006
(AML/CTF Act) – CUSTOMER IDENTIFICATION CHECK LIST**

A CUSTOMER – INDIVIDUAL

A1 Personal Information of Individual Being Identified

Full name (incl. middle names):

Date of birth:

Residential address:

Any other names known by:

A2 Documentation to verify information – Satisfy either Option 1 or Option 2

Option 1 Primary Photographic Documentation – at least ONE of the following:

(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).

	Tick
Driver's licence (photographic): State: Number: Expiry:	<input type="checkbox"/>
Passport (not expired by more than two years): Country: Number: Expiry:	<input type="checkbox"/>
State or Territory officially issued identification card (photographic):	<input type="checkbox"/>
Type of card: Issued by:	
Number: Expiry:	
National identity card (photographic): State: Number: Expiry:	<input type="checkbox"/>
Other (insert details):	<input type="checkbox"/>

Option 2 Primary Non-Photographic Documentation plus Secondary Non-Photographic Documentation

(a) ONE of the following

Birth Certificate or Birth Extract issued by a State or Territory	<input type="checkbox"/>
Citizenship Certificate issued by the Commonwealth	<input type="checkbox"/>
Pension Card or Health Care Card issued by Centrelink	<input type="checkbox"/>

(b) AND at least ONE of the following

Financial Benefits Statement issued by the Commonwealth, State or Territory within last 12mths	<input type="checkbox"/>
Income Tax Assessment Notice issued by the Australian Taxation Office within last 12mths	<input type="checkbox"/>
Rates or utility notice issued by a local government body or utilities provider within last 3mths	<input type="checkbox"/>
Individual under 18 years ONLY: a notice issued by a school principal within last 3mths stating the individual's name, residential address and how long the individual has attended the school	<input type="checkbox"/>

A3 Check undertaken

The documentation provided is current or within acceptable time frame	<input type="checkbox"/>
All photographic identification is a "reasonable likeness" to the individual	<input type="checkbox"/>
Nothing in my dealings with the customer have raised any suspicions concerning the proposed transaction	<input type="checkbox"/>
Face to face verification of the customer was carried out by me - Print your name:	
Face to face verification was not possible because (state reason):	

(If Option 2 is used) verification against primary photographic documentation was **not** possible because (state reason):

CUSTOMER IDENTIFICATION CHECK LIST

B TRANSACTION INFORMATION

Location of assets being purchased /
refinanced with the loan:

Address of security property:

Source of funds to complete purchase/
refinance: (Provide details of bank a/c):

C CUSTOMER – SOLE TRADER

Collect information and Verify the identity of the individual as per Part A1, A2, and A3 above

Collect the Transaction Information as per Part B above

AND Collect and Verify the following:

Full name of business:

Principal place of business:

ABN issued to the business:

D CUSTOMER – COMPANY (Proprietary and Limited, but not publicly listed companies)

Collect the names of ALL directors

Collect information *and* Verify the identity of ALL directors as per Part A1, A2, and A3 above

Collect the Transaction Information as per Part B above

Collect & Verify personal information in A1 for ALL shareholders owning >25% of the company

AND Collect and Verify the following:

Full name of company as registered by ASIC:

Is company registered by ASIC as: Tick either () Proprietary Company or () Limited Company

ACN issued to the company:

Full address of the company's registered office:

Full address of the company's principal place
of business:

E CUSTOMER – TRUST

If the trustee(s) is an individual, collect information and verify the identity as per Part A1, A2, and A3 above
for EACH individual trustee

If the trustee(s) is a company, collect information as per Part D

In respect of each entity having the power to change the trustee, collect and verify the information in Part A1
or Part D as appropriate

Collect the Transaction Information as per Part B above

AND Collect and Verify the following:

Full name of trust:

Full business name (if any) of the trustee:

Full name and address of all trustees:

Type of trust (e.g. unit, discretionary, hybrid):

Country in which the trust was established:

The full name of each beneficiary in respect of the trust. If beneficiaries are identified by reference to a class - details
of the class (*attach separately if required*):

For Sole trustees and Multiple trustees collect information and verify as per appropriate Individual or Company
identification procedures described at Part A1, A2, A3 and Part D (*attach separately if required*):

CUSTOMER IDENTIFICATION CHECK LIST

F CUSTOMER – PARTNERSHIP

Collect information as per Part A1 for ALL partners

Verify the identity as per Part A1, A2, and A3 for ALL partners

Collect the Transaction Information as per Part B above

AND collect and verify the following

Full name of partnership:

Full business name as registered with any
State or Territory business name authority:

Full address of the partnership's principal
place of business:

Country in which the partnership was
established:

Full name and address for ALL partners in
the partnership:

G GUARANTORS

All guarantors whether they be an individual, sole trader, company, trust or partnership are to be identified in terms of the procedures set out in this Check List

Collect information as per Part A,C,E or F for ALL Guarantors

If the Guarantor is a company collect information as per Part D

Verify the identity as per Part A1, A2, A3,C,D & E for ALL Guarantors

AND collect and verify the following

Full name of Guarantor:

Full address of the Guarantor or principal
place of business:

For partnership or company guarantors
provide full name and address of partners
or directors signing the guarantee:

H CONFIRMATION BY PERSON VERIFYING THE CUSTOMER IDENTIFICATION CHECK LIST

I
confirm that I have completed and verified the information detailed in the Customer Identification Check List.

Signed

Date