

IDENTIFICATION FORM: CUSTODIANS (INCLUDING IDPS & MDA SERVICES)

GUIDE TO COMPLETING THIS FORM

- o This form is for AUSTRALIAN REGULATED CUSTODIANS only. Australian Regulated Custodians include those companies holding an AFSL licensing them to provide custodial or depository services, registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.
- o For Custodians or Nominees that do not meet the above conditions, complete the UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM.
- o Collect information about the Custodian. The identity of the Custodian must be verified (not the underlying client).
- o Tax information must be collected from an authorised representative of the underlying client.
- o Complete all applicable sections of this form in BLOCK LETTERS.

SECTION 1: REGULATED CUSTODIAN IDENTIFICATION PROCEDURE

Section 1.1: General Information

Full name of Custodian	<input type="text"/>
Country where Custodian established (only required if not Australia)	<input type="text"/>
Full business name of trustee in respect of the trust (if any)	<input type="text"/>

Section 1.2: Type of Custodian

Tick ✓	Select one of the following type of Custodian
<input type="checkbox"/>	Australian Regulated Custodian Provide the Australian Financial Services Licence No (AFSL) <input type="text"/>
<input type="checkbox"/>	Foreign Corporate Custodian Provide Australian Registered Scheme Number (ARSN) <input type="text"/>
<input type="checkbox"/>	Investor Directed Portfolio Service (IDPS) Provide the Australian Financial Services Licence No (AFSL) <input type="text"/>
<input type="checkbox"/>	Managed Discretionary Account (MDA) Service Provide the Australian Financial Services Licence No (AFSL) <input type="text"/>

If you do not satisfy any of the above, you should complete the **UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM**, rather than this form.

1.2.1 Company Details

Full name as registered by ASIC	<input type="text"/>				
Provide ACN or ARBN	<input type="text"/>				
Registered Office Address (PO Box is <u>not</u> acceptable)	<input type="text"/>				
Street	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>				
Principal Place of Business (if any) (PO Box is <u>not</u> acceptable)	<input type="text"/>				
Street	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>				

1.2.2 Company Type (Select one of the following company types)

- Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies), proceed to section 2
- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to section 1.2.3

1.2.3 Directors (To be completed for proprietary companies, not required for public companies as per 1.2.2)

Provide the names of all directors.

	Full given name(s)	Surname
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

If there are more directors, provide details on a separate sheet and tick this box .**SECTION 2: TAX INFORMATION**

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

2.1 Tax Status

Provide the Trust's Global Intermediary Identification Number (GIIN), if applicable

If the Trust is a Financial Institution but does not have a GIIN, provide its FATCA status (select ONE of the following statuses)

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Exempt Beneficial Owner
- Non Reporting IGA Financial Institution
(If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN)
- Nonparticipating Financial Institution
- Other (describe the Trust's FATCA status in the box provided)

SECTION 3: CUSTODIAN VERIFICATION PROCEDURE

Please provide a signed statement on company letterhead, signed by an authorised signatory, confirming:

- o Full name of the Custodian
- o That the Custodian is:
 - A company
 - Holds an AFSL to provide custodial or depository service or a foreign corporate custodian that are authorised to provide custodial or depository services in Australia without an AFS licence under certain exemptions in the Corps Act and specific class orders
 - Either: satisfy the 'geographical link' test or have certified that they are enrolled on AUSTRAC's Reporting Entities Roll
 - Has carried out all applicable customer identification procedures and ongoing customer due diligence requirements in accordance with Chapter 15 of the AML/CTF Rules in relation to your underlying customers prior to, or at the time of, becoming a customer.