

# Customer Identification Verification Form

Individual, joint investors or sole trader



## Important information

This Verification form is provided to collect the necessary customer information as required under the Anti-Money Laundering and Counter Terrorism Financing Act (2006) and related rules and guidance from AUSTRAC (AML/CTF requirements). This verification form must be completed along with your application form. For your application to be processed by Aviva Investors Australia Limited you must ensure that both forms are completed and forwarded to us.

## When completing this form

- If you are investing through a financial adviser, then please ensure your financial adviser completes Parts A, B, C and D.
- If you are not investing through a financial adviser, then please ensure that you complete Parts A and E only.
- Please provide this Verification form and a legible copy of the certified identification document(s), if required, to Aviva Investors Australia Limited with a completed application form.

### Part A - Customer

#### Customer 1

Title  First Name(s)  Surname

Date of Birth  /  /

Residential address (PO box is not accepted)

State  Postcode  Suburb

Country

#### Customer 2

Title  First Name(s)  Surname

Date of Birth  /  /

Residential address (PO box is not accepted)

State  Postcode  Suburb

Country

In addition, if you are a sole trader, please complete the section below

Full business name  Australian Business Number

Principal place of business (PO box is not accepted)

State  Postcode  Suburb

Country

## Adviser only

### Part B - Confirmation

- I confirm that I have completed an appropriate customer identification procedure for the client listed above as prescribed within the AML/CTF requirements. I also confirm that the customer identification documents sighted were correctly certified and were verifiable against the client details provided in the application form.

### Part C - Record of identification procedure

#### Copy of ID document(s):

- Not attached**

Please do not tick this box unless you (as Licensee) or your adviser group has signed a commercial agreement with Aviva Investors Australia Limited for the purposes of collecting customer information under the AML/CTF requirements. By ticking this box you acknowledge that, as per the original commercial agreement, you will collect, verify and store the relevant customer information for AML purposes on Aviva Investors' behalf. By ticking this box you also agree to provide Aviva Investors access to the stored customer information should we request it. If you have ticked this box, please complete the following table.

ID Document details	Document 1	Document 2
Verified from	<input type="checkbox"/> Certified original <input type="checkbox"/> Copy	<input type="checkbox"/> Certified original <input type="checkbox"/> 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

- Attached** (This is not necessary if you have signed a commercial agreement with Aviva Investors as per above.)

Please provide documentation for an individual where required (see page 3 for details about ID documents).

### Part D - Financial adviser details

#### Identification and verification was conducted by:

Financial adviser's name

Telephone

AFS Licensee name

Adviser number

Adviser  
signature

Date   /   /

## Part E - Customer identification procedure

I/We confirm that I/we have attached certified customer ID documents as requested.

Customer 1  Date  /  /   
Signature

Customer 2  Date  /  /   
Signature

**For each customer, please provide one document from the list below.**

### (i) Photographic primary ID documents (Provide ONE valid document from this selection only):

- Current driver's licence/permit issued by a State or Territory containing a photograph of the person.
- Australian passport (a passport that has expired within the preceding two years is acceptable).
- Card issued under a State or Territory for the purpose of providing a person's age containing a photograph of the person (eg proof of age card).
- Current foreign driver's licence, passport or similar travel document containing the photograph and the signature of the person in whose name the document was issued.\*
- National identity card issued by a foreign government containing a photograph of the person in whose name the card was issued.\*

**If you cannot provide a document listed above, please provide a document for each customer from Part ii (a) AND Part ii (b) below.**

### (ii) (a) Primary non-photographic ID documents (Provide ONE valid document from this section):

- Birth certificate or birth extract.\*
- Citizenship certificate issued by the Commonwealth.
- Citizenship certificate issued by a foreign government.\*
- Pension card issued by Centrelink.
- Health card issued by Centrelink.

**AND**

### (ii) (b) Secondary ID documents (Provide ONE valid document from this section):

- A notice 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 contains the individual's name and residential address.
- A notice 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.
- A notice issued by a local government body or utilities provider within the preceding three 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).

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

Please refer overleaf to find out who can certify customer ID documents.

## **Who can certify customer ID documents?**

**Under the AML/CTF requirements the following “authorised individuals” are able to certify proof of ID documents:**

1. a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)
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 Declarations Regulations 1993)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. a permanent employee of the Australian Postal Corporation with two 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 two 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 two 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 two or more continuous years of service with one or more licensees; and
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.

**When certifying documents, the following process must be followed:**

- All copied pages of original proof of ID documents must be certified.
- The authorised individual must ensure that the original and the copy are identical; then write or stamp on the copied document “certified true copy”. This must be followed by the date and signature, printed name and qualification of the authorised individual.
- In cases where an extract of a document is photocopied to verify customer ID, the authorised individual should write or stamp “certified true extract”.