

CUSTOMER IDENTIFICATION FORM AUSTRALIAN COMPANIES

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

If you are not an Australian company, you must download and complete the relevant customer identification form from 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.

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 AUSTRALIAN COMPANIES

- This form is for **AUSTRALIAN COMPANIES** only. For companies incorporated outside of Australia use the **FOREIGN COMPANIES IDENTIFICATION FORM**.
- Complete one form for each company.
- Complete separate **INDIVIDUAL ID** Forms for each of the company's **Beneficial Owners**.
- Tax information must be collected from an authorised representative of the Company.
- Complete all applicable sections of this form in **BLOCK LETTERS**.

Section 1: Australian company details

1.1: General information

full name as registered by ASIC

ACN

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

street

suburb (if relevant) state postcode
OR city

Principal place of business (if different to registered office) (PO Box is **NOT** acceptable)

street

suburb (if relevant) state postcode
OR city

principal business activity

Companies incorporated outside of Australia should complete the FOREIGN COMPANIES IDENTIFICATION FORM.

1.2: Company type

Select only **ONE** of the following categories

Proprietary (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) *Proceed to 1.3.*

Public (companies whose name does **NOT** include the word Pty or proprietary) *Proceed to 1.4.*

1.3: Directors

Required for all Proprietary Companies as per 1.2, **NOT** required for Public Companies

Provide the names of all directors

	first name(s)	last name
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

1.4: Listing and regulatory details

Select any of the following categories **if applicable**.

If the below categories are not applicable, proceed to section 1.5.

Australian public listed company (companies that are listed on an Australian financial market such as the ASX)

name of market/exchange

Proceed to section 2.

Majority-owned subsidiary of a Public Listed company (companies that are majority owned by a company that is listed on a financial market such as the ASX or a market with comparable disclosure requirements)

listed company name

name of market/exchange

Proceed to section 2.

Regulated company (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees)

regulator name

licence number (e.g. AFSL, ACL, RSE)

Proceed to section 2.

1.5: Beneficial Owners

To be completed for all companies that are not Australian Public Listed companies, majority owned by a Public Listed company or Regulated companies as per 1.4

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?

Yes (complete 1.5.1) No (complete 1.5.2)

1.5.1: Shareholder Beneficial Owners

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).

Complete separate Individual customer ID Forms for each of these individuals

	first name(s)	last name
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 Beneficial Owner name(s) are provided above, proceed to section 2.

1.5.2: Other Beneficial Owners

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control* the company.

** includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official(s) of the company (such as the managing director or directors who are authorised to sign on the company's behalf).*

Complete separate Individual customer ID Forms for each of these individuals

1.	first name(s) <input type="text"/>	last name <input type="text"/>
	role (such as Managing Director or Company Secretary) <input type="text"/>	
2.	first name(s) <input type="text"/>	last name <input type="text"/>
	role (such as Managing Director or Company Secretary) <input type="text"/>	
3.	first name(s) <input type="text"/>	last name <input type="text"/>
	role (such as Managing Director or Company Secretary) <input type="text"/>	
4.	first name(s) <input type="text"/>	last name <input type="text"/>
	role (such as Managing Director or Company Secretary) <input type="text"/>	

If there are more Beneficial Owners, 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). Tax information requested in this form is explained on our website at www.perpetual.com.au/tax.

2.1: Tax status

Tick ✓ **ONE** of the 4 Tax status boxes below (A-D) (if the company is a Financial Institution, please provide all the requested information below).

A **A Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA / CRS purposes).

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

If the company 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

Nonparticipating Financial Institution

Other

Describe the Company's FATCA status

If the company is a Financial Institution, proceed to section 3 to complete the form.

B **Australian Public Listed Company, Majority Owned Subsidiary of a Public Listed company or Australian Registered Charity** (Public listed companies or majority owned subsidiaries of public listed companies as per 1.4 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)

If the company type is listed above, proceed to section 3 to complete the form.

C **An Active Non-Financial Entity (NFE)**
(Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held were for the production of passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at www.oecd.org.)

If the company is an Active NFE, proceed to section 2.3 to complete the form.

D **Other** (Entities that are not previously listed – Passive Non-Financial Entities)

Proceed to section 2.2 (Foreign Beneficial Owners).

2.2: Foreign Beneficial Owners (Individuals)

Are any of the company's Beneficial Owners (as defined in 1.5) tax residents of countries other than Australia? Yes No

Tax Residency rules differ by country. Whether an individual is 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 also be as a result of citizenship or residency.

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in section 1.5).

	first name(s)	last name
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 Beneficial Owners, provide details on a separate sheet and tick this box

Proceed to section 2.3 (Country of tax residency).

2.3: Country of tax residency

Is the Company a tax resident of a country other than Australia? Yes No

If Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

If No, proceed to section 3 to complete the form.

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 an Employer Identification 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	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>

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 Company has not been issued with a TIN

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

Section 3: Australian company identification 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.

Provide **ONE** of the following:

- an original or certified copy of the certificate of registration issued by ASIC
- a public document issued by the relevant company (for Australian public listed company, a majority owned subsidiary of a listed company, or a regulated company)
- alternatively, if you have a financial adviser they may be able to perform a search of the relevant ASIC database or market/exchange.

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

- provided the individual customer ID Forms for the Company's Beneficial Owners as per 1.5 **AND**
- enclosed certified copies of the Company's identity documents **OR** agreed that your adviser will complete the Adviser Record of Verification procedure below.

Section 4: 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 (if applicable)
verified from	<input type="checkbox"/> performed search <input type="checkbox"/> original <input type="checkbox"/> certified copy	<input type="checkbox"/> performed search <input type="checkbox"/> original <input type="checkbox"/> certified copy
document issuer / website	<input type="text"/>	<input type="text"/>
public document type	<input type="text"/>	<input type="text"/>
issue date / search date	<input type="text" value="dd / mm / yyyy"/>	<input type="text" value="dd / mm / yyyy"/>
accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> sighted	<input type="checkbox"/> N/A <input type="checkbox"/> sighted
<p>By completing and signing this Record of Verification Procedure I declare that:</p> <ul style="list-style-type: none"> an identity verification procedure has been completed in accordance with AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative with; individual customer ID Forms have been provided for the company's Beneficial Owners (where applicable) 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"/>