

Mainstream Fund Services

Identification Form - Australian Regulated Trusts (Including Self-Managed Super Funds)



Instructions

- 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
- 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

Issuer details

Issuer/Fund Name

Security Code

HIN/SRN/Investor Number

Section 1: Regulated Trust Identification Procedure

Section 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)

Section 1.2: Type of Regulated Trust

Select one of the following type of Regulated Trust

Self-Managed Superannuation Fund

Provide the SMSF's ABN

Registered managed investment scheme

Provide Australian Registered Scheme Number (ARSN)

Unregistered managed investment scheme (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 Corporations Act 2001 applies)

Provide the unregistered managed investment scheme's ABN

Government superannuation fund

Provide name of the legislation establishing the fund

Other regulated Trust (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 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 3: Tax Information (continued)

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

Nonparticipating Financial Institution

Other (describe the Trust's FATCA status in the box provided)

Section 4: Regulated Trust Verification Procedure

Regulated Trust Verification procedure:

Information to be verified:

- Full name of the Trust
- That the Trust is a Self-Managed super fund; registered managed investment scheme, unregistered managed investment scheme, government superannuation fund or other regulated Trust, as applicable

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

Perform a search of the ASIC, ATO or relevant regulator's website (e.g. "Super Fund Lookup" at www.abn.business.gov.au).

A copy of an offer document of the managed investments scheme (e.g. a copy of a Product Disclosure Statement)

A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website

IMPORTANT NOTE:

- ▶ **Attach a legible certified copy of the ID documentation used to verify the Trust 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 5: Record Of Verification Procedure

ID DOCUMENT	Document 1		Document 2		
	Performed search	Original	Performed search	Original	Certified copy
Verified From					

Document Issuer / Website

Document Type /
Search details

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 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