LIFE INSURANCE

Identification for Australian trusts and trustees

Policy number

Policy number

Policy number

Policy number

You can also arrange for your financial adviser to identify you by completing the appropriate FSC Identification form.

We respect your privacy and handle your information in accordance with our privacy policy. The MLC Limited Privacy Policy is available at **mlcinsurance.com.au/privacy-policy**

Section 1: Trust details

1. General Details

Full name of trust

Full business name (if any) of the trustee

Country where trust established

2. Type of trust

Please select the type of trust. You can choose only **one**.

2.1 Regulated trusts

Please select the type of regulated trust.

- ☐ **Self-Managed Superannuation fund**
  Provide the SMSF's ABN
- ☐ **Registered managed investment scheme**
  Provide Australian Registered Scheme Number (ARSN)
- ☐ **Government Superannuation fund**
  Provide name of the legislation establishing the fund
- ☐ **Unregistered managed investment scheme**
  Provide the scheme's ABN
- ☐ **Other regulated trust** (A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund)

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

Provide the trust's ABN or registration/licensing details

Please go to **Section 2: Regulated trust details**

Trustee
Equity Trustees Superannuation Limited
ABN 50 055 641 757 AFSL 229757

Fund
Smart Future Trust
ABN 68 964 712 340

Insurer
MLC Limited
ABN 90 000 000 402 AFSL 230694

Insurance is issued by MLC Limited. MLC Limited uses the MLC brand under licence from the Insignia Financial Group. MLC Limited is part of the Nippon Life Insurance Group and is not a part of the Insignia Financial Group.

Section 1: Trust details continued

OR

2.2. Unregulated trusts

Full name of Settlor/s.

The person/s who settles the initial sum or assets to create the trust.

Please select the type of unregulated trusts.

☐ Family trust ☐ Charitable trust ☐ Testamentary trust

☐ Other Provide description

Please go to **Section 3: Unregulated trust details**

Section 2: Regulated trust details

1. Settlor details

Provide the names of the person who settled the initial sum or assets to create the trust.

2. Beneficiary details

Provide the names and/or class/es of the trust's beneficiaries. Both the names and classes of beneficiaries must be provided (if the trust has both named and class/es of beneficiaries).

Class/es of beneficiaries

Provide full name of each beneficiary

	Full given name(s)	Surname
1		
2		
3		
4		

If there are more beneficiaries please attach a separate list.

3. Beneficiary owners of the trust

Provide the names of the individuals who ultimately own or control the trust.

Provide full name and date of birth of each beneficiary.

	Full given name(s)	Surname	Date of birth
1			
2			
3			
4			

If there are more beneficial owners, please attach a separate list.

Section 2: Regulated trust details continued

4. Trustee details

You need to provide details of **one** of your trustees (even if the trust has a number of trustees).

Please choose the type of trustee.

☐ **Individual trustee**

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other ☐

First name

Middle name

Last name

Date of Birth

Email

Home telephone

Business telephone

Mobile

Residential address - PO Box is **not** acceptable

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Please go to **5 FATCA**

OR

☐ **Company trustee**

Please complete the **Company details**, below.

Australian Company trustees should provide the information below. A Foreign Company trustee, must also complete the **Identification for a Foreign Company** in addition to this form. This also is available on **mlcinsurance.com.au/proof-of-identity**

Company details

Full name as registered by ASIC

ACN

Register address (Can not be a PO Box)

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Principal Place of Business (if any) (Can not be a PO Box)

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Company type

Public ☐ Companies whose name does **not** include the word Pty or proprietary; generally listed companies. Please go to **Regulatory/Listing details**.

Proprietary ☐ Companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies. Please complete the details below.

Directors

To be completed for proprietary companies, not required for public companies as above.
Provide full name of each Director.

	Full given name(s)	Surname
1		
2		
3		
4		

If there are more directors, provide a separate list.

Please go to **Beneficial owners**

Regulatory/Listing details

If the company is regulated or listed, please select the relevant category (if applicable) and provide the information required.

☐ **Regulated company**
A company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body.

Examples include:

- Australian Financial Services Licensee (AFSL)
- Australian Credit Licensees (ACL), or
- Registrable Superannuation Entity (RSE) Licensees.

Regulator name

Licence details

☐ **Australian Public Listed company**
A company that is listed on an Australian financial market such as the ASX.

Name of market/exchange

☐ **Majority owned subsidiary of an Australian Public Listed company**
A company that is majority owned by an Australian company that is listed on an Australian financial market such as the ASX.

Australian listed company name

Name of market/exchange

If you have selected one of the above regulated/listed company types above proceed to **5. FATCA**.
if not, proceed to **Beneficial owners** below.

Beneficial owners of the Trustee Company

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed company or Regulated Companies as above.

Are there any individuals who ultimately own or control (directly or indirectly) through one or more shareholdings 25% or more of the company's issued share capital?

Yes ☐ Please complete **Shareholder beneficial owners**

No ☐ Please complete **Other beneficial owners**

Section 2: Regulated trust details continued

Sharehold beneficial owners

Provide the names of the individuals who ultimately own or control (directly or indirectly) through one or more shareholdings 25% or more of the company's issued share capital.

Full name

Date of birth (DD/MM/YYYY)

Residential address - PO Box is **not** acceptable

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Full name

Date of birth (DD/MM/YYYY)

Residential address - PO Box is **not** acceptable

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Full name

Date of birth (DD/MM/YYYY)

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

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Full name

Date of birth (DD/MM/YYYY)

Residential address - PO Box is **not** acceptable

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Proceed to **5. FATCA**

Section 2: Regulated trust details continued

Other beneficial owners

Provide the name of the most senior managing official of the company (such as the managing director or director who is authorised to sign on the company's behalf).

Full name

Date of birth (DD/MM/YYYY)

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

Unit number

Street number

Street name

Suburb

State

Postcode

Country

Proceed to **5. FATCA**

5. FATCA – US Foreign Account Tax Compliance Act

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete this question and can proceed to **6. Trust identification documents**. We are required to report details of Trusts applicable for US tax purposes to the Australian Taxation Office (ATO) which may, in turn, report you to the United States tax authority.

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

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If the Trust or Trustee is a financial institution but does not have a GIIN, provide its FATCA status. Please select **one** of the options below.

- ☐ Deemed compliant financial institution
- ☐ Excepted financial institution
- ☐ Exempt beneficial owner
- ☐ Non reporting IGA financial institution
- ☐ Non participating financial institution
- ☐ Other (describe the FATCA status in the box provided)

For more information on FATCA go to **ato.gov.au**

6. Trust identification documents

We'll also need identification documents for your Trust. Please check the list below and attach your documents to this form.

Tick (✓)	**Please provide ONE of the following documents**
☐	An original or certified copy of the trust deed or if not reasonably available an original or certified extract of the trust deed.
☐	A copy of an offer document of the managed investments scheme (eg a copy of a Product Disclosure Statement).
☐	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.
☐	Perform a search of the ASIC, ATO or relevant regulator's website. (eg "Super Fund Lookup" at www.abn.business.gov.au)

Please go to **Section 4** for details of who can certify your documents

Section 3: Unregulated trust details

1. Beneficiary details

Provide the names and/or class/es of the Trust's beneficiaries. Both the names and classes of beneficiaries must be provided (if the Trust has both named and class/es of beneficiaries).

Class/es of beneficiaries (e.g. unit holders, family members of named person, charitable organisations/causes)

Provide full name of each beneficiary.

	Full given name(s)	Surname
1		
2		
3		
4		

If there are more beneficiaries, please attach a separate list.

2. Beneficial owners of the Trust

Provide the names of the individuals who ultimately own or control the trust. For Discretionary Trusts, usually this is the Trust's appointer, as they can control appointing or removing the Trustees who use the various Trust powers.

	Full given name(s)	**Surname**	**Date of birth**
1			
2			
3			
4			

3. Trustee details

You have to provide details and verify **all** Trustees. You'll need to complete either an **Identification for Individuals and Sole Traders** form for each individual trustee or an **Identification of an Australian Company** form for each corporate trustee available at **mlcinsurance.com.au/proof-of-identity**. These will be considered as the beneficial owners of the trust.

Trustee 1

Full name

Or

Company name

Residential address if an individual trustee or registered office address if a company trustee (Can not be a PO Box)

Postcode | Country

Trustee 2

Full name

Or

Company name

Residential address if an individual trustee or registered office address if a company trustee - PO Box is **not** acceptable

Postcode | Country

Trustee 3

Full name

Or

Company name

Residential address if an individual trustee or registered office address if a company trustee - PO Box is **not** acceptable

Postcode Country

Trustee 4

Full name

Or

Company name

Residential address if an individual trustee or registered office address if a company trustee - PO Box is **not** acceptable

Postcode Country

If you have more trustees, please attach a separate list.

4. FATCA – US Foreign Account Tax Compliance Act

We are required to report details of Trusts applicable for US tax purposes to the Australian Taxation Office (ATO) which may report you to the United States tax authority.

Please choose **one** of the following options.

☐ **A Trust that has a Trustee that is a Financial Institution in its own right**

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

Please go to **Section 4** for details of who can certify your documents

☐ **Australian registered charity or deceased estate**

Please go to **Section 4** for details of who can certify your documents.

☐ **Other**

Are any of the trust beneficiaries, trustees, settlors or beneficial owners' US citizens or residents of the US for tax purposes?

No ☐ Yes ☐

If the Trustee is a company are any of this company's beneficial owners US citizens or residents of the US for tax purposes?

No ☐ Yes ☐

Section 3: Unregulated trust details continued

Please provide the name, address and **US Taxpayer Identification Number (TIN)** of each beneficiary, Trustee, settlor or beneficial owner who is a US citizen or resident of the US for tax purposes. If there are more than three, provide the details on a separate sheet.

US Person 1

Full given name(s)

Surname

US TIN

Residential address
- PO Box is **not** acceptable

Suburb

State

Postcode

Country

US Person 2

Full given name(s)

Surname

US TIN

Residential address
- PO Box is **not** acceptable

Suburb

State

Postcode

Country

US Person 3

Full given name(s)

Surname

US TIN

Residential address
- PO Box is **not** acceptable

Suburb

State

Postcode

Country

For more information on FATCA go to **ato.gov.au**

Please go to **Section 4, page 9** for details of who can certify your documents.

5. Identification documents

You'll need to provide identification documents for your Trust and ALL Trustees. To identify the Trustees, please complete the relevant identification form available on **mlcinsurance.com.au/proof-of-identity**

Trust identification documents

Tick (✓)	**Please provide ONE of the following documents**
☐	An original or certified copy of the trust deed **or** if not reasonably available an original **or** certified extract of the trust deed.

Section 4: Who can certify

A document is only accepted as a certified copy if it has been certified as a true copy of the original document by a person who is currently licensed or registered to practise in Australia, in an occupation below:

- 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.
- A Justice of the Peace.
- A Judge of a court.
- A Magistrate.
- A Chief Executive Officer of a Commonwealth court.
- A Notary Public (for the purposes of the Statutory Declaration Regulations 2018).
- A Police officer.
- 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 5 or more years of continuous service who is employed in an office supplying postal services to the public.
- An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).
- An officer with 5 or more years of continuous service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 2018) (e.g. bank manager, bank officer).
- A finance company officer with 5 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declarations Regulations 2018).
- An officer or an authorised representative of, a holder of an AFSL, having 5 or more continuous years of service with one or more licensees (e.g. financial planner, advisor, broker).
- A member of the Institute of Chartered Accountants in Australia, CPA Australia, the Australian Association of Taxation and Management Accountants and the Institute of Public Accountants.
- Pharmacist.

Acceptable certification of ID documents

Each copy of the ID must be certified by an approved certifier as follows:

The approved certifier must write:

- Full printed name of the “Approved Certifier” (eg Michelle Helena Citizen).
- Date the document was certified.
- Signature of the approved certifier.
- The capacity in which they have certified the document, eg police officer, etc.
- The Registration number (if applicable) of the certifier.
- The following text:

  If single page: This is to certify this is a true copy of the original which I have sighted.

  If multiple page: I certify that this and the following (number of pages) are a true copy of the original which I have sighted.

  Each following page must be initialled and dated.

Section 5: Send us your form

Please return your completed, signed and dated form to:

MLC Life Insurance - Operations
PO Box 23455
Docklands VIC 3008

Email: enquiries.retail@mlcinsurance.com.au

If you have any questions, please contact your financial adviser or call us on **136 525**, 8.30am to 6pm AEST, Monday to Friday.

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