

# Essential Options

## AML/CTF and VOI Identification Form

### Form A – AML/CTF and VOI Identification Form for Individuals

Individual's name	
Residential address	
Date of birth	
Is the individual a US citizen or resident?	
Is the individual a politically exposed person (PEP) or a relative of a PEP? If so, insert nature of exposure.	
If a sole trader any business name, ABN and principal place of business (if not the residential address above)	
Place of identification	Interview conducted by video conference for the following reason:
Date of identification	

**Original identification documents sighted via video.** Tick the grey boxes to indicate the documents sighted.

Documents used to identify	Australian passport or foreign passport	Australian driver license or photo card	Change of name certificate or marriage certificate (if required)	Medicare, Centrelink or DVA card	Full birth certificate, citizenship certificate or descent certificate	Full birth certificate	Another form of government issued photographic identity document	Foreign passport only	Another form of government issued document or Local government or utilities provider bill (less than 3 months) recording provision of services to the person at the address
The documents required to identify the individual for each category are marked in grey.  Start with category 1. If the individual cannot provide every document highlighted in this category move to category 2, and so on.									
<b>Category 1</b>									
<b>Category 2</b>									
<b>Category 3</b>									
<b>Category 4: Option (a)</b>									
<b>Category 4: Option (b)</b>									
<b>Category 5: Option (a) – non Australian citizens</b>									
<b>Category 5: Option (b) – non Australian citizens</b>									

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The Identifier certifies as follows.

1. This identification relates to the Individual named above.
2. The identification was carried out on the date above via video conference.
3. The identification documents listed above were reviewed by me prior to the video conference and appear to be genuine originals. I have attached copies of these documents.
4. The person being identified appears to have similar facial characteristics to the person in the photographs included in the identity documents referred to above (if any).

The Individual's name, and either date of birth or address matches the information shown in the identification documents

Signed:

\_\_\_\_\_

Identifier

Identifier's full name	
Identifier's address	
Identifier's occupation	
Identifier's email address	
Identifier's phone number	

### Instructions on use of this form.

1. A separate form should be completed for each individual (natural person). See Form B for companies and trusts.
2. Copies of the identification documents should be certified as follows. '*I certify that this copy is a complete and accurate copy of the original seen by me*'. [add for documents with photographs] '*The photograph is a true likeness of the person seen by me*'.
3. All documents produced must be current except that an expired Australian Passport which has not been cancelled and was current within the preceding two years is acceptable.
4. If the mortgage will be signed by attorney(s), VOI the attorney(s).

### Form B – Companies, Trusts

#### CUSTOMER NAME

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<b>Company (Pty and Ltd)</b>	Complete this form for the company <b>plus</b> Form A for each individual who: <ul style="list-style-type: none"> <li>• will sign a mortgage by the company over real estate;</li> <li>• <b>ultimately</b> owns 25% or more of the company, or</li> <li>• controls the company; or</li> <li>• will be an account signatory.</li> </ul>	
<b>Trust</b>	Complete this form for the trust <b>plus</b> the company section of this form if the trustee is a company <b>plus</b> Form A for each individual who: <ul style="list-style-type: none"> <li>• is a trustee;</li> <li>• is intending to sign a mortgage by the trustee over real estate;</li> <li>• <b>ultimately</b> owns 25% or more of the trust;</li> <li>• controls the trust; or</li> <li>• will be an account signatory.</li> </ul>	

#### COMPANIES

<b>Company name and ACN</b>	
<b>Registered office in Australia</b>	
<b>Principal place of business in Australia</b>	
<b>Names of all directors of the company (Pty Ltd only)</b>	
<b>Name and residential address of <i>ultimate beneficial owners</i> owning 25% of more of the company</b>	
<b>Name and residential address of any individual having control of the company</b>	

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Own your dream

TRUSTS	
Trust name	
Trustee name(s) - person or corporate	
Type of trust	
Country where the trust was established	
Full name of the settlor of the trust, if the settlor contributed AUD \$10,000 or more to the trust, unless the settlor is deceased	
Name of <i>ultimate beneficial owners</i> owning 25% or more of the trust	
Full name of the natural person appointor or other person who has control of the trust	
Name of <i>ultimate beneficial owners</i> owning 25% or more of the trustee	
Full name of all beneficiaries. (No need to complete Form A or verify identity. For family discretionary trusts, collect the full name only for only the principal beneficiaries.)	