

VERIFICATION OF IDENTITY COMPANY

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The completed form will be need to be emailed to:
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Guide to Completing this form

Complete the following in **block letters**:

Company details - applicable to all companies

Beneficial Owner or Control - Applicable for Unlisted Companies

Officers of a company - applicable for Australian Proprietary or Foreign Private Companies

Additional Information for a foreign company - applicable for all Foreign Companies

Company details

Full name as registered with ASIC

Please provide ACN if it is an Australian company or ARBN if it is a foreign company registered with ASIC

nature of business (primary business activity)

Registered office address (PO Box is not acceptable)

Country

Principal place of business (PO Box is not acceptable)

Tick if same as registered office address

Country

Mailing Address

Tick if same as registered office address

Tick if same as principal place of business

Country

Is the Company regulated (licensed by Australian Commonwealth, State or Territory statutory regulator). In this context 'regulated' means subject to supervision beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL holders) Australian Credit Licensees (ACL holders); and registrable Superannuation Entity (RSE) Licensees)

No

Yes - please specify

Regulator Name

Licence Details

Company Type

Proprietary/Private

Public (Domestic Listed)*

Majority owned subsidiary of a domestic listed company*

Public unlisted company

Foreign company registered with ASIC

Foreign company not registered with ASIC

Other, please specify

Beneficial owner or control

Not required for following companies:

- Company types marked * above
- Regulated companies
- Foreign listed public companies, or a majority owned subsidiary of such a company, subject to disclosure requirements (whether by stock exchange rules or through law or enforceable means) that ensure transparency of beneficial ownership

A beneficial owner is an individual who ultimately owns or controls a company. The beneficiary owner can be identified using the following rules:

- **Ownership** - 'Owns' in this case means owning 25% or more of the company. This can be directly (such as through shareholdings) or indirectly (such as through the ownership of another company or through a bank or broker)
- **Control** - 'Controls' in this case means having the power to make decisions about the company's finances and operations. They may exert control through trusts, agreements, arrangements, understandings, policies or practices. This may be the case for:
 - o Individuals who control who control (directly or indirectly) 25% or more of the voting rights, including power to veto – 'Voting rights' involves decisions on issuing securities, initiating corporate actions and making substantial changes in the corporation's operations
- **Individuals who are a Senior Managing Official** - a 'Senior Managing Official' is an individual who makes decisions affecting a substantial part of the business (e.g. Chief Executive Officer, Financial Controller)

Note: a company may have more than one beneficial owner.

BENEFICIAL OWNER #1

Full legal name (given name, middle name(s), family name(s)):

Date of birth

Residential address (PO Box is not acceptable)

State

Postcode

Country

Type

Ownership

Control

Management

BENEFICIAL OWNER #2

Full legal name (given name, middle name(s), family name(s)):

Date of birth

Residential address (PO Box is not acceptable)

State

Postcode

Country

Type

Ownership

Control

Management

BENEFICIAL OWNER #3

Full legal name (given name, middle name(s), family name(s)):

Date of birth

Residential address (PO Box is not acceptable)

State Postcode

Country

Type Ownership Control Management**BENEFICIAL OWNER #4**

Full legal name (given name, middle name(s), family name(s)):

Date of birth

Residential address (PO Box is not acceptable)

State Postcode

Country

Type Ownership Control Management

If there are more than four beneficial owners please attach additional page(s). Each beneficial owner must complete a separate Verification of Identity - Individual form.

Officers of company (for proprietary or private only)

The person(s) signing, or witnessing the affixing company seal, on behalf of the company must be, at a minimum:

- 2 directors of the company; or
- a director and a company secretary; or
- the sole director of a proprietary company

DIRECTOR/SECRETARY #1

Name(s):

DIRECTOR/SECRETARY #2

Name(s):

Corporate title: (Please indicate - director/secretary/trustee - if applicable)

Signature Date

Signature Date

DIRECTOR/SECRETARY #3

Name(s):

DIRECTOR/SECRETARY #4

Name(s):

Corporate title: (Please indicate - director/secretary/trustee - if applicable)

Signature Date

Signature Date

If an ASIC search does not identify the company's directors and secretaries, other documents will be required to establish who is authorised to sign or witness the affixing of the company seal on behalf of the company.

The directors/company secretary signing or witnessing the affixing of the company seal on behalf of the company must complete a separate Verification of Identity - Individual form.

Additional information for a foreign company

- Name of country where company was established
- Industry
- Full address of principal place of business in the country of establishment (Po Box is not acceptable)
- Australian registered office address if registered in Australia (Po Box is not acceptable)
- Name of foreign registration authority
- Foreign registration number
- Purpose of opening and account/facility
- Provide the name of each director of the company if it is registered as a private company by the relevant foreign registration body

Please complete the following section only for foreign companies registered in Australia

Local agent

Full name of individual or company name

Principal place of business in Australia or address of local agent (Po Box is not acceptable)

All companies

confirm that all required Verification of Identity – Individual forms have been collected

Simplified Company Verification Procedure

Tick those that have been sighted and attach copies to this form.

- performed a search of the relevant domestic stock exchange and retained a copy of the search results; or
- sighted and retained a copy of a public document issued by the company; or
- performed an ASIC search and retained a copy of the search results; or
- performed a search of the licence or other records of the relevant regulator and retained a copy of the search results;

to confirm that the company is:

- a domestic listed public company; or
- a majority owned subsidiary of a domestic listed public company; or
- licensed and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator in relation to its activities as a company.

Note: if the Simplified Company Verification Procedure is completed then it is not necessary to obtain any further company identification documents.

Domestic Proprietary or Public Company

Tick those that have been sighted and attach copies to this form.

Performed a recent ASIC search (no more than 30 days old) and retained a copy of the search results to verify the following details:

- The full name of the company as registered by ASIC
- Whether the company is registered as a proprietary or public company
- The ACN issued to the company

Registered Foreign Companies

Tick those that have been sighted and attach copies to this form.

Performed a search and retained a copy of the search results of the ASIC website to verify the following details:

- The full name of the company as registered by ASIC
- The ARBN issued to the company

and

Performed a search and retained a copy of the search results of the foreign registration body's data base; or
Sighted and retained a copy of the original certificate of registration issued by the relevant foreign registration body; or
Sighted and retained a certified copy of the certificate of registration issued by the relevant foreign registration body;
to verify the following details:

- Whether it is registered by a foreign registration body
- Whether it is registered as a private company or a public company

Unregistered Foreign Companies

Tick those that have been sighted and attach copies to this form.

Performed a search and retained a copy of the search results of the foreign registration body's data base; or
Sighted and retained a copy of the original certificate of registration issued by the relevant foreign registration body; or
Sighted and retained a certified copy of the certificate of registration issued by the relevant foreign registration body;
to verify the following details:

- The name of the company
- Whether it is registered by a foreign registration body
- The identification number issued to the company
- Whether it is registered as a private company or a public company

Completed by: staff member

I confirm that the information checked in the verification documents as set out above correctly reflects the information supplied by the customer in the form.

Staff member name

Signature