

# BankSA Customer Identification Procedure Form – Unregulated Australian Trusts.

## Section 1: Trust identification procedure (mandatory).

### 1.1 General information.

Account number (if known)

Full name of trust

Country where trust established

Full Business, trading or other name(s) other than the full name of the trust (if any)  
(if you have more than one, please attach a separate list)

Principal place of business (cannot be a PO Box)

State	Postcode	Country, if not Australia
-------	----------	---------------------------

Settlor of Trust\*

\* Settlor of Trust is a person responsible for providing (or 'settling') an initial sum of money or property to the trust.

Organisation

Name

Individual

Given name(s)

Surname

Verification source for Settlor of Trust (select one only and provide an original or certified copy)

Solicitor letter

Trust Deed

Settlement Deed

ABN (if any)

Industry type/classification

State/Territory, country (if not Australia) of registration

Date of registration (DD/MM/YYYY)

Mobile number

Email address

### 1.2 Trust description (select only one of the following).

Discretionary (including Family Trusts)

Other type – provide description

## Section 1: Trust identification procedure (mandatory) (continued).

### 1.3 Beneficiaries details.

How are the beneficiaries described in the trust deed

Membership of a class

Details of the class (e.g. family members, unit holders etc)

Named beneficiary

Full name of each beneficiary

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

Both membership of a class and named beneficiaries (complete details of class and full name of each beneficiary)

## Section 2: Trustee information (mandatory).

### 2.1 Individual trustee(s).

Provide the name(s) of all individual trustee(s) and **complete a separate BankSA Customer Identification Procedure Form – Individuals & Sole Traders** for each individual.

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

Tick here if there are more than four Individual Trustees and provide details on a separate sheet

### 2.2 Company trustee.

Provide the full name of the company trustee and **complete a BankSA Customer Identification Procedure Form – Australian Company**.

Full company name (as registered with ASIC)

Full business, trading or other name(s) under which the company carries on their business (if any)

ACN

ABN (if any)

### Section 3: Tax information (mandatory).

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

- Yes. Date the trust became a non-resident for tax purposes (complete section 3)
- No (proceed to section 4)

Provide the country/countries outside of Australia in which the trust 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](http://oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/tax-identification-numbers)

**Note:** If there are more than three countries in which the the trust 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 4: Beneficial ownership (mandatory).

Other than the individual trustees provided in section 2.1 (if applicable) or the beneficial owner(s) of the company trustee provided in section 2.2 (if applicable), are there any individuals who have the ability to add and/or remove the trustee(s) ('Appointers') or who have the capacity to make financial and operating decisions on behalf of the trust ('Other Individuals').

- Yes (complete 4.1)
- No (go to section 5)

#### 4.1 Beneficial ownership.

Please provide details of any additional individuals who are Beneficial Owners and **complete a separate BankSA Customer Identification Procedure Form – Individuals & Sole Traders** for each of these individuals.

Full given name	Middle name(s)	Surname	Role (e.g. Trustee, Appointer or Other Individual)

Tick here if there are more than four Beneficial Owners and provide details on a separate sheet.

**Section 5: Additional information (mandatory).****5.1 Source of funds.**

This refers to where the trust's funds came from in regard to deposits into the account. Please note the trust 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) |   |   |   |

**5.2 Source of wealth.**

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

- |  |   |  |   |
|--|---|--|---|
| <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"/> Insurance payment        | <input type="checkbox"/> Owns property     | <input type="checkbox"/> Compensation payment     |
| <input type="checkbox"/> Sale of assets                      | <input type="checkbox"/> Liquidation of assets    | <input type="checkbox"/> Gift/Donation     | <input type="checkbox"/> Mergers and acquisitions |
| <input type="checkbox"/> None                                | <input type="checkbox"/> Controlled money account |  |   |
| <input type="checkbox"/> Additional sources (Please specify) |   |  |   |

**5.3 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](https://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 6: Trust verification procedure (mandatory).****Information to be verified.**

- Full name of the Trust
- For all trustees, all of the information required to be verified for that customer type
- Full name of the settlor of the trust, unless the name is not required to be collected.

**Important.**

- Ensure individual Customer Identification Procedure Forms are provided by each of the individual trustees and beneficial owners.
- Ensure an Australian Company Customer Identification Procedure Form is provided for the company trustee.
- Ensure the ID is on a letterhead (where appropriate).
- 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.

**Section 6: Trust verification procedure (mandatory) (continued).**

Tick	Verification options (select one of the following options used to verify the Trust)
<input type="checkbox"/>	Trust Deed (or certified copy or certified extract) where the names of the trust, trustees, beneficiaries or membership class, settlor(s) where applicable, and execution page are evident
<input type="checkbox"/>	Settlement Deed or other document that contains a declaration of trust where the names of the trust and/or settlor(s) are evident
<input type="checkbox"/>	A notice issued by the ATO within the last 12 months (e.g. Notice of Assessment). Block out the TFN before copying and sending this document
<input type="checkbox"/>	ABN Lookup search
<input type="checkbox"/>	A letter from a solicitor or qualified accountant that confirms the name of the trust and/or settlor(s) within the last 12 months

**Section 7: 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)

X

Date (DD/MM/YYYY)

/ /

Full name

Position held (e.g. Trustee or Director)

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

X

Date (DD/MM/YYYY)

/ /

Full name

Position held (e.g. Trustee or Director)

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

X

Date (DD/MM/YYYY)

/ /

Full name

Position held (e.g. Trustee or Director)

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

X

Date (DD/MM/YYYY)

/ /

Full name

Position held (e.g. Trustee or Director)

## 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