

Mainstream Fund Services

Identification Form - Australian Companies



Instructions

- This form is for AUSTRALIAN COMPANIES only. For companies incorporated outside of Australia use the FOREIGN COMPANIES IDENTIFICATION FORM.
- Complete one form for each company.
- Complete separate INDIVIDUAL ID Forms for each of the company's Beneficial Owners, page 5.
- Tax information must be collected from an authorised representative of the Company.
- Black or blue pen please.
- Please use BLOCK letters.
- Print ✓ in the appropriate boxes.
- If you have any questions about this form please contact us on 1300 133451

Step 1 – Issuer details

Issuer/Fund Name

Security Code

HIN/SRN/Investor Number

Section 1: Australian Company Identification Procedure

Section 1.1: General Information

Full name as registered by ASIC

ACN

Registered office address (PO Box is not acceptable).

Street

Suburb

State

Postcode

Country

Principal place of business (if any) (PO Box is not acceptable).

Street

Suburb

State

Postcode

Country

Companies incorporated outside of Australia should complete the FOREIGN COMPANIES IDENTIFICATION FORM, rather than this form.

1.2 Company Type (Select one of the following categories)

Public (companies whose name does NOT include the word Pty or proprietary; generally listed companies), proceed to section 1.4

Proprietary (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to section 1.3

1.3 Directors (To be completed for proprietary companies, not required for public companies)

Provide the names of all directors.

Full given name(s)

Surname

1

2

3

4

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

Section 1: Australian Company Identification Procedure (continued)

1.4 Listing and Regulatory Details (Select any of the following categories if applicable)

Australian Public Listed company (companies that are listed on an Australian financial market such as the ASX) Proceed to Section 2

Name of market / exchange

Majority Owned Subsidiary of an Australian Public Listed company (companies that are majority owned by an Australian company that is listed on an Australian financial market such as the ASX). Proceed to Section 2

Australian listed company name

Name of market / exchange

Regulated company (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees). Proceed to Section 2

Regulator name

Licence details (e.g. AFSL, ACL, RSE)

1.5 Beneficial Ownership

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed company or Regulated Companies as per 1.4.

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?

Yes (Complete 1.5.1)

No (Complete 1.5.2)

1.5.1 Shareholder Beneficial Owners

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)

Surname

If Beneficial Owner name/s are provided above, proceed to section 2.

1.5.2 Other Beneficial Owners

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)

Surname

Role (such as Chairman, President, etc.)

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

Section 2: Tax Information

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

2.1 Tax Status

Tick one of the Tax Status boxes below or on the next page (if the company is a Financial Institution, please provide all the requested information below)

Financial Institution (A custodial or depository institution, an investment entity or a specified insurance company for FATCA / CRS purposes). Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company 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 (describe the company's FATCA status in the box provided)

If the company is a Financial Institution, please proceed to section 3 to complete the form.

Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company or Australian Registered Charity (Public listed companies or majority owned subsidiaries of Australian listed companies as per 1.4 that are not Financial Institutions as described above or a company that is an Australian Registered Charity).

If the company type is listed above, please proceed to section 3 to complete the form.

An Active Non-Financial Entity (NFE) (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at www.oecd.org)

If the company is an Active NFE, please proceed to section 3 to complete the form.

Other (Entities that are not previously listed – Passive Non-Financial Entities)

Please proceed to section 2.2 (Foreign Beneficial Owners)

2.2 Foreign Beneficial Owners

Are any of the company's Beneficial Owners tax residents of countries other than Australia? Yes No

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in section 1.5)

Full given name(s)	Surname	Role (e.g. Director or Senior Managing Official)
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If there are more Beneficial Owners, provide details on a separate sheet and tick this box

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship or residency

2.3 Country of Tax Residency

Is the Association a tax resident of a country other than Australia? Yes No

If Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

If No, proceed to section 3.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or an Employer Identification Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for 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.

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

Section 3: Australian Company Verification Procedure

Identification documentation is to be provided to verify the information listed in the standard or simplified verification procedure described below. The simplified verification procedure is to be used for Australian Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies and Regulated companies as described in section 1.4 of this form. All other companies are to be verified according to the standard verification procedure.

Standard verification procedure

Information to be verified:

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

Verification options (select one of the following options used to verify the Company)

Perform a search of the relevant ASIC database.

If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC.

Simplified verification procedure for an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (as described in section 1.4 of this form)

Information to be verified:

- The full name of the company
- That the company is an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (whichever is applicable). The ACN issued to the company.

Verification options (select one of the following options used to verify the Company)

Perform a search of the relevant market/exchange.

Perform a search of the relevant ASIC database.

Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.

A public document issued by the relevant company

IMPORTANT NOTE:

- ▶ Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per 1.5 AND
- ▶ Attach a legible certified copy of the ID documentation used to verify the company OR
- ▶ Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section next and DO NOT attach copies of the ID Documents

Section 4: Record Of Verification Procedure

ID DOCUMENT	Document 1		Document 2 (if required)			
Verified From	Performed search	Original	Certified copy	Performed search	Original	Certified copy
Document Issuer / Website						
Public Document Type						
Issue date / Search date						

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;
- individual customer ID Forms have been provided for the company's Beneficial Owners (where applicable)
- the tax information provided is reasonable considering the documentation provided

AFS Licensee Name

AFSL No.

Representative/ Employee Name

Phone No.

Signature

Date Verification Completed

Mainstream Fund Services

Identification Form - Individuals



Instructions

- Complete one form for each individual.
- Tax information must be collected from the individual
- Contact your licensee if you have any queries.
- Black or blue pen please
- Please use BLOCK letters.
- Print ✓ in the appropriate boxes.
- If you have any questions about this form please contact us on 1300 133451

Section 1: Personal Details

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)	
Residential Address (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 not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

Please answer **both** tax residency questions:

Is the individual a tax resident of Australia?	Yes	No
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 identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax 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) for 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.

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

Section 3: Verification Procedure

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

- 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

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

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)

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. Block out the TFN before scanning, copying or storing this document.

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

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*

**Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator*

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 next and DO NOT attach copies of the ID Documents**

Section 4: Record Of Verification Procedure

ID DOCUMENT	Document 1		Document 2 (if required)	
	Original	Certified copy	Original	Certified copy
Verified From				
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