

**AML IDENTIFICATION FORM FOR
INDIVIDUALS & SOLE TRADERS**



GUIDE TO COMPLETING THIS FORM

- Complete one form for each individual. Complete all applicable sections of this form in BLOCK LETTERS.
- Contact your licensee if you have any queries.

SECTION 1A: PRIMARY INVESTOR PERSONAL DETAILS

Surname		Date of Birth dd/mm/yyyy	
Full Given Name(s)			
Residential Address (PO Box is NOT acceptable)			
Street			
Suburb	State	Postcode	Country

SECTION 1A: SECONDARY INVESTOR PERSONAL DETAILS

Surname		Date of Birth dd/mm/yyyy	
Full Given Name(s)			
Residential Address (PO Box is NOT acceptable)			
Street			
Suburb	State	Postcode	Country

COMPLETE FOR SOLE TRADER (ONLY)

Full Business Name (if any)		ABN (if any)	
Principal Place of Business (if any) (PO Box is NOT acceptable)			
Street			
Suburb	State	Postcode	Country

SECTION 1B: VERIFICATION PROCEDURE

- Verify the **individual's** full name; and **EITHER** their date of birth or residential address.
- Complete Part I (or if the individual does not own a document from Part I, then complete either Part II or III.)
 - Contact your licensee if the individual is unable to provide the required documents.

PART I – ACCEPTABLE PRIMARY ID DOCUMENTS

Tick ✓	Select ONE valid option from this section only
<input type="checkbox"/>	Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	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"/>	Foreign passport or similar travel document containing a photograph and the signature of the person*

PART II – ACCEPTABLE SECONDARY ID DOCUMENTS – <i>should only be completed if the individual does not own a document from Part I</i>	
Tick ✓	Select ONE valid option from this section
<input type="checkbox"/>	Australian birth certificate
<input type="checkbox"/>	Australian citizenship certificate
<input type="checkbox"/>	Pension card issued by Centrelink
<input type="checkbox"/>	Health card issued by Centrelink
Tick ✓	AND ONE valid option from this section
<input type="checkbox"/>	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"/>	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. <i>Block out the TFN before scanning, copying or storing this document.</i>
<input type="checkbox"/>	A document issued by a local government body or utilities provider within the preceding 3 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, a notice that: was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school

PART III – ACCEPTABLE FOREIGN ID DOCUMENTS – <i>should only be completed if the individual does not own a document from Part I</i>	
Tick ✓	BOTH documents from this section must be presented
<input type="checkbox"/>	Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth*
<input type="checkbox"/>	National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued*

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

SECTION 1C: RECORD OF VERIFICATION PROCEDURE

IMPORTANT:

- **Attach** a legible copy of the ID documentation used to verify the individual (and any required translation).
- **Alternatively, if agreed** between your licensee and the product issuer, complete the ID Document Details below, and **DO NOT** attach copies of the ID Documents.

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 Issuer		
Issue Date		
Expiry Date		
Document Number		
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

SECTION 1D: CERTIFIER DETAILS – identification and verification conducted by:

Date Verified (dd/mm/yyyy)			
Certifier's Name*		Phone No.	
AFS Licensee Name		AFSL No.	

*Certifiers: (1) solicitor or barrister, as a legal practitioner (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 (for the purposes of the *Statutory Declaration Regulations 1993*) (8) a police officer (9) an agent at the Australian Office (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) an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*) (13) a finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the *Statutory Declaration Regulations 1993*) (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, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.