

## CUSTOMER IDENTIFICATION FORM INDIVIDUALS AND SOLE TRADERS

Please note that we **CANNOT** process your application unless the information requested in this form has been provided.

This form is for individuals, sole traders, joint investors or beneficial owners.  
If you are applying on behalf of another type of entity, you must also download  
and complete the relevant customer identification form from  
[www.perpetual.com.au/customer-id](http://www.perpetual.com.au/customer-id)

Alternatively, to order a form or if you have any questions, phone:  
Investor Services 1800 022 033  
Adviser Services 1800 062 725

### About this customer identification form

This form has been designed to meet Perpetual's obligations under the Anti-Money Laundering and Counter Terrorism Financing Act (2006) (AML Act) to identify our customers.

The AML Act regulates financial services and transactions in a way that is designed to detect and prevent money laundering and terrorism financing.

Under the AML Act, we are required to:

- verify your identity before providing services to you, and to re-identify you if we consider it necessary to do so
- where you supply documentation relating to your identity, keep a record of this documentation for seven years after the end of your relationship with Perpetual.

This form also meets our customer identification obligations under the United States (US) Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Additional tax information is available on our website at [www.perpetual.com.au/tax](http://www.perpetual.com.au/tax).

### Privacy

Perpetual is committed to protecting your privacy.

By completing this form, you authorise us to collect your personal information. If you are completing this form as an adviser for another person, you confirm that you have provided them with this privacy notification and that they have consented to us collecting their personal information.

We collect, use and disclose your personal information in accordance with our privacy policy, which includes details about how you may request access to and correct the information that we hold about you. Our policy also outlines our privacy complaints process. This policy is publicly available at our website or you can obtain a copy free of charge by contacting us.

### Checklist

You must complete the following steps to ensure your application is processed:

- complete **ALL** required sections in this customer identification form
- provide certified copies of document(s), as requested in this customer identification form, either to us or to your financial adviser
- enclose this completed form with your completed Investment application form and send to Perpetual.

Please provide your client ID number or account number (if you have one): \_\_\_\_\_



## CUSTOMER IDENTIFICATION FORM INDIVIDUALS AND SOLE TRADERS

- Complete one form for each individual.
- Complete all applicable sections of this form in **BLOCK LETTERS**.
- Tax information collected in this form must be obtained from the customer.

### Section 1: Individual and sole trader details

#### Section 1.1: Personal details

title	Mr	Mrs	Miss	Ms	Other		date of birth	dd / mm / yyyy
first name(s)								
last name								
occupation								
Residential address (PO Box is <b>NOT</b> acceptable)								
street								
suburb (if relevant) <b>OR</b> city							state	postcode
country								

#### Section 1.2: Sole trader details (if applicable)

full business name (if any)								
ABN (if any)								
Principal place of business (if any) (PO Box is <b>NOT</b> acceptable)								
street								
suburb (if relevant) <b>OR</b> city							state	postcode
country								

### Section 1.3: Tax information

*Tax Residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency. Tax information requested in this form is explained on our website at [www.perpetual.com.au/tax](http://www.perpetual.com.au/tax).*

Please answer **both** tax residency questions:

Are you a tax resident of Australia?

Yes

No

Are you a tax resident of another Country?

Yes

No

**If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.**

*A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.*

1. Country

TIN

If no TIN, list reason A, B or C

2. Country

TIN

If no TIN, list reason A, B or C

3. Country

TIN

If no TIN, list reason A, B or C

If there are more countries, provide details on a separate sheet and tick this box

**Reason A** The country of tax residency does not issue TINs to tax residents

**Reason B** The individual has not been issued with a TIN

**Reason C** The country of tax residency does not require the TIN to be disclosed

## Section 2: Individual or sole trader identification documents

Please provide a certified copy of an identification document from Part I. If you do not have a document from Part I, please provide the documents listed in Part II **OR** Part III.

If you are a joint investor, each investor will need to provide the relevant documents.

- **If you are applying directly with Perpetual** – You will need to provide a certified copy of the document(s) with your application.
- **If you are lodging this application through a financial adviser** – You may provide a certified copy with your application **OR** have your adviser sight an original or certified copy of your document(s) and complete the Adviser Record of Verification section in this form.

### PART I – Primary ID documents

Provide **ONE** of the following:

- Australian State/Territory driver's licence containing your photograph (must be current)
- Australian passport (current or a passport that has expired within the preceding two years is acceptable)
- card issued under a State or Territory law for the purpose of proving a person's age containing your photograph (must be current)
- foreign passport or similar travel document containing your photograph and signature (must be current)

**OR**

### PART II – should only be completed if you do not own a document from Part I

Provide **ONE** of the following:

- Australian birth certificate
- Australian citizenship certificate
- Concession card such as a pension, health care or seniors health card issued by the Department of Human Services (excludes Medicare cards)

**AND** provide **ONE** document from the following:

- a document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to you and contains your name and residential address
- a document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by you to the Commonwealth (or by the Commonwealth to the individual), which contains your name and residential address
- a document issued by a local government body or utilities provider within the preceding three months which records the provision of services to your address or to you (the document must contain your name and residential address)

**OR**

### PART III – should only be completed if you do not own document(s) from Part I OR Part II

**BOTH** documents from this section must be provided

- foreign driver's licence that contains a photograph of you and your date of birth
- national ID card issued by a foreign government containing your photograph and your signature

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

## How to certify your documents

A certified copy means a document that has been certified as a true and correct copy of a document by a person listed below, including all persons described in the Statutory Declarations Regulations 1993.

To create a certified copy, one of the persons listed below must write the following on the copy of the document.

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

- An Australian bank, building society, credit union or finance company officer with a minimum of 2 years continuous service
- A fellow of the National Tax and Accountants' Association
- An Australian judge of a court, Justice of the Peace or magistrate
- An Australian legal practitioner
- A notary public
- An Australian medical practitioner including dentist, nurse, optometrist, pharmacist, physiotherapist, psychologist or veterinary surgeon
- A permanent employee or agent of the Australian Postal Corporation with a minimum of 2 years continuous service
- An Australian federal, state or territory police officer
- A teacher employed on a full-time basis at an Australian school or tertiary education institution
- An accountant who is a full member of the Chartered Accountants Australia and New Zealand, CPA Australia, the Institute of Public Accountants or the Association of Taxation and Management Accountants
- An Australian Consulate or Diplomatic Officer
- An officer or authorised representative of an Australian Financial Services Licence holder with a minimum of 2 years continuous service with one or more licensees
- A person in a country other than Australia who is authorised by local law to administer oaths or affirmations or to authenticate documents (please list the local law providing this authority when certifying the document)

### IMPORTANT: Please ensure that you have either

- enclosed certified copies of your identity documents **OR**
- agreed that your adviser will complete the Adviser Record of Verification procedure below.

## Section 3: Record of verification procedure (Adviser use only)

This section is to be used by Advisers (Australian Financial Services (AFS) licensees only) when a record of verification is provided, rather than certified copies of identity documentation.

ID document details	Document 1	Document 2
verified from	<input type="checkbox"/> original <input type="checkbox"/> certified copy	<input type="checkbox"/> original <input type="checkbox"/> certified copy
document name / type	<input type="text"/>	<input type="text"/>
document issuer	<input type="text"/>	<input type="text"/>
issue date	<input type="text" value="dd / mm / yyyy"/>	<input type="text" value="dd / mm / yyyy"/>
expiry date	<input type="text" value="dd / mm / yyyy"/>	<input type="text" value="dd / mm / yyyy"/>
document number	<input type="text"/>	<input type="text"/>
accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> sighted	<input type="checkbox"/> N/A <input type="checkbox"/> sighted

By completing and signing this Record of Verification Procedure I declare that:

- an identity verification procedure has been completed in accordance with AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative and
- the tax information provided is reasonable based on the documentation provided.

AFS licensee name	<input type="text"/>	AFSL number	<input type="text"/>
representative / employee name	<input type="text"/>	phone number	<input type="text"/>
signature	<input type="text"/>	date verification completed	<input type="text" value="dd / mm / yyyy"/>