

Onboarding form: body corporate, partnership or unincorporated association

Complete this form to help us meet our obligations under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)*.

An onboarding form must be completed for each person requesting the service. We may also need to request further information from you.

Section A: Client details

| | |
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| What kind of entity is the client? | <input type="checkbox"/> Body corporate (including company and incorporated association) <input type="checkbox"/> Partnership <input type="checkbox"/> Unincorporated association |
| Client's legal name: <i>For companies, this is the name registered on a government company register (e.g. ASIC).</i> <i>For a partnership or unincorporated association that doesn't operate under an ABN, this is the names of all the partners of a partnership or members of an unincorporated association.</i> | |
| Is the client known by any other practice names, trading names or acronyms? If YES, list those names. | <input type="checkbox"/> Yes <input type="checkbox"/> No Other names: |
| Client's ABN/ACN or foreign equivalent (if any): | |
| Is the client registered with ASIC or another relevant domestic or foreign registration body? | <input type="checkbox"/> Yes <input type="checkbox"/> No Details: |
| Principal place of business address: <i>This is the main physical location the client conducts their activities.</i> | |
| Registered office address (if different to principal place of business or operations): | |
| Nature of the client's business or operations: <i>For example, what sector does it operate in? What kinds of products and services</i> | |

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| <p>does it offer? If it is not a commercial activity, what is the purpose of the client?</p> | |
| <p>What powers bind or govern the client? <i>For example, the company's constitution, a partnership agreement, replaceable rules from the Corporations Act. If rules have been replaced, what is the impact of those rules?</i></p> | |
| <p>Is the client one of, or otherwise controlled by:</p> | <p><input type="checkbox"/> A government body Specify which body:</p> <p><input type="checkbox"/> Subject to regulatory oversight by a prudential, insurance or investor protection regulator through registration or licensing requirements Specify which regulator:</p> <p>Specify the capacity in which they're registered or licensed:</p> <p>Specify any unique licensing or registration number:</p> <p><input type="checkbox"/> A corporation or association of homeowners in a strata title or community title scheme</p> |
| <p>Is the client a publicly listed company subject to public disclosure requirements that ensure transparency regarding the identity of beneficial owners? If so, provide the name of the relevant stock exchange.</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No Name of stock exchange: <i>For example, ASX</i></p> |
| <p>What service is the client seeking and why? <i>For example:</i></p> <ul style="list-style-type: none"> • <i>setting up a corporate structure</i> • <i>assisting in the purchase of a company</i> | |
| <p>Will the service involve the handling of physical cash or virtual assets? Choose all that apply.</p> | <p><input type="checkbox"/> Physical currency (cash) - specify amount:</p> <p><input type="checkbox"/> Virtual assets - specify amount:</p> <p><input type="checkbox"/> None of the above</p> |

Section B: Client representative details

Complete this section about a person acting on behalf of the client. Add an additional table if there is more than one representative.

| | |
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| Legal name: | |
| Any other name the client representative is known by: | |
| Date of birth: | |
| Residential address: | |
| Country of residence: | |
| Occupation: | |
| Are you or have you been a member of a parliament, high ranking member of a government body, a member of a court or other position listed in Appendix B? | <input type="checkbox"/> Yes <input type="checkbox"/> No If YES, position and role description: |
| Do you have a family member or a close practice associate that is or has been a member of a parliament, high ranking member of a government body, a member of a court or other position listed in Appendix B? | <input type="checkbox"/> Yes <input type="checkbox"/> No If YES, position and role description: |
| Are you regulated under the AML/CTF Act and can you provide evidence of your enrolment with AUSTRAC? | <input type="checkbox"/> Yes <input type="checkbox"/> No Details of enrolment: |
| Do you have authority to act on behalf of the client in relation to this service? If so, where does the authority to act come from? <i>For example, a power of attorney, agency agreement, written authorisation from the client.</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No Details of authority to act: |


Section C: Identity of beneficial owners

Our practice will need information so that we can identify the **individuals** that are the beneficial owners of the body corporate, partnership or unincorporated association.

A beneficial owner is an individual who directly or indirectly either:

- owns 25% or more of the client
- controls the client.

Multiple individuals may own or control the client through an ownership and control structure. For example, other companies or trusts may control or own 25% or more of the company. Providing information about the company's ownership and control structure will help us verify beneficial owners.

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|  | <p>If there are no beneficial owners, provide details of the CEO or equivalent senior staff member.</p> <p>If the company is a publicly listed company subject to public disclosure requirements (for example, a company listed on the ASX), you do not need to fill out beneficial owner information below.</p> |
|---|--|

Please provide information about the company's beneficial owners in the following table (add more rows if required):

| Relationship to client | Legal name | Any other names they are known by | Date of birth (DD/MM/YY) | Residential address (including country of residence) | Occupation | Are they or have they been a person in a position listed in Annexure B? | Identity document to be provided |
|---|------------|-----------------------------------|--------------------------|--|------------|---|----------------------------------|
| <i>For example, sole shareholder, majority shareholder, director, partner, president, board member, CEO</i> | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No Position: Description of role: | |

| Relationship to client | Legal name | Any other names they are known by | Date of birth (DD/MM/YY) | Residential address (including country of residence) | Occupation | Are they or have they been a person in a position listed in Annexure B? | Identity document to be provided |
|------------------------|------------|-----------------------------------|--------------------------|--|------------|---|----------------------------------|
| | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No Position: Description of role: | |
| | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No Position: Description of role: | |

Section D: Identity documents

I have provided the following documents as required by Appendix A:

| Requirement | Documents provided |
|---|--------------------|
| Identity documents for the client: | |
| Identity documents for all persons identified in Section C: | |
| Identity documents for the client's representative: | |
| Authority for any client's representative to act: | |
| If client's representative is regulated under the AML/CTF Act, evidence of their enrolment with AUSTRAC: | |
| If alternative identification is required due to circumstances listed in Appendix A, specify why and which alternative documents were provided: | |
| <p>Information on the powers that bind and govern the client:</p> <p><i>For example, a copy of a constitution, partnership agreement, or identify if using the replaceable rules in the Corporations Act, any modifications made to those rules and their impact.</i></p> | |
| <p>Information that shows the ownership and control structure of the client.</p> <p><i>For example:</i></p> <ul style="list-style-type: none"> • <i>information on who owns the client (any distribution of shares and the kind of shares distributed)</i> • <i>documents showing control and decision-making processes</i> • <i>a copy of the constitution, charter, rules, partnership agreement, distribution of member statements or other similar document.</i> | |

Is there any further information you want to provide in relation to the above questions?

Provide details here:

Important information

Our practice must gather information from you to ensure compliance with our anti-money laundering and counter-terrorism financing obligations. We may stop providing services to you if you refuse to provide the information we request, or we decide you are not within our risk appetite.

It is an offence under sections 137 and 140 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act) to:

- provide false or misleading information in this form or documents you provide to us
- receive a designated service from us using a false name or anonymously.

By completing and signing this form you confirm that the information provided is correct and accurate. You also consent to identities being verified electronically and to us disclosing your information to third parties to help us meet our obligations under the AML/CTF Act.

| | |
|--------------------------------------|--|
| Client name: | |
| Name of person completing this form: | |
| Date: | |
| Signature: | |

Appendix A: Identification documents

For any of these documents, please provide an original or a reliable copy. This includes physical copies or electronic sources.

Identification documents for body corporates, partnerships or unincorporated associations

Please provide one or more of the following:

- A copy of the client's constitution
- A copy of the client's charter
- A copy of the client's rules
- A copy of distribution(s) of member statements
- A copy of the partnership agreements
- Certificate of Incorporation
- Certificate of Good Standing
- Memorandum and articles of association
- Evidence of the source of funds/wealth. For example, bank statement, tax assessment etc.

Identification documents for individuals

Provide one of the following any representative and beneficial owners:

- **Option 1:** one primary photographic identification document
- **Option 2:** two primary non-photographic identification documents along with a reference
- **Option 3:** one primary non-photographic identification document and a secondary identification document, along with a reference.

| Document category | Examples of documents |
|---|--|
| Primary photographic identification documents | <ul style="list-style-type: none"> • Australian passport • Australian proof of age card • Australian driver's license • Foreign passport • Foreign identity card |
| Primary non-photographic identification documents | <ul style="list-style-type: none"> • Australian birth certificate or birth extract • Australian citizenship certificate • Australian concession card (pensioner concession card, health care card, senior's health card) • Medicare card • Veteran card • Change of name certificate • Marriage certificate • Foreign birth certificate • Foreign citizenship certificate |
| Secondary identification documents | <ul style="list-style-type: none"> • Utility notice issued in the last 3 months • Council rates notice issued in the last 3 months • Australian bank statement issued in the last 3 months • Notices issued by a Commonwealth, state, territory or local government body issued in the last 3 months • Income tax assessment notice issued by the Australian Taxation Office (ATO) in the last 12 months |

| Document category | Examples of documents |
|-------------------|--|
| | <ul style="list-style-type: none"> • Payslip or letter from employer containing the individual's name issued in the last 3 months |

Authority for a representative to act

Evidence of a representative's authority to act may include:

- for any general appointment:
 - a letter, agency agreement or other authorisation document from the client establishing that the representative has authority to act
 - written confirmation from a reliable third party such as a legal practitioner, accountant or other professional, that the representative has authority to act
- written confirmation from their employer that they are authorised to act, if authority to act arises from their employment
- the document granting that person power of attorney, if authority to act arises from a power of attorney
- an extract of the legislation giving the person authority to act, if authority to act arises from legislation

Alternative identification for individuals

An individual can prove their identity in alternative ways if they:

- can't get standard identification information or evidence
- can't access standard identification information or evidence due to circumstances beyond their control
- have inconsistent details across their identification documents.

This may be appropriate for individuals who are:

- Aboriginal and Torres Strait Islander
- affected by natural disasters
- affected by family and domestic violence
- experiencing homelessness
- in prison or recently released from prison
- refugees, asylum seekers and recent migrants to Australia
- from culturally and linguistically diverse backgrounds
- intersex, transgender and gender diverse
- living in remote areas
- older Australians
- living in a hospital setting for lengthy periods
- not registered at birth
- raised in institutional or foster care
- experiencing digital exclusion or inaccessibility.

Other documents that can verify the individual's identity could include, but isn't limited to, any of the following:

- a reference from another individual (see requirements below)
- government correspondence, including documents from state or territory corrective services
- confirming a person's identity with reputable organisations or bodies known to them. For example, Aboriginal and Torres Strait Islander organisations or community health organisations
- a community ID or organisation membership card for Aboriginal and Torres Strait Islander peoples
- recently expired identification

- a client's self-attestation of their identity.

If you use a reference, the referee must be someone who both:

- holds a position of trust in the community
- has an existing relationship with the individual. They don't need to have a relationship with the individual because of their position of trust – for example, the referee may be a teacher, but they don't need to have been the individual's teacher.

Suitable referees may include a:

- school principal, teacher or counsellor
- current or former employer or manager
- medical practitioner (for example, doctor, nurse, midwife, dentist, community health professionals, psychologist)
- minister of religion
- police officer
- financial counsellor, adviser, planner or capability worker
- community leader, such as an Elder
- official from an Aboriginal and Torres Strait Islander organisation, or a board member of a Local Aboriginal Land Council
- legal aid or community lawyer
- Services Australia (Centrelink) staff
- correctional services staff
- manager or warden of a refuge or shelter accommodation or homeless shelter
- manager of an aged care facility or hospital
- an individual who is able to witness a statutory declaration.

The reference could contain the:

- date of the reference
- referee's name, signature, position, contact details and relationship to you
- referee's knowledge of the individual's full name, residential address (if known) and date of birth (actual or approximate)
- approximate period the referee has known the individual.

If known by the referee, it could also include:

- other addresses where the individual has recently lived
- other names the individual has been or is known by
- a recent photo of the individual
- the individual's circumstances that have resulted in limited access to identification documents
- a brief explanation of the reasons why the individual has inconsistent details on their identification.

Appendix B: Politically exposed person definition

Below are definitions of different types of politically exposed persons (PEPs).

You must consider if any representative and beneficial owners identified in the onboarding form are a politically exposed person.

Note: Family members and close business associates of persons who hold one of these positions are also considered politically exposed persons.

Foreign PEP

A foreign PEP is an individual who holds or has held a prominent office or position or public function in or for the legislature, executive or judiciary of a foreign country.

This includes an individual who holds or has held any of the following offices or positions:

- head of state or head of government
- member of the executive council of government
- member of a legislature
- minister, deputy minister or equivalent office or position
- judge of a supreme court, constitutional court or other court of general jurisdiction or last resort
- ambassador, high commissioner or charge d'affaires
- high ranking military officer
- head or board member of a government body
- head or board member of a state-owned company or a state-owned bank
- member of a governing body of a political party represented in a legislature.

A foreign PEP is also a family member of an individual listed above or an individual who is known (based on information that's public or readily available) to have:

- joint beneficial ownership of a body corporate or legal arrangement with an individual listed above
- sole beneficial ownership of a body corporate or legal arrangement on behalf or for the benefit of an individual listed above
- any other close practice relations with an individual listed above.

Domestic PEP

A domestic PEP is an individual who is in or has been in the following office or position:

- member of the legislature of the Commonwealth or a state or territory
- member of the governing body of a political party represented in the legislature of the Commonwealth or a state or territory
- Governor-General
- governor of a state
- administrator of a territory
- Justice of the High Court
- Judge of the Federal Court of Australia
- Judge of the Supreme Court of a state or territory
- accountable authority, or member of the accountable authority, of a Commonwealth entity within the meaning of the Public Governance, Performance and Accountability Act 2013 (PGPA Act) (for example a Secretary of a Department of State or parliamentary department)
- member of the governing body of a wholly-owned Commonwealth company within the meaning of the PGPA Act
- head (however described) of a department of state or territory, or an agency or authority of a state or territory that has a prominent public function
- head (however described) of a local government council in a state or territory

- the chair of the board, chief executive officer or chief financial officer of a company or other incorporated body that's wholly-owned or majority-owned by a state or territory
- Chief of the Defence Force, Vice Chief of the Defence Force, Chief of Navy, Chief of Army or Chief of Air Force
- officer of the Navy of the rank of Vice Admiral or a higher rank
- officer of the Army of the rank of Lieutenant General or a higher rank
- officer of the Air Force of the rank of Air Marshal or a higher rank
- any of the following offices of the Commonwealth in a foreign country, or to a public international organisation, to which appointments are made by the Governor-General:
 - Ambassador
 - High Commissioner
 - Consul-General
 - Australian representative
 - special representative
 - representative
 - permanent representative
 - Chargé d'Affaires.

A domestic PEP is also a family member of an individual listed above, or an individual who is known (based on information that's public or readily available) to have:

- joint beneficial ownership of a body corporate or legal arrangement with an individual listed above
- sole beneficial ownership of a body corporate or legal arrangement on behalf or for the benefit of an individual listed above
- any other close business relations with an individual listed above.

International organisation PEP

An international organisation PEP is an individual that is entrusted or has been entrusted with a prominent public function, position or office of a public international organisation. This includes a head, deputy head or board member in a public international organisation, such as a United Nations body.

An international organisation PEP is also a family member of one of these individuals, or an individual who is known (based on information that's public or readily available) to have:

- joint beneficial ownership of a body corporate or legal arrangement with an individual entrusted with a prominent public function, position or office of a public international organisation
- sole beneficial ownership of a body corporate or legal arrangement on behalf or for the benefit of an individual entrusted with a prominent public function, position or office of a public international organisation
- any other close business relations with an individual entrusted with a prominent public function, position or office of a public international organisation.

Family members

A family member includes:

- a spouse, de facto partner, or equivalent under any applicable law of a foreign country, of the individual
- a child of the individual
- a spouse or de facto partner, or equivalent under any applicable law of a foreign country, of a child of the individual
- a parent of the individual.