

## CUSTOMER IDENTIFICATION FORM AUSTRALIAN REGULATED TRUSTS (INCLUDING SELF-MANAGED SUPER FUNDS)

Please note that we **CANNOT** process your application unless the information requested in this form has been provided.

If you are not an Australian regulated Trust or Trustee you must download and complete the relevant customer identification form from [www.perpetual.com.au/customer-id](http://www.perpetual.com.au/customer-id)

Alternatively, to order a form or if you have any questions, phone:  
Investor Services 1800 022 033  
Adviser Services 1800 062 725

### About this customer identification form

This form has been designed to meet Perpetual's obligations under the Anti-Money Laundering and Counter Terrorism Financing Act (2006) (AML Act) to identify our customers.

The AML Act regulates financial services and transactions in a way that is designed to detect and prevent money laundering and terrorism financing.

Under the AML Act, we are required to:

- verify your identity before providing services to you, and to re-identify you if we consider it necessary to do so
- where you supply documentation relating to your identity, keep a record of this documentation for seven years after the end of your relationship with Perpetual.

This form also meets our customer identification obligations under the United States (US) Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Additional tax information is available on our website at [www.perpetual.com.au/tax](http://www.perpetual.com.au/tax).

### Privacy

Perpetual is committed to protecting your privacy.

By completing this form, you authorise us to collect your personal information. If you are completing this form as an adviser for another person, you confirm that you have provided them with this privacy notification and that they have consented to us collecting their personal information.

We collect, use and disclose your personal information in accordance with our privacy policy, which includes details about how you may request access to and correct the information that we hold about you. Our policy also outlines our privacy complaints process. This policy is publicly available at our website or you can obtain a copy free of charge by contacting us.

### Checklist

You must complete the following steps to ensure your application is processed:

- complete **ALL** required sections in this customer identification form
- provide certified copies of document(s), as requested in this customer identification form, either to us or to your financial adviser
- enclose this completed form with your completed Investment application form and send to Perpetual.

Please provide your client ID number or account number (if you have one): \_\_\_\_\_



## CUSTOMER IDENTIFICATION FORM AUSTRALIAN REGULATED TRUSTS (INCLUDING SELF-MANAGED SUPER FUNDS)

- This form is for **AUSTRALIAN REGULATED TRUSTS** only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.
- For Trusts that are not subject to the oversight an Australian regulator, complete the **UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM**.
- Collect information about the Trust and one Trustee. The identity of the Trust must be verified (not the Trustee).
- Tax information must be collected from an authorised representative of the Trust.
- Complete all applicable sections of this form in black ink, using **BLOCK LETTERS**.

### Section 1: Trust details

#### 1.1: General information

full name of Trust	
country where Trust established (only required if not Australia)	
full business name of Trustee in respect of the Trust (if any)	
principal business activity	

#### 1.2: Type of Regulated Trust

Select  **ONE** of the following types of Regulated Trusts

<input type="checkbox"/> <b>Self-Managed Superannuation Fund</b> provide the SMSF's ABN	
<input type="checkbox"/> <b>Registered managed investment scheme</b> provide Australian Registered Scheme Number (ARSN)	
<input type="checkbox"/> <b>Unregistered managed investment scheme</b> (where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporation Act 2001 applies) provide the unregistered managed investment scheme's ABN	
<input type="checkbox"/> <b>Government superannuation fund</b> provide name of the legislation establishing the fund	
<input type="checkbox"/> <b>Other regulated Trust</b> (a Trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation Trust, or a public sector superannuation scheme or an APRA-regulated superannuation fund) provide name of the regulator (e.g. ASIC, APRA, ATO) provide the Trust's ABN or registration/licensing details	

Other types of Trusts (e.g. family, unit, charitable, estate) or Trusts regulated by a foreign regulatory body should complete the **UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM**, rather than this form.

## Section 2: Trustee details

For Australian Regulated Trusts, identification information is required for one of the trustees. This information is only required for one trustee, even if the trust has a number of trustees. Please provide identification information for either an individual trustee (section 2.1) or a corporate trustee that is an Australian company (section 2.2).

Please complete **EITHER** section 2.1 **OR** section 2.2 **OR** a Foreign Companies identification form for one of the trust's trustees.

### 2.1: Individual Trustee

To be completed if the selected Trustee is an individual

first name(s)

last name

date of birth  
(dd/mm/yyyy)

dd / mm / yyyy

Residential address (PO Box is **NOT** acceptable)

street

suburb (if relevant)

**OR** city

state

postcode

country

*Proceed to section 3.*

### 2.2: Company Trustee

To be completed if the selected trustee is an Australian Company. If the selected Trustee is a foreign company then complete the **FOREIGN COMPANIES IDENTIFICATION FORM** in addition to this form.

#### 2.2.1: Company details

full name as registered  
by ASIC

ACN

Registered office address (PO Box is **NOT** acceptable)

street

suburb (if relevant)

**OR** city

state

postcode

country

Principal place of business (if different to registered office) (PO Box is **NOT** acceptable)

street

suburb (if relevant)

**OR** city

state

postcode

country

## 2.2.2: Company type

Select  **ONE** of the following types

- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) *Proceed to section 2.2.3.*
- Public** (companies whose name does **NOT** include the word Pty or proprietary) *Proceed to section 3.*

## 2.2.3: Directors

To be completed for proprietary companies, NOT required for public companies as per 2.2.2

Provide full name of each director below

	first name(s)	last name
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>

If there are more directors, provide details on a separate sheet and tick this box

*Proceed to section 3.*

## Section 3: Tax information

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS). Tax information requested in this form is explained on our website at [www.perpetual.com.au/tax](http://www.perpetual.com.au/tax).

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation Trusts) are NOT required to complete section 3 and can proceed to section 4.

## 3.1: Tax status

Provide the Trust's Global Intermediary Identification Number (GIIN), if applicable

If the Trust is a Financial Institution but does not have a GIIN, provide its FATCA status.

Select  **ONE** of the following statuses.

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Exempt Beneficial Owner
- Non Reporting IGA Financial Institution
- Nonparticipating Financial Institution
- Other

If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN

Describe the Trust's FATCA status

## Section 4: Australian Regulated Trusts and Trustees identification documents

- **If you are applying directly with Perpetual** – You will need to provide a certified copy of the document(s) with your application.
- **If you are lodging this application through a financial adviser** – You may provide a certified copy with your application **OR** have your adviser sight an original or certified copy of your document(s) and complete the Adviser Record of Verification section in this form.

Provide one of the following for a regulated Trust (eg SMSF), a registered managed investment scheme or government superannuation fund:

- if the Trust is a super fund, provide an extract from an online government registry search that includes the Trust's name, ABN and super fund status (this can be sourced from [abr.business.gov.au](http://abr.business.gov.au) or [superfundlookup.gov.au](http://superfundlookup.gov.au)).
- an original product disclosure statement (PDS), annual report or audited financial statement for the Trust
- a copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website (for a government superannuation fund)
- alternatively, if you have a financial adviser they may be able to perform a search of the ASIC, ATO or relevant regulator's website.

### HOW TO CERTIFY YOUR DOCUMENTS

A certified copy means a document that has been certified as a true and correct copy of a document by a person listed below, including all persons described in the Statutory Declarations Regulations 1993.

To create a certified copy, one of the persons listed below must write the following on the copy of the document.

'I, [full name], [category of persons as listed below], certify that this [name of document] is a true and correct copy of the original. [signature and date]'

- An Australian bank, building society, credit union or finance company officer with a minimum of 2 years continuous service
- A fellow of the National Tax and Accountants' Association
- An Australian judge of a court, Justice of the Peace or magistrate
- An Australian legal practitioner
- A notary public
- An Australian medical practitioner including dentist, nurse, optometrist, pharmacist, physiotherapist, psychologist or veterinary surgeon
- A permanent employee or agent of the Australian Postal Corporation with a minimum of 2 years continuous service
- An Australian federal, state or territory police officer
- A teacher employed on a full-time basis at an Australian school or tertiary education institution
- An accountant who is a full member of the Chartered Accountants Australia and New Zealand, CPA Australia, the Institute of Public Accountants or the Association of Taxation and Management Accountants
- An Australian Consulate or Diplomatic Officer
- An officer or authorised representative of an Australian Financial Services Licence holder with a minimum of 2 years continuous service with one or more licensees
- A person in a country other than Australia who is authorised by local law to administer oaths or affirmations or to authenticate documents (please list the local law providing this authority when certifying the document)

### IMPORTANT: Please ensure that you have either

- enclosed certified copies of your identity documents (and any required transactions) **OR** agreed that your adviser will complete the Adviser Record of Verification procedure below.

## Section 5: Record of verification procedure (Adviser use only)

This section is to be used by Advisers (Australian Financial Services (AFS) licensees only) when a record of verification is provided, rather than certified copies of identity documentation.

ID document details	Document 1	Document 2 (if applicable)
verified from	<input type="checkbox"/> performed search <input type="checkbox"/> original <input type="checkbox"/> certified copy	<input type="checkbox"/> performed search <input type="checkbox"/> original <input type="checkbox"/> certified copy
document issuer / website	<input type="text"/>	<input type="text"/>
document type / search details	<input type="text"/>	<input type="text"/>
issue date / search date	<input type="text" value="dd / mm / yyyy"/>	<input type="text" value="dd / mm / yyyy"/>
accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> sighted	<input type="checkbox"/> N/A <input type="checkbox"/> sighted

By completing and signing this record of verification procedure I declare that:

- an identity verification procedure has been completed in accordance with AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative and
- the tax information provided is reasonable based on the documentation provided.

AFS licensee name	<input type="text"/>	AFSL number	<input type="text"/>
representative/ employee name	<input type="text"/>	phone number	<input type="text"/>
signature	<input type="text"/>	date verification completed	<input type="text" value="dd / mm / yyyy"/>