

Know Your Customer (KYC) Process

Legal Entity	Collect	Verify
Individual	Full name, Residential address, DOB	Residential address or DOB
Sole Trader	Full name, residential address or trading address, DOB	Residential address or DOB
Company	Company's full name, trading and registered address, ACN	Trading and registered address, ASIC registration, directors' details
Registered Foreign Companies	<ol style="list-style-type: none"> Company's full name, Address of the company's Australian registered office Or <ol style="list-style-type: none"> Company's main place of business in Australia or address of the company's local Australian agent ARBN Country where the company was registered Where the company is registered by the relevant foreign registration body, if so, is it private, public 	<ol style="list-style-type: none"> ARBN Relevant foreign registration body
Unregistered Foreign Companies	<ol style="list-style-type: none"> Company's full name Company's trading/business address Country where the company was formed/base Identification number issued to the company Company is registered as private, public, or other If private, then collect name of each director 	<ol style="list-style-type: none"> Company's full name Identification number issued to the company (tax number) Is registered company private, public or other
Partnerships	<ol style="list-style-type: none"> Full name of the partnership Registered business name Full name of each partner Residential address of each partner Country name where the partnership was established Full name, residential address, DOB for one of the partners 	<ol style="list-style-type: none"> Full name of the partnership Residential address or DOB for one of the partners
Trust	<ol style="list-style-type: none"> Full name of the trust and type of the trust Full business name Full name and Address of all trustees Settlor of the trust, unless: <ol style="list-style-type: none"> The settlor is deceased Or The trust verified by simplified trustee verification process Material asset contribution less than \$10K 	<ol style="list-style-type: none"> Full name of the trust Verify the settlor of the trust Residential address or DOB for sole trustee
Incorporate Associations	<ol style="list-style-type: none"> Full name of the association Full name of the chair, secretary, treasurer or equivalent officer (in each case) Collect one of the following: <ol style="list-style-type: none"> Full address of the registered office or principal place of administration (if any) (only one of these is required) Residential address of the public officer Residential address of the president, secretary or treasurer (if no public officer) (only one of these required) Obtain unique identifying number issued to the association by the incorporating state, territory or overseas incorporation body 	<ol style="list-style-type: none"> Full name of the association Identify number issued to the association by the incorporating state, territory or overseas incorporation body

KYC process cont'd

Legal Entity	Collect	Verify
Unincorporated Associations	<ol style="list-style-type: none"> 1. Full name of the association 2. Full name of the chair, secretary, treasurer or equivalent officer 3. Address of the principal place of administration (if any) 4. Full name, Residential address, DOB, of a member of the unincorporated association acting as a customer 	<ol style="list-style-type: none"> 1) Full name of the association 2) Residential address or DOB of a customer acting as member of the unincorporated association
Registered Co-operatives	<ol style="list-style-type: none"> 5. Full name of the co-operative 6. Full name of the chair, secretary and treasurer or equivalent officer (in each case) 7. Collect one of the following: <ol style="list-style-type: none"> A. Full address of the co-operative's registered office B. Principal place of operations (if any) C. Residential address of the co-operative's secretary D. If the co-operative doesn't have a secretary, collect the residential address of the president or treasure 8. Collect unique identifying number issued to the co-operative when it was registered by the state, territory or overseas 'registration body' 	<ol style="list-style-type: none"> 1) Verify full name of the co-operative 2) Verify any unique identifying number issued to the co-operative when it was registered by the state, territory or overseas 'registration body'
Government Bodies	<ol style="list-style-type: none"> 1. Full name of the government body 2. A separate legal entity, agency or authority; and OR 3. Established under legislation of the Australian Government, state or territory or a foreign country; and if so the name of the state, territory or foreign country 	<ol style="list-style-type: none"> 1) Full name of the trust 2) Verify the settlor of the trust 3) Residential address or DOB for sole trustee
Agents	<ol style="list-style-type: none"> 1. Full name of each agent acting on behalf of a customer seeking a designated service(s) 2. Collect evidence (if any) that the agent is authorized to act on the customer's behalf 	N/A
Unincorporated Associations	<ol style="list-style-type: none"> 1. Full name of the association 2. Full name of the chair, secretary, treasurer or equivalent officer 3. Address of the principal place of administration (if any) 4. Full name, Residential address, DOB, of a member of the unincorporated association acting as a customer 	<ol style="list-style-type: none"> 1) Full name of the association 2) Residential address or DOB of a customer acting as member of the unincorporated association