

(3) licensed and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator in relation to its activities as a company;

by obtaining one or a combination of the following:

(4) a search of the relevant domestic stock exchange;

(5) a public document issued by the relevant company;

(6) a search of the relevant ASIC database;

(7) a search of the licence or other records of the relevant regulator.

4.3.9 (1) An AML/CTF program may include appropriate risk-based systems and controls for the reporting entity to determine whether and in what