



**CROMWELL**  
FUNDS MANAGEMENT

# INVESTOR IDENTIFICATION FORM AUSTRALIAN REGULATED TRUSTS (INCLUDING SMSF)

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Issued by Cromwell Funds Management Limited

ABN 63 114 782 777

AFSL 333214

# Investor Identification

In 2006 the Federal Government enacted the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth) (AML/CTF Act). The purpose of this legislation is to enable Australia's financial sector to maintain international business relationships, detect and prevent money laundering and terrorism financing by meeting the needs of law enforcement agencies and to bring Australia in line with international standards.

## Why does this legislation affect Cromwell?

As Cromwell Funds Management (CFM) is the responsible entity for investment products, we have to meet stringent investor identification and verification requirements. This means that prior to units in any Cromwell-managed fund being issued, we must be 'reasonably satisfied' that investors are who they claim to be.

## What do you need to do?

If you invest in the Fund through a financial adviser or an investor directed portfolio service (IDPS) facility then they will request and collect any verification materials. If you are investing directly, you need to complete the Identification Form and provide certified copies of identification documents which relate to the type of entity making the investment:

Type of Entity	Forms to be completed
Individual / Joint Investors (each applicant must complete a form)	IDENTIFICATION FORM: Individual & Sole Traders Form
Australian Companies	IDENTIFICATION FORM: Australian Companies Form
Australian Regulated Trusts (including Self Managed Super Funds)	IDENTIFICATION FORM: Australian Regulated Trusts (including Self Managed Super Funds) Form
Unregulated Australian Trusts and Foreign Trusts (e.g. Family, Unit and Testamentary Trusts)	IDENTIFICATION FORM: Unregulated Australian Trusts and Foreign Trusts Form

## Not on the list?

If you are investing via a type of entity not listed above, please phone Cromwell on 1300 268 078 to discuss which form is appropriate for your needs or visit [www.cromwell.com.au](http://www.cromwell.com.au) for a complete list of Investor Forms.

We may request additional information from you where we reasonably consider it necessary to satisfy our obligations under the AML/CTF Act, and applications will not be processed until the necessary information is provided.

## Who is allowed to certify AML/CTF Identification documents?

- ..... a Justice of the Peace
- ..... a Commissioner for Declarations
- ..... a member of the Institution of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants
- ..... a person who is enrolled on the roll of the Supreme Court of a State or Territory, or High Court of Australia, as a legal practitioner (however described)
- ..... a judge of a court or a magistrate
- ..... a permanent employee of Australia Post employed in an office supplying postal services to the public with 5 years continuous service

- ..... a full time teacher at a school or tertiary institution
- ..... a police officer
- ..... a person who, under a law in force in a State or Territory, is currently licenced or registered to practice one of the following occupations: Chiropractor, Dentist, Medical practitioner, Nurse, Optometrist, Pharmacist, Physiotherapist, Psychologist, Veterinary surgeon
- ..... 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
- ..... any other persons mentioned in Part 1 and Part 2 of the *Statutory Declarations Regulations 1993* (Cth)- Schedule 2.

## Politically exposed person (PEP) means an individual:

- 1) who holds a prominent public position or function in a government body or an international organisation, including:
  - a) Head of State or head of a country or government; or
  - b) government minister or equivalent senior politician; or
  - c) senior government official; or
  - d) Judge of the High Court of Australia, the Federal Court of Australia or a Supreme Court of a State or Territory, or a Judge of a court of equivalent seniority in a foreign country or international organisation; or
  - e) governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia; or
  - f) senior foreign representative, ambassador, or high commissioner; or
  - g) high-ranking member of the armed forces; or
  - h) board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and
- 2) an immediate family member of a person referred to in paragraph (1), including:
  - a) a spouse; or
  - b) a de facto partner; or
  - c) a child and a child's spouse or de facto partner; or
  - d) a parent; and
- 3) a close associate of a person referred to in paragraph (1), which means any individual who is known (having regard to information that is public or readily available) to have:
  - a) joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph (1); or
  - b) sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph (1).

## A "beneficial owner":

- 1) an individual who owns or controls (directly or indirectly) a reporting entity;
- 2) an individual who ultimately owns or controls (directly or indirectly) the customer;
- 3) in this definition, control includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating practices; and
- 4) in this definition, "owns" means ownership (either directly or indirectly) of 25% or more of an entity.

# IDENTIFICATION FORM - AUSTRALIAN REGULATED TRUSTS (INCLUDING SMSF)



## GUIDE TO COMPLETING THIS FORM

- This form is for Australian Regulated Trusts only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator. For Trusts that are not subject to the oversight of an Australian regulator, complete the Unregulated Australian Trusts and Foreign Trusts form.
- Collect information about the Trust and one Trustee. The identity of the Trust must be verified.
- Complete Sections 1, 4, 5 and either 2 or 3.
- Complete this form using BLACK INK and write clearly within the boxes in CAPITAL LETTERS.
- Contact the Cromwell's Investor Services Team on 1300 268 078 if you have any queries.

## PART 1

### TRUST DETAILS

#### 1.1 GENERAL INFORMATION

Full name of trust

Full business name (if any)

Country where trust established

#### 1.2 TYPE OF REGULATED TRUST

Select only ONE of the following trust categories and provide the information requested.

**Self-Managed Superannuation Fund**

Provide the SMSF's ABN

**Registered managed investment scheme**

Provide Australian Registered Scheme Number (ARSN)

**Unregistered managed investment scheme** (a managed investment scheme that is not registered by ASIC, that only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporation Act 2001 applies)

Provide Scheme's ABN

**Government superannuation fund**

Provide name of the legislation establishing the fund

**Other regulated trusts** (a trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator, e.g. APRA - regulated superannuation fund)

Provide name of the regulator (e.g. ASIC, APRA, ATO)

Provide the trust's ABN or registration / licensing details

# IDENTIFICATION FORM - AUSTRALIAN REGULATED TRUSTS (INCLUDING SMSF)

## TRUSTEE DETAILS

- Complete either Section 2 or 3
- The information is required for only ONE Trustee, even if the Trust has a number of Trustees.
- Individual Trustees → go to Section 2
- Company Trustees → go to Section 3

## PART 2

### INDIVIDUAL DETAILS (TO BE COMPLETED IF SELECTED TRUSTEE IS AN INDIVIDUAL)

#### INDIVIDUAL 1

Surname		Date of Birth (dd/mm/yyyy)			
<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Title	Full Given Name(s)				
<input type="text"/>	<input type="text"/>				
<b>Residential Address</b> (PO Box is NOT acceptable)					
Street					
<input type="text"/>					
Suburb	State	Postcode	Country		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		

#### INDIVIDUAL 2

Surname		Date of Birth (dd/mm/yyyy)			
<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Title	Full Given Name(s)				
<input type="text"/>	<input type="text"/>				
<b>Residential Address</b> (PO Box is NOT acceptable)					
Street					
<input type="text"/>					
Suburb	State	Postcode	Country		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		

## PART 3

### AUSTRALIAN COMPANY DETAILS (TO BE COMPLETED IF SELECTED TRUSTEE IS AN AUSTRALIAN COMPANY)

#### 3.1 GENERAL INFORMATION

Full name as registered by ASIC			
<input type="text"/>			
ACN			
<input type="text"/>			
<b>Registered office address</b> (PO Box is NOT acceptable)			
Street			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Principal place of business (if any)</b> (PO Box is NOT acceptable)			
Street			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

#### 3.2 COMPANY TYPE

Select only ONE of the following categories.

- Public**      Go to Part 3.3
- Proprietary**      Go to Part 3.4

# IDENTIFICATION FORM - AUSTRALIAN REGULATED TRUSTS (INCLUDING SMSF)

## 3.3 REGULATORY / LISTING DETAILS

If the company is regulated or listed, select the relevant category and provide the information requested.

**Regulated company** (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence details

**Australian listed company**

Name of market / exchange

**Majority-owned subsidiary of an Australian listed company**

Australian listed company name

Name of market / exchange

## 3.4 DIRECTORS

To be completed for proprietary companies only, not required for public companies as per Part 3.2.

How many directors are there?

**Provide full name of each director below**

Surname

Full given name(s)

1

2

3

4

5

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

## 3.5 BENEFICIAL OWNERS

To be completed for proprietary companies only, not required for public companies per Section 3.2.

Provide details of ALL individuals who are ultimately beneficial owners through one or more share holdings of more than 25% of the company's issued capital, (through direct or indirect share holdings).

### Beneficial owner 1

Surname

Full given name(s)

### Beneficial owner 2

Surname

Full given name(s)

### Beneficial owner 3

Surname

Full given name(s)

### Beneficial owner 4

Surname

Full given name(s)

# IDENTIFICATION FORM - AUSTRALIAN REGULATED TRUSTS (INCLUDING SMSF)

## PART 4

## TAX INFORMATION

### 4.1 TAX STATUS

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete Part 4 and can proceed to Part 5.

Provide the Trust or trustee's Global Intermediary Identification Number (GIIN), if applicable

If the Trust or trustee 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 FATCA status in the box provided)

## PART 5

## DECLARATION

By completing and signing this form, I declare the tax information provided is accurate.

Date

 /  / 

Name

If a Company Officer or Trustee, you MUST specify your title:

Director  Sole Director and Company Secretary

Trustee  Other

Date

 /  / 

Name

If a Company Officer or Trustee, you MUST specify your title:

Director  Company Secretary

Trustee  Other