

# BankSA Customer Identification Procedure Form

## – Australian Company

### Section 1: Australian company identification procedure (mandatory).

#### 1.1 General information.

Account number (if known)

Full name as registered with ASIC

Full Business, trading or other name(s) other than the name registered with ASIC (if any)  
(if you have more than one, please attach a separate list)

ACN

ABN (if any)

Registered office address (cannot be a PO Box)

State	Postcode	Country, if not Australia

Principal place of business (cannot be a PO Box)

State	Postcode	Country, if not Australia

Industry type/classification	State/Territory, country (if not Australia) of registration	Date of registration (DD/MM/YYYY)
<input type="text"/>	<input type="text"/>	/ /

Mobile number

Email address

#### 1.2 Directors.

Provide the names of ALL company directors.

	Title	Full given name(s)	Surname
1.			
2.			
3.			
4.			

Tick here if there are more than four directors, and provide details on a separate sheet

## Section 1: Australian company identification procedure (mandatory) (continued).

### 1.3 Licence details (If applicable).

Is your company licensed and subject to regulatory oversight?

(e.g. does your company hold an Australian Financial Services Licence (AFSL) or Australian Credit Licence (ACL)?)

- Yes  Name of the regulator  Regulator issued licence number
- No (proceed to section 2)

## Section 2: Tax information (mandatory).

Is the Company a resident of a country other than Australia for tax purposes?

- Yes. Date the company became a non-resident for tax purposes (complete section 2)
- No (proceed to section 3)

Provide the country/countries outside of Australia in which the company is a resident for tax purposes and country's associated Tax Identification Number (TIN)\*

\* A TIN is an identifying number or equivalent used for tax purposes. 'TIN not issued' is only applicable to specific countries. For more details go to [oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/tax-identification-numbers](https://www.oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/tax-identification-numbers)

**Note:** If there are more than three countries in which the company is a tax resident, please provide the details on a separate paper.

Country 1 (Primary country of residence for tax purposes)

Foreign TIN 1

Reason (if TIN not applicable)  TIN not issued

Country 2

Foreign TIN 2

Reason (if TIN not applicable)  TIN not issued

Country 3

Foreign TIN 3

Reason (if TIN not applicable)  TIN not issued

## Section 3: Beneficial owners identification and verification.

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

- Yes (complete 3.1)
- No (complete 3.2)

### Section 3: Beneficial owners identification and verification (continued).

#### 3.1 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 a separate *BankSA Customer Identification Procedure Form – Individuals & Sole Traders* for each of these individuals.

	Full given name(s)	Surname
1.		
2.		
3.		
4.		

Tick here if there are more than four shareholder beneficial owners, and provide details on a separate sheet

#### 3.2 Other beneficial owners.

If there are no individuals who meet the requirements of 3.1, 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 a separate *BankSA Customer Identification Procedure Form – Individuals & Sole Traders* for each of these individuals.

Full given name(s)	Full given name(s)
<input type="text"/>	<input type="text"/>
Surname	Surname
<input type="text"/>	<input type="text"/>
Role	Role
<input type="text"/>	<input type="text"/>

Tick here if there are more than two other beneficial owners and provide details on a separate sheet

### Section 4: Additional information (mandatory).

#### 4.1 Source of funds.

This refers to where the company's funds came from in regard to deposits into the account. Please note the company may have multiple sources of funds. Please indicate all sources of funds below.

- |  |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> Commission                          | <input type="checkbox"/> Bonus                    | <input type="checkbox"/> Business income  | <input type="checkbox"/> Business profit          |
| <input type="checkbox"/> Investment income                   | <input type="checkbox"/> Corporate investments    | <input type="checkbox"/> Rental income    | <input type="checkbox"/> Loan                     |
| <input type="checkbox"/> Capital injection                   | <input type="checkbox"/> Insurance payment        | <input type="checkbox"/> Government grant | <input type="checkbox"/> Sale of assets           |
| <input type="checkbox"/> Liquidation of assets               | <input type="checkbox"/> Mergers and acquisitions | <input type="checkbox"/> Gift/donation    | <input type="checkbox"/> Controlled money account |
| <input type="checkbox"/> Tax refund                          | <input type="checkbox"/> Compensation payment     |   |   |
| <input type="checkbox"/> Additional sources (Please specify) |   |   |   |

**Section 4: Additional information (mandatory) (continued).****4.2 Source of wealth.**

This refers to where or how the company has built its net worth. Please note that the company may have multiple sources of wealth. Please indicate all sources of wealth below.

- Business income       Business profit       Investment income       Corporate investments  
 Rental income       Insurance payment       Owns property       Compensation payment  
 Sale of assets       Liquidation of assets       Gift/Donation       Mergers and acquisitions  
 None       Controlled money account  
 Additional sources (Please specify)

**4.3 Privacy statement.**

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at [banksa.com.au/privacy/privacy-statement](http://banksa.com.au/privacy/privacy-statement) or by calling us. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your request.

**Section 5: Australian company verification procedure (mandatory).**

Complete this form and provide the information listed in the verification procedures outlined below.

**Important.**

- Ensure that individual Customer Identification Procedure Forms have been provided for the Company's Beneficial Owners as per section 3.
- Attach a legible certified copy of the ID documentation used to verify the company.
- Documents that are written in a language that is not English must be accompanied by an English translation prepared by National Accreditation Authority for Translators and Interpreters (NAATI) translator.

Tick	Company type	Verification Require
<input type="checkbox"/>	Regulated Australian proprietary company	A
<input type="checkbox"/>	Australian proprietary company other than the above	B or C or D

Tick	Verification option	
<input type="checkbox"/>	A	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	B	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	C	A public document issued by the relevant company within the last 12 months (e.g. audited annual accounts).
<input type="checkbox"/>	D	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC

**Section 6: Client declaration (mandatory).**

I declare that to the best of my knowledge the information I have provided above is true and correct as at the date of this document. I understand that it is an offence to knowingly give false or misleading information or knowingly produce a false or misleading document under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act 2006), and the Tax Laws Amendment (Implementation of the Common Reporting Standard) Act 2016.

Signature of Authorised Signatory 1 (Wet (pen) signature required)

Date (DD/MM/YYYY)

Full name

Position held (must include beneficial owner role)

Signature of Authorised Signatory 2 (Wet (pen) signature required)

Date (DD/MM/YYYY)

Full name

Position held (must include beneficial owner role)

Signature of Authorised Signatory 3 (Wet (pen) signature required)

Date (DD/MM/YYYY)

Full name

Position held (must include beneficial owner role)

Signature of Authorised Signatory 4 (Wet (pen) signature required)

Date (DD/MM/YYYY)

Full name

Position held (must include beneficial owner role)

## Appendix A.

### A. What is a certified copy of a document?

A certified copy is a document that has been certified by an authorised person as a true copy of an original document.

To have your document certified, take the original document and a photocopy of it to one of the persons listed in the categories below.

The certifier will then write or stamp the copy with the words: "I, [full name of authorised certifier], as [select appropriate person from authorised list below], certify that this [name of document] is a true copy of the original [signature and date]".

That person will need to print their name, date and qualification/occupation which makes them an eligible certifier on the photocopy.

If there are multiple pages to the copy, the certifier will need to fully certify each page.

**Note:** Only original certified ID documents must be supplied. Photocopies of certified documents will not be accepted.

### B. List of eligible persons who can certify your identity documents.

A document can be certified by the following authorised persons:

#### Legal

- Solicitor or Barrister (that is, a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described))
- Judge of a court<sup>1</sup>
- Magistrate
- Chief Executive Officer of a Commonwealth court<sup>1</sup>
- Registrar or Deputy Registrar of a court<sup>1</sup>

#### Foreign jurisdiction

- A person who is authorised by law in the relevant jurisdiction to administer oaths or affirmations or to authenticate documents<sup>1</sup>

#### Healthcare

- Dentist
- Medical practitioner
- Nurse
- Pharmacist

#### JP

- Justice of the Peace<sup>1</sup>

#### Law enforcement

- Police officer
- Sheriff
- Sheriff's officer

#### Post office

- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- Permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public

#### Accountant

- who is a fellow of the National Tax Accountants' Association; or
- who is a member of any of the following:
  - Chartered Accountants Australia and New Zealand;
  - the Association of Taxation and Management Accountants;
  - CPA Australia;
  - the Institute of Public Accountants

#### Diplomatic service

- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the *Consular Fees Act 1955*)<sup>1</sup>
- Employee of the Australian Trade and Investment Commission who is:
  - in a country or place outside of Australia; and
  - authorised under paragraph 3(d) of the *Consular Fees Act 1955*; and
  - exercising his or her function at that place

#### Financial institutions (e.g. bank, building society, credit union)

- An officer with two or more continuous years of service in Australia
- An officer with, or authorised representative of, a holder of an Australian Financial Services Licence, having two or more continuous years of service with one or more licensees
- An officer of an Australian bank, building society or finance company branch or office located in a foreign jurisdiction with two or more years of continuous service (includes an employee of Westpac New Zealand Limited with two or more years of continuous service)

For a complete list of people who can certify your identification documents please refer to our website [bt.com.au/personal/help/how-to-certify-id.html](https://bt.com.au/personal/help/how-to-certify-id.html)

<sup>1</sup> Authorised to certify a copy of your document when overseas.

Post a signed copy of this completed form to BankSA Margin Lending, Reply Paid 1467, Royal Exchange NSW 1225