

CUSTOMER IDENTIFICATION FORM UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

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

If you are not an unregulated trust or trustee, 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 UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

- This form is for all Trusts that are not subject to the oversight of an Australian statutory regulator. Self-managed superannuation funds (SMSFs), registered managed investment schemes, government superannuation funds or other regulated Trusts should complete the AUSTRALIAN REGULATED TRUSTS IDENTIFICATION FORM, rather than this form.
- Provide information about the Trust (Section 1) and complete the Trust verification procedure (Section 3).
- Provide details for ALL Trustees (Section 1.4) and provide a separate Customer ID Form for ONE of the Trustees.
- Provide details for the Trust's Beneficial Owners (Section 1.5) and provide separate INDIVIDUAL ID Forms for each of these Beneficial Owners.
- Tax information must be collected from an authorised representative of the Trust.
- Complete all applicable sections of this form in BLOCK LETTERS.

Section 1: Trust details

1.1: General information

full name of Trust	<input type="text"/>
full business name of the Trustee in respect of the Trust (if any)	<input type="text"/>
country where Trust established (if not established in Australia)	<input type="text"/>
principal business activity	<input type="text"/>
full name of settlor(s)*	<input type="text"/>

* The person(s) who settles the initial sum or assets to create the trust.

1.2: Type of unregulated trust

Select only **ONE** of the following Trust types and provide the information requested

<input type="checkbox"/> Family trust	
<input type="checkbox"/> Charitable trust	
<input type="checkbox"/> Testamentary trust	
<input type="checkbox"/> Other type (provide description)	<input type="text"/>

Self-managed superannuation funds, registered managed investment schemes, government superannuation funds or other regulated trusts should complete the **AUSTRALIAN REGULATED TRUSTS AND TRUSTEES ID** form, rather than this form.

1.3: Beneficiary details

Provide the names (1.3.1) and/or class(es) (1.3.2) of the Trust's beneficiaries. Both the names and classes of beneficiaries must be provided (if the Trust has both named and class(es) of beneficiaries).

1.3.1: Named beneficiaries

	first name(s) / entity 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"/>

1.3.2: Class(es) of beneficiaries

(e.g. unit holders, family members of named person, charitable organisations/causes)

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

1.4: Trustee details

Provide the name & residential/business addresses of **ALL** of the Trustees below. Complete a separate Customer ID Form for **ONE** of these Trustees*.

Trustee 1	Trustee 2	Trustee 3
first name(s) / company name <input type="text"/>	first name(s) / company name <input type="text"/>	first name(s) / company name <input type="text"/>
last name <input type="text"/>	last name <input type="text"/>	last name <input type="text"/>
residential / business address (PO Box is NOT acceptable) <input type="text"/>	residential / business address (PO Box is NOT acceptable) <input type="text"/>	residential / business w (PO Box is NOT acceptable) <input type="text"/>
suburb (if relevant) OR city state <input type="text"/> <input type="text"/>	suburb (if relevant) OR city state <input type="text"/> <input type="text"/>	suburb (if relevant) OR city state <input type="text"/> <input type="text"/>
country postcode <input type="text"/> <input type="text"/>	country postcode <input type="text"/> <input type="text"/>	country postcode <input type="text"/> <input type="text"/>

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

* A Customer ID form should be completed for **ONE** of the Trustees based on the nature of this Trustee. For example, an **INDIVIDUAL ID FORM** should be completed for a Trustee who is an individual or an **AUSTRALIAN COMPANY ID FORM** for a Trustee that is an Australian Company.

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 Trust is a Financial Institution, please provide all the requested information below).

A	Financial Institution (A custodial or depository institution, an investment entity or a specified insurance company for FATCA / CRS purposes)	
	Provide the Trust's Global Intermediary Identification Number (GIIN), if applicable	<input type="text"/>
	If the Trust is a Financial Institution but does not have a GIIN, provide its FATCA status. Select <input checked="" type="checkbox"/> ONE of the following statuses.	
<input type="checkbox"/>	Deemed Compliant Financial Institution	
<input type="checkbox"/>	Excepted Financial Institution	
<input type="checkbox"/>	Exempt Beneficial Owner	
<input type="checkbox"/>	Non Reporting IGA Financial Institution	If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN <input type="text"/>
<input type="checkbox"/>	Nonparticipating Financial Institution	
<input type="checkbox"/>	US Financial Institution	If you are a Specified US Person, provide your TIN <input type="text"/>
<input type="checkbox"/>	Other	Describe the Trust's FATCA status <input type="text"/>

PLEASE ANSWER THE QUESTION BELOW FOR ALL FINANCIAL INSTITUTIONS

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution? Yes No

*If Yes, proceed to section 2.2 (Foreign Controlling Persons).
If No, proceed to section 3 to complete the form.*

CRS participating and committed jurisdictions are on the Perpetual website at www.perpetual.com.au/crs-participating-jurisdictions

B	Australian Registered Charity or Deceased Estate	
	<i>If the Trust is an Australian Registered Charity or Deceased Estate, proceed to section 3 to complete the form.</i>	
C	A Foreign Charity or 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 .)	
	<i>If the Trust is a Foreign (non-Australian) Charity or an Active NFE, proceed to section 2.3 (Country of tax residency).</i>	
D	Other (Trusts that are not previously listed – Passive Non-Financial Entities)	
	<i>Proceed to section 2.2 (Foreign Controlling Persons).</i>	

2.2: Foreign Controlling Persons (Individuals)

Are any of the Trust's Controlling Persons tax residents of countries other than Australia?

Yes No

If the Trustee is a company, are any of this company's Controlling Persons tax residents of countries other than Australia?

Yes No

If No, please proceed to section 2.3.

* A Controlling Person is any individual who directly or indirectly exercises control over the Trust. For a Trust, this includes Trustees, Settlers, Protectors or Beneficiaries. For a Trustee company this includes any Beneficial Owners controlling more than 25% of the shares in the company or Senior Managing Officials.

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 is selected for either of the two questions above, please provide the details of these individuals below and complete a separate Individual Identification Form for each Controlling Person (unless already provided as a Beneficial Owner).

	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 controlling persons, provide details on a separate sheet and tick this box

Proceed to section 2.3.

2.3: Country of tax residency

Is the Trust a tax resident of a country other than Australia?

Yes No

If Yes, please provide the Trust's country of tax residence and tax identification number (TIN) or equivalent below. If the Trust 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 Trust has not been issued with a TIN
- Reason C** The country of tax residency does not require the TIN to be disclosed

Section 3: Trusts 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 of the document(s) with your application **OR** have your adviser sight an original or certified copy of your document(s).

Section 3.1: Unregulated trust identification documents

An original or certified copy of the Trust Deed **or if not reasonably available** an original or certified extract of the Trust Deed*. Extracts of Trust Deeds must include the name of the Trust, Trustees, Beneficiaries, Settlor(s) and Appointers (where applicable).

* 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

- provided a customer ID Form for ONE of the Trustees as per 1.4 **AND**
- provided the Individual customer ID Forms for the Trust's Beneficial Owners as per 1.5 **AND**
- attached a legible certified copy of the documentation used to verify the Trust (and any required translation) **OR** complete the Record of Verification Procedure in section 4 and **DO NOT** attach copies of ID Documents.

Section 4: Record of trust 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.

Please verify the existence of the Trust

ID document details	Document 1	Document 2 (if applicable)
verified from	<input type="checkbox"/> original <input type="checkbox"/> certified copy	<input type="checkbox"/> original <input type="checkbox"/> certified copy
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;
- customer ID Forms have been provided for one of the Trust's Trustees;
- individual Customer ID Forms have been provided for all of the Trust's Beneficial Owners and
- the tax information provided is reasonable considering 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"/>