

GUIDE TO COMPLETING THIS FORM

- > Complete this form using **black pen** – print in clear **CAPITAL LETTERS**.
- > Once completed, follow the instructions on the back page to return your form to Advance.
- > Questions? Call our Customer Relations team on **1800 819 935** or email **investorservices@advance.com.au**.

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

This Customer Identification Form is to be completed by individuals, sole traders and joint investors only. Customer identification forms for other entity types can be downloaded from **advance.com.au** or can be obtained from our Customer Relations 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

PLEASE NOTE THAT THIS FORM CANNOT BE FAXED OR EMAILED.

Who should complete this Customer Identification Form

If you are an individual, sole trader or joint investor 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** 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** 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)
 - Product application form (except online applications) with any applicable documentation.

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

1. 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)
2. A judge of a court
3. A magistrate
4. A chief executive officer of a Commonwealth court
5. A registrar or deputy registrar of a court
6. A Justice of the Peace
7. A notary public
8. A Police Officer
9. An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. A permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
11. An Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. A bank or building society officer with 2 or more years continuous years of service (includes acceptable international bank)
13. A finance company officer with 2 or more continuous years of service (includes acceptable international bank)
14. An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees
15. A member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants
16. A Commissioner for Declarations
17. A Commissioner for Affidavits



Important information for financial advisers

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

1A: CUSTOMER INFORMATION

Full given name(s) (must complete)

Surname (must complete)

Alternate name(s) (if any)

Daytime phone number

Date of birth (dd/mm/yyyy)

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

	State	Postcode
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Country, if not Australia	
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Occupation

Employment Type

Full time Part time

Casual Self employed

Temporary Retired

Student Social security recipient

Unemployed Dependent contractor

Independent contractor Other (home duties/work compensation/etc.)

Is the Individual a tax resident of any other country outside of Australia?

Yes No

If yes, please indicate the country(ies) in which they are a resident for tax purposes and each country's associated Tax Identification Number (**TIN**).

If a 'TIN' is not available, please specify one of the following reasons against the appropriate country:

Reason 1: Foreign TIN not issued by this country

Reason 2: Individual is under age (applies to individuals only)

Reason 3: Foreign TIN pending issue by the country's tax authority

Country of Tax Residency

Tax Identification Number (TIN)* OR TIN not applicable reason (see reason above)

Reason 1 Reason 2 Reason 3

Country of Tax Residency

Tax Identification Number (TIN)* OR TIN not applicable reason (see reason above)

Reason 1 Reason 2 Reason 3

* A Foreign TIN is an identifying number or equivalent issued by the Individuals country of tax residency that is used for tax purposes.

Note: if the Individual has more than 2 countries in which they are a tax resident, please photocopy this section to provide more details.

Our Reporting Obligations:

We are required to identify tax residents of a country(ies) other than Australia in order to meet account information reporting requirements under local and international laws.

If at any time after account opening, information in our possession suggests that you, the entity and/or any individual who holds ownership and/or control in the entity of 25% or more (Controlling Person/Beneficial Owner) may be a tax resident of a country(ies) other than Australia, you may be contacted to provide further information on your foreign tax status and/or the foreign tax status of the entity and/or any Controlling Person/Beneficial Owner. Failure to respond may lead to certain reporting requirements applying to the account.

By completing this application you certify that if at any time there is a change to the foreign tax status details for you, the entity and/or any controlling persons/beneficial owner, you will inform the bank. You also certify that if at any time there is a change of a controlling person/s/ beneficial owner/s in your entity, you will inform the bank.

A controlling person/beneficial owner refers to the individual(s) that directly or indirectly owns a legal interest in the entity of 25% or more and/or exercises actual effective control over the entity, whether from an economic or other perspective such as through voting rights. In addition, in the case of a trust, a controlling person/beneficial owner includes the settlor(s), trustee(s), appointer(s), protector(s), beneficiary(ies) or classes of beneficiaries and in the case of an entity other than a trust, the term includes persons in equivalent or similar positions.

1B: SOLE TRADER DETAILS (IF APPLICABLE)

Complete this section if you are a sole trader.

Full business name (if any)

Australian Business Number (ABN)

Principal place of business (if any) (PO Box is **not** acceptable)

	State	Postcode
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Country, if not Australia	
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Industry



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1C: VERIFICATION PROCEDURE

Please send us certified copies of documents that show your full name and **either** your date of birth **or** residential address.

- > Complete Part A to tell us what documents you are sending us.
- > If you cannot send us a certified copy of a document from Part A, then complete either Part B or Part C.
- > Contact us if you are unable to provide the required documents in Parts A, B or C.
- > **Do not send original documents, only certified copies.** Please refer to the 'How to certify your documents' section for more information.

PART A – ACCEPTABLE PRIMARY ID DOCUMENTS

Cross X	Select ONE valid option from this section only
<input type="checkbox"/>	Certified copy of an Australian State/Territory driver's licence containing a photograph of the person.
<input type="checkbox"/>	Certified copy of an Australian passport (a passport that has expired within the preceding two years is acceptable).
<input type="checkbox"/>	Certified copy of a card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person.
<input type="checkbox"/>	Certified copy of a foreign passport or similar travel document containing a photograph and the signature of the person.*
<input type="checkbox"/>	Foreign driver's licence/permit that contains a photograph of the person in whose name it issued and the individual's date of birth*
<input type="checkbox"/>	National identity card issued by a foreign government, the United Nations or an agency of the United Nations which contains either a signature OR a unique identifier of the person*

OR

PART B – ACCEPTABLE SECONDARY ID DOCUMENTS

Should only be completed if you do not send a certified copy of a document from Part A or Part C

Cross X	Select ONE valid option from this section
<input type="checkbox"/>	Certified copy of an Australian birth certificate
<input type="checkbox"/>	Certified copy of an Australian citizenship certificate
<input type="checkbox"/>	Certified copy of a Pension card issued by Centrelink
<input type="checkbox"/>	Certified copy of a Health card issued by Centrelink
<input type="checkbox"/>	Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations*
<input type="checkbox"/>	Citizenship certificate issued by a foreign government*

AND

Cross X	ONE valid option from this section
<input type="checkbox"/>	Certified copy of a document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.
<input type="checkbox"/>	Certified copy of a document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document.

<input type="checkbox"/>	Certified copy of a document issued by a local government body or utilities provider within the preceding three months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).
<input type="checkbox"/>	If under the age of 18, certified copy of a notice that was issued to the individual by a school principal within the preceding three months; and contains the name and residential address; and records the period of time that the individual attended that school.
<input type="checkbox"/>	Foreign driver's licence which does not contain a photograph
<input type="checkbox"/>	Department of Veterans' Affairs pension concession card (Australian)
<input type="checkbox"/>	A current tenancy/lease agreement (must not be cancelled or expired)
<input type="checkbox"/>	Medicare card
<input type="checkbox"/>	Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages
<input type="checkbox"/>	Identification card issued to a student at an Australian higher education institution (TAFE or University) which contains a photograph and signature
<input type="checkbox"/>	A current card issued under a Commonwealth, State, or Territory law for the purpose of identification, for a government service, or as a licence

* Documents written in any other language but English must be accompanied by an English translation prepared by an accredited translator.

1D: SOURCE OF FUNDS/WEALTH (MUST COMPLETE)

PART A – SOURCE OF FUNDS

<input type="checkbox"/> Salary/Wages	<input type="checkbox"/> Commission
<input type="checkbox"/> Bonus	<input type="checkbox"/> Business income/earnings
<input type="checkbox"/> Business profits	<input type="checkbox"/> Investment income/earnings
<input type="checkbox"/> Rental income	<input type="checkbox"/> Superannuation/Pension
<input type="checkbox"/> Loan	<input type="checkbox"/> Insurance payment
<input type="checkbox"/> Compensation payment	<input type="checkbox"/> Government benefits
<input type="checkbox"/> Sale of assets	<input type="checkbox"/> Liquidation of assets
<input type="checkbox"/> Redundancy	<input type="checkbox"/> Inheritance
<input type="checkbox"/> Gift/Donation	<input type="checkbox"/> Windfall
<input type="checkbox"/> Tax refund	
<input type="checkbox"/> Additional source (provide source)	<input style="width: 100%;" type="text"/>

AND

PART B – PRIMARY SOURCE OF WEALTH

<input type="checkbox"/> Employment income/earnings	<input type="checkbox"/> Redundancy
<input type="checkbox"/> Business income/earnings	<input type="checkbox"/> Business profits
<input type="checkbox"/> Investment Income/earnings	<input type="checkbox"/> Rental Income
<input type="checkbox"/> Superannuation/Pension	<input type="checkbox"/> Insurance Payment
<input type="checkbox"/> Compensation Payment	<input type="checkbox"/> Government benefits
<input type="checkbox"/> Owns real estate/property	<input type="checkbox"/> Sale of assets
<input type="checkbox"/> Liquidation of assets	<input type="checkbox"/> Inheritance
<input type="checkbox"/> Gift/Donation	<input type="checkbox"/> Windfall
<input type="checkbox"/> Additional source (provide source)	<input style="width: 100%;" type="text"/>



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2: FINANCIAL ADVISER USE ONLY

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

OR

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

2A: RECORD OF VERIFICATION PROCEDURE

Verify the **individual’s** full name; and **either** their date of birth **or** residential address.

ID document details – Document 1

Verified from

Original Certified copy

Document issuer

Issue date (dd/mm/yyyy)

Expiry date (dd/mm/yyyy)

Document number

Accredited English translation

n/a Sighted

ID document details – Document 2

Verified from

Original Certified copy

Document issuer

Issue date (dd/mm/yyyy)

Expiry date (dd/mm/yyyy)

Document number

Accredited English translation

n/a Sighted

2B: FINANCIAL ADVISER DETAILS

Identification and verification conducted by:

Date of birth (dd/mm/yyyy)

Financial adviser’s name

AFS licensee name

AFSL number

Phone number

SEND THIS COMPLETED FORM TO:

By Post: Advance Asset Management
GPO Box B87
Perth WA 6838

FOR FURTHER ASSISTANCE CONTACT:

CUSTOMER RELATIONS
1800 819 935
FAX
02 9274 5211

EMAIL ADDRESS
investorservices@advance.com.au
INTERNET ADDRESS
advance.com.au

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ASSET MANAGEMENT



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