



MAPLE-BROWN ABBOTT

INVESTMENT MANAGERS SINCE 1984

Customer Identification for Individuals, Joint Investors and Sole Traders

To comply with our obligations under the *Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF) Act 2006*, Maple-Brown Abbott customers must complete customer identification in addition to the Initial Application Form.

To comply with our obligations under the United States legislation, *Foreign Account Tax Compliance Act 2010 (FATCA)* or corresponding Australian legislation, we must ask certain information about each investor, and where applicable, obtain certain details from the relevant investors.

YOU MUST COMPLETE CUSTOMER IDENTIFICATION AS PART OF THE APPLICATION PROCESS. CUSTOMER IDENTIFICATION FORMS FOR OTHER ENTITY TYPES ARE AVAILABLE ON OUR WEBSITE.

COMPLETE THIS FORM IN CLEAR CAPITAL LETTERS.

SECTION 1: INVESTOR DETAILS

SECTION 1A: INDIVIDUAL

COMPLETE A SEPARATE FORM FOR EACH INDIVIDUAL OR JOINT INVESTOR.

Title

Mr Mrs Miss Ms Other

Full given name(s)

Surname

Contact number

()

Date of birth (dd/mm/yyyy)

Residential address (PO Box **not** acceptable)

State

Postcode

Country

SECTION 1B: INDIVIDUAL AS A SOLE TRADER

Title

Mr Mrs Miss Ms Other

Full given name(s)

Surname

Contact number

()

Date of birth (dd/mm/yyyy)

Residential address (PO Box **not** acceptable)

State

Postcode

Country

Full business name

Australian Business Number (ABN)

Principal Place of Business (PO Box **not** acceptable)

State

Postcode

Country

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SECTION 2: TAX INFORMATION

Tax Residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

Please answer both tax residency questions:	<input checked="" type="checkbox"/>
Is the individual a tax resident of Australia?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is the individual a tax resident of another Country?	Yes <input type="checkbox"/> No <input type="checkbox"/>

If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Reason A	The country of tax residency does not issue TINs to tax residents
Reason B	The individual has not been issued with a TIN
Reason C	The country of tax residency does not require the TIN to be disclosed

Country

TIN

If no TIN, list reason A, B or C

Country

TIN

If no TIN, list reason A, B or C

Country

TIN

If no TIN, list reason A, B or C

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

SECTION 3: IDENTITY VERIFICATION FOR INDIVIDUALS AND SOLE TRADERS

YOU CAN CHOOSE TO HAVE YOUR IDENTITY VERIFIED ELECTRONICALLY OR BY PROVIDING CERTIFIED COPIES OF CERTAIN DOCUMENTS.

SECTION 3A: ELECTRONIC VERIFICATION

If you wish to provide consent for us to confirm your identity using electronic verification, please complete and sign below.

I consent to Maple-Brown Abbott confirming my identity electronically.

Signature

Full name (PLEASE PRINT)

Drivers Licence No. (if held)
Issue

State of

Electronic Verification

Under the AML/CTF Act we can disclose your name, residential address and date of birth to a credit reporting agency. The purpose of this disclosure is to request the credit reporting agency to make an assessment on whether the personal information so disclosed matches (in whole or part) the personal information contained in a credit reporting file or other data base in possession of the credit reporting agency. This electronic verification process assists us in verifying your identity.

The credit reporting agency we engage may prepare and provide us with such an assessment by using the personal information about you and the names, residential address and dates of birth contained in credit information files of other individuals. We will only use the assessment by the reporting entity for the purpose of verifying your identity for the purposes of the AML/CFT Act.

SECTION 3B: CERTIFIED COPIES

Do not send original documents, only certified copies.

PART A – ACCEPTABLE PRIMARY ID DOCUMENTS

<input checked="" type="checkbox"/>	Select ONE of the following
<input type="checkbox"/>	Certified copy of an Australian State/Territory driver's licence containing a photograph of the person.
<input type="checkbox"/>	Certified copy of an Australian passport (a passport that has expired within the preceding two years is acceptable).
<input type="checkbox"/>	Certified copy of a 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"/>	Certified copy of a foreign passport or similar travel document containing a photograph and the signature of the person*.

* Documents written in any other language but English must be accompanied by an English translation prepared by an accredited translator.

OR

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PART B – ACCEPTABLE SECONDARY ID DOCUMENTS

Should only be completed if you do not send a certified copy of a document from Part A or Part C

<input checked="" type="checkbox"/>	Select ONE of the following
<input type="checkbox"/>	Certified copy of an Australian birth certificate.
<input type="checkbox"/>	Certified copy of an Australian citizenship certificate.
<input type="checkbox"/>	Certified copy of a Pension card issued by Centrelink.
<input type="checkbox"/>	Certified copy of a Health card issued by Centrelink.

AND

<input checked="" type="checkbox"/>	Select ONE of the following
<input type="checkbox"/>	Certified copy of 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"/>	Certified copy of 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. Block out the TFN before scanning, copying or storing this document.
<input type="checkbox"/>	Certified copy of 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, certified copy of 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 C – ACCEPTABLE FOREIGN ID DOCUMENTS

Should only be completed if you do not send a certified copy of a document from Part A or Part B

<input checked="" type="checkbox"/>	Select ONE of the following
<input type="checkbox"/>	Certified copy of a Foreign driver's licence* that contains a photograph of you and your date of birth.
<input type="checkbox"/>	Certified copy of a National ID card* issued by a foreign government containing your photograph and your signature.

* Documents written in any other language but English must be accompanied by an English translation prepared by an accredited translator.

Contact us if you are unable to provide any of the required documents.

HOW TO CERTIFY YOUR DOCUMENTS

A certified copy is a document that has been certified as a true copy of an original document.

To certify a document, take the original document and a photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document. That person will need to print their name, date and the capacity in which they are signing (eg postal agent, Justice of the Peace). Sample wording follows.

I, [full name], as [category of persons as listed below], certify that this [name of document] is a true and correct copy of the original [signature and date].

WHO CAN CERTIFY COPIES OF DOCUMENTS

Legal	<ul style="list-style-type: none"> > A solicitor or barrister (that is, 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)) > A judge of a court > A magistrate > A chief executive officer of a Commonwealth court > A registrar or deputy registrar of a court > A notary public
JP	> A Justice of the Peace
Police	> A police officer
Accountant	> A member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants Australia or the National Institute of Accountants with two or more years of continuous membership
Post office	<ul style="list-style-type: none"> > An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public > 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
Diplomatic service	<ul style="list-style-type: none"> > An Australian consular officer > An Australian diplomatic officer (within the meaning of the Consular Fees Act 1985)
Financial corporations (bank, building society, credit union)	<ul style="list-style-type: none"> > An officer with two or more years of continuous service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993) > A finance company officer with two or more years of continuous service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993) > An officer with, or authorised representative of, a holder of an Australian Financial Services Licence, having two or more years of continuous service with one or more licensees