

# Advance Alliance Investment Funds

## Advance Investment Funds

### Customer Identification

#### For Australian and Foreign Companies

# ADVANCE

Advance Asset Management Limited ABN 98 002 538 329 AFSL 240902

To comply with our obligations under the *Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF) Act 2006*, Advance customers must now complete a Customer Identification Form in addition to the application form.

This Customer Identification Form is to be completed for product applications relating to domestic and foreign companies only. Customer identification forms for other entity types can be downloaded from [advance.com.au](http://advance.com.au) or can be obtained from Advance Contact Centre on **1800 819 935**.

Please follow the instructions provided.

**Applications received without a completed Customer Identification Form and any necessary supporting documentation, from customers who are required to be identified, cannot be processed.**

#### INSTRUCTIONS AND CHECKLIST FOR COMPLETING THE CUSTOMER IDENTIFICATION FORM

#### WHO SHOULD COMPLETE THIS CUSTOMER IDENTIFICATION FORM

If you are an Australian or foreign company investing in a new Advance product.

#### IMPORTANT INFORMATION FOR INVESTORS

- If you are lodging your product application form through a financial adviser, please contact your financial adviser for further information.
- If you are lodging your product application form as a **direct investor** (without a financial adviser), you will need to complete **Section 1 or 2** of the Customer Identification Form only, and attach certified copies of your identity document(s). Please use the **checklist** provided below.

#### CHECKLIST FOR DIRECT INVESTOR

Before you send the Customer Identification Form, ensure that you have correctly completed all items on the **checklist** below. Ensuring that all information and documentation is provided will assist in a smooth application process.

This **checklist** section of this form is provided for your records and is not required by Advance to process your application.

- Complete **all** applicable fields in **Section 1 or 2** of the Customer Identification Form using the instructions provided.
- The following documents must be mailed to Advance:
  - completed Customer Identification Form
  - certified copies of your identification document(s) where required,  
and
  - product application form with any applicable documentation.

#### IMPORTANT INFORMATION FOR FINANCIAL ADVISERS

Advance will also accept identification from a correctly completed Investment and Financial Services Council/Financial Planning Association (FSC/FPA) identification form.

When using this Customer Identification Form, please complete **Sections 1 or 2 and 3**.

#### HOW TO CERTIFY YOUR DOCUMENTS

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

To certify a document, take the original document and a photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document. That person will need to print their name, date and the capacity in which they are signing (eg postal agent, Justice of the Peace). Sample wording is provided below.

**I, [full name], as [category of persons as listed below], certify that this [name of document] is a true and correct copy of the original [signature and date].**

**WHO CAN CERTIFY COPIES OF DOCUMENTS**

Legal	<ul style="list-style-type: none"><li>• a 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))</li><li>• a judge of a court</li><li>• a magistrate</li><li>• a chief executive officer of a Commonwealth court</li><li>• a registrar or deputy registrar of a court</li><li>• a notary public</li></ul>
JP	<ul style="list-style-type: none"><li>• a Justice of the Peace</li></ul>
Police	<ul style="list-style-type: none"><li>• a police officer</li></ul>
Accountant	<ul style="list-style-type: none"><li>• a member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants Australia or the National Institute of Accountants with two or more years of continuous membership</li></ul>
Post office	<ul style="list-style-type: none"><li>• an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li><li>• a 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</li></ul>
Diplomatic service	<ul style="list-style-type: none"><li>• an Australian consular officer</li><li>• an Australian diplomatic officer (within the meaning of the <i>Consular Fees Act 1985</i>)</li></ul>
Financial corporations (bank, building society, credit union)	<ul style="list-style-type: none"><li>• an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the <i>Statutory Declaration Regulations 1993</i>)</li><li>• a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the <i>Statutory Declaration Regulations 1993</i>)</li><li>• 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.</li></ul>



## 1.5 SHAREHOLDERS

To be completed for proprietary companies that are not regulated companies as selected in Section 1.2.

Provide details of **all individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

### 1 SHAREHOLDER 1

Full given name(s)

Surname

Residential address (PO Box is **not** acceptable)

State

Postcode

Country, if not Australia

### 2 SHAREHOLDER 2

Full given name(s)

Surname

Residential address (PO Box is **not** acceptable)

State

Postcode

Country, if not Australia

### 3 SHAREHOLDER 3

Full given name(s)

Surname

Residential address (PO Box is **not** acceptable)

State

Postcode

Country, if not Australia

## SECTION 1B: VERIFICATION PROCEDURE – AUSTRALIAN COMPANY

- Complete either Part A or Part B to tell us what document you are sending us or the verification method Advance should perform.
- Contact us if you are unable to provide the required documents.
- **If instructed to provide certified copies of documents**, please refer to the 'How to certify your documents' section for information on how to do this.

### PART A – ACCEPTABLE DOCUMENT

Cross X	Verification options: Select <b>ONE</b> of the following options used to verify the company
<input type="checkbox"/>	Certified copy of the certification of registration issued by ASIC.
<input type="checkbox"/>	Perform a search of the relevant database (Advance to perform for direct customers).

OR

### PART B – ALTERNATIVE ACCEPTABLE DOCUMENT

**For a company which is an Australian listed company or majority owned subsidiary of an Australian listed company, or is a regulated company (ie licensed by an Australian, Commonwealth, state or territory statutory authority)**

Cross X	Verification options: Select <b>ONE</b> of the following options used to verify the company.
<input type="checkbox"/>	Public document issued by the relevant company.
<input type="checkbox"/>	Perform a search of the relevant market/exchange (Advance to perform for direct customers).
<input type="checkbox"/>	Perform a search of the relevant database (Advance to perform for direct customers).
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, state or territory statutory regulator (Advance to perform for direct customers).

## SECTION 2: FOREIGN COMPANIES

To be completed if company is a foreign company.

### SECTION 2A: COMPANY DETAILS

#### 2.1 GENERAL INFORMATION

Full name of foreign company

Country of formation/incorporation/registration

- Select [**X**] if registered by a foreign body and provide name of body

## 2.2 IS THE FOREIGN COMPANY REGISTERED WITH ASIC?

Select  **ONE** of the following.

<input type="checkbox"/> <b>YES</b>	<p>Provide ARBN</p> <input style="width: 100%;" type="text"/> <p>Provide <b>either</b> (cross one box):</p> <p><input type="checkbox"/> Principal place of business address in Australia <b>OR</b> <input type="checkbox"/> Local agent name and address details</p> <p>Address (PO Box is <b>not</b> acceptable)</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 80%;"></td> <td style="width: 10%; text-align: center;"><i>State</i></td> <td style="width: 10%; text-align: center;"><i>Postcode</i></td> </tr> <tr> <td>Country, if not Australia</td> <td colspan="2"></td> </tr> </table> <p>Name of local agent in Australia</p> <input style="width: 100%;" type="text"/>		<i>State</i>	<i>Postcode</i>	Country, if not Australia		
	<i>State</i>	<i>Postcode</i>					
Country, if not Australia							
<input type="checkbox"/> <b>NO</b>	<p>Provide company identification number (if any) issued by the foreign registration body</p> <input style="width: 100%;" type="text"/> <p>Principal place of business in the company's country of formation or incorporation (PO Box is <b>not</b> acceptable)</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 80%;"></td> <td style="width: 10%; text-align: center;"><i>State</i></td> <td style="width: 10%; text-align: center;"><i>Postcode</i></td> </tr> <tr> <td>Country, if not Australia</td> <td colspan="2"></td> </tr> </table>		<i>State</i>	<i>Postcode</i>	Country, if not Australia		
	<i>State</i>	<i>Postcode</i>					
Country, if not Australia							

## 2.3 REGISTERED ADDRESS OF COMPANY

- Provide the registered address as registered with ASIC.
- If the company is **not** registered with ASIC, provide the registered address in the country of formation, incorporation (if any).

Registered office address (PO Box is **not** acceptable)

	<i>State</i>	<i>Postcode</i>
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## 2.4 REGULATORY/LISTING DETAILS

Select  the following categories that apply to the company and provide the information requested.

<input type="checkbox"/> Regulated company <i>(licensed by an Australian Commonwealth, state or territory statutory regulator)</i>	<p>Regulator name</p> <input style="width: 100%;" type="text"/> <p>Licence details</p> <input style="width: 100%;" type="text"/>
<input type="checkbox"/> Listed on a major financial market	<p>Name of market/exchange</p> <input style="width: 100%;" type="text"/>
<input type="checkbox"/> Majority-owned subsidiary of an Australian listed company	<p>Australian listed company name</p> <input style="width: 100%;" type="text"/>
	<p>Name of market/exchange</p> <input style="width: 100%;" type="text"/>

## 2.5 COMPANY TYPE

Select  only **one** of the following categories and provide any information requested.

<input type="checkbox"/> Public	<b>➤ Go to Section 2.6 below</b>
<input type="checkbox"/> Private/Proprietary	<b>➤ Go to Section 2.6 below</b>
<input type="checkbox"/> Other	<b>➤ Go to Section 2.6 below</b>

## 2.6 DIRECTORS

Complete for all companies other than public or listed companies.

How many directors are there?

Provide full name of each director below:

<b>1</b>	Full given name(s)
	<input style="width: 100%;" type="text"/>
	Surname
	<input style="width: 100%;" type="text"/>
<b>2</b>	Full given name(s)
	<input style="width: 100%;" type="text"/>
	Surname
	<input style="width: 100%;" type="text"/>
<b>3</b>	Full given name(s)
	<input style="width: 100%;" type="text"/>
	Surname
	<input style="width: 100%;" type="text"/>
<b>4</b>	Full given name(s)
	<input style="width: 100%;" type="text"/>
	Surname
	<input style="width: 100%;" type="text"/>

*If there are more directors, provide details on a separate sheet.*

- If the company is a regulated company (as selected in Section 2.4 above), go to Section 2B**
- For all other private, proprietary or other companies continue to Section 2.7 below**

## 2.7 SHAREHOLDERS

Complete for all companies other than public, listed or regulated companies.

Provide details of **all individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

### 1 SHAREHOLDER 1

Full given name(s)	
Surname	
Residential address (PO Box is <b>not</b> acceptable)	
State	Postcode
Country, if not Australia	

### 2 SHAREHOLDER 2

Full given name(s)	
Surname	
Residential address (PO Box is <b>not</b> acceptable)	
State	Postcode
Country, if not Australia	

### 3 SHAREHOLDER 3

Full given name(s)	
Surname	
Residential address (PO Box is <b>not</b> acceptable)	
State	Postcode
Country, if not Australia	

## SECTION 2B: VERIFICATION PROCEDURE – FOREIGN COMPANY

- Complete Part A, Part B or Part C to tell us what documents you are sending us or the verification method Advance should perform.
- Contact us if you are unable to provide the required documents.
- **Do not send original documents, only certified copies.** Please refer to the 'How to certify your documents' section for information on how to do this.

### PART A – ACCEPTABLE ID DOCUMENTS For a foreign company registered with ASIC

Cross X	Verification option: Select this option if the foreign company is registered with ASIC
<input type="checkbox"/>	A certified copy of the certification of registration issued by ASIC or by the relevant foreign registration body.
<input type="checkbox"/>	A disclosure certificate from the company given by an individual acting as agent of the company where the agent has been verified. Contact Advance Contact Centre for more information.
<input type="checkbox"/>	Perform a search of the relevant foreign registration body (Advance to perform for direct customers).

**OR**

### PART B – ACCEPTABLE ID DOCUMENTS or a foreign company NOT registered with ASIC

Cross X	Verification option: Select this option if the foreign company is not registered with ASIC.
<input type="checkbox"/>	A certified copy of the certification of registration issued by the relevant foreign registration body.
<input type="checkbox"/>	A disclosure certificate from the company given by an individual acting as agent of the company where the agent has been verified. Contact Advance Contact Centre for more information.
<input type="checkbox"/>	Perform a search of the relevant foreign registration body (Advance to perform for direct customers).

**OR**

### PART C – ACCEPTABLE ID DOCUMENTS For a listed company, a majority owned subsidiary of an Australian listed company or a regulated company

Cross X	Verification option
<input type="checkbox"/>	A public document issued by the relevant company.
<input type="checkbox"/>	Perform a search of the relevant financial market (Advance to perform for direct customers).
<input type="checkbox"/>	Perform a search of the relevant ASIC database (Advance to perform for direct customers).
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, state or territory statutory regulator (Advance to perform for direct customers).

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

**SECTION 3: FINANCIAL ADVISER USE ONLY**

• **Option 1** – Financial advisers can complete Section 3B as outlined below. Please ensure that you indicate which document(s) you have sighted or which search was performed as set out in Section 1B or Section 2B of this form. Enclose the completed verification procedure with your client’s product application form and mail to Advance. **This method is preferred by Advance.**

**OR**

• **Option 2** – Financial advisers can send Advance copies of the documents received from the client with this completed Customer Identification Form and the product application form. Documents must be provided in line with Section 1B or Section 2B of this form.

**SECTION 3A: VERIFICATION REQUIREMENTS FOR DOMESTIC AND FOREIGN COMPANIES**

**1 DOMESTIC COMPANY VERIFICATION PROCEDURE**

**Standard verification procedure**

Verify:

- 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.

**Alternative verification procedure**

For a company which is an Australian listed company, a majority owned subsidiary of an Australian listed company or is a regulated company (ie licensed by an Australian Commonwealth, state or territory statutory regulator).

Verify that the company is:

- an Australian listed company (if applicable)
- a majority owned subsidiary of an Australian listed company (if applicable)
- a regulated company (if applicable).

**2 FOREIGN COMPANIES VERIFICATION PROCEDURE**

**Standard verification procedure – for Foreign Companies registered with ASIC**

Verify:

- the full name of the company as registered by ASIC
- the ARBN issued to the company
- whether it is registered by a foreign registration body and, if so, whether it is registered as a private company or a public company.

**Standard verification procedure – for Foreign Companies NOT registered with ASIC**

Verify:

- the full name of the company
- whether it is registered by a foreign registration body and if so
  - whether it is registered as a private company or a public company
- the identification number issued to the company.

**SECTION 3B: RECORD OF VERIFICATION PROCEDURES**

ID DOCUMENT DETAILS	Document 1
Verified from	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer/website	
Public document type	
Issue/search date (dd/mm/yyyy)	
Accredited English translation	<input type="checkbox"/> n/a <input type="checkbox"/> Sighted
ID DOCUMENT DETAILS	Document 2
Verified from	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer/website	
Public document type	
Issue/search date (dd/mm/yyyy)	
Accredited English translation	<input type="checkbox"/> n/a <input type="checkbox"/> Sighted

**SECTION 3C: FINANCIAL ADVISER DETAILS**

Identification and verification conducted by:

Date verified (dd/mm/yyyy)

/  /

Financial Adviser’s name

AFS licensee name

AFSL number

Phone number

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