

# IDENTIFICATION FORM INDIVIDUALS & SOLE TRADERS



## GUIDE TO COMPLETING THIS FORM

- o Complete one form for each individual. Complete all applicable sections of this form in BLOCK LETTERS.
- o Tax information must be collected from the individual
- Contact your licensee if you have any queries.

SECTION 1: PERSONAL DETAILS	
Surname	Date of Birth dd/mm/yyyy
Full Given Name(s)	
Residential Address (PO Box is NOT acceptable) Street	
Suburb State Postcode	Country
COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER	
Full Business Name (if any)	ABN (if any)
Principal Place of Business (if any) (PO Box is NOT acceptable) Street	
Suburb State Postcode	Country
SECTION 2: TAX INFORMATION	
Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but is spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as	
Please answer <u>both</u> tax residency questions:	
Is the individual a tax resident of Australia?	
Is the individual a tax resident of another Country? Yes No	
If the individual is a tax resident of a country other than Australia, please provide their tax identif they are a tax resident of more than one other country, please list all relevant countries below.	ication number (TIN) or equivalent below. If
A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent	ot of a Tay File Number in Australia or a Social
Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) fo	r not providing a TIN.
1. Country TIN	If no TIN, list reason A, B or C
2. Country TIN	If no TIN, list reason A, B or C
3. Country TIN	If no TIN, list reason A, B or C
If there are more countries, provide details on a separate sheet and tick this box. $\Box$ .	
Reason A The country of tax residency does not issue TINs to tax residents	
Reason B The individual has not been issued with a TIN	
Reason C The country of tax residency does not require the TIN to be disclosed	

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# **SECTION 3: VERIFICATION PROCEDURE**

Verify the individual's full name; and EITHER their date of birth or residential address.

- o Complete Part I (or if the individual does not own a document from Part I, then complete either Part II or III.)
- Contact your licensee if the individual is unable to provide the required documents.

#### PART I - ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS

Tick ✓	Select ONE valid option from this section only
	Australian State / Territory driver's licence containing a photograph of the person
	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
	Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
	Foreign passport or similar travel document containing a photograph and the signature of the person*

#### PART II - ACCEPTABLE SECONDARY ID DOCUMENTS - should only be completed if the individual does not own a document from Part I

Tick ✓	Select ONE valid option from this section
	Australian birth certificate
	Australian citizenship certificate
	Pension card issued by Department of Human Services (previously known as Centrelink)
Tick ✓	AND ONE valid option from this section
	A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
	A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. <i>Block out the TFN before scanning, copying or storing this document.</i>
	A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)
	If under the age of 18, a notice that: was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school

#### PART III - ACCEPTABLE FOREIGN PHOTOGRAPHIC ID DOCUMENTS - should only be completed if the individual does not own a document from Part I

Tick ✓	Select ONE valid option from this section only
	Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth*
	National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued*

## **IMPORTANT NOTE:**

- Either attach a legible certified copy of the ID documentation used to verify the individual (and any required translation) 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

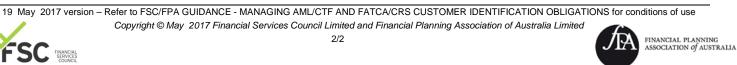
# **SECTION 4: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT DETAILS	Document 1		Document 2 (if required)		
Verified From	☐ Original	☐ Certified Copy	☐ Original	☐ Certified Copy	
Document Issuer					
Issue Date					
Expiry Date					
Document Number					
Accredited English Translation	□ N/A	☐ Sighted	□ N/A	☐ Sighted	

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		AFSL No.		
Representative/ Employee Name		Phone No.		
Signature		Date Verification Completed		



<sup>\*</sup>Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.