LIFE INSURANCE

Identification for a Foreign company

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: Foreign company details

1. General information

Full name of foreign company

Country of formation/incorporation/registration

If registered by a foreign body provide name of body

Is the foreign company registered with ASIC?

Yes ☐ Please provide ARBN or ACN

Provide **EITHER** ☐ Principal place of business address in Australia **OR** ☐ Local agent name and address details

Address - PO Box is **not** acceptable

Unit number | Street number | Street name

Suburb | State | Postcode | Country

Name of local agent in Australia

No ☐ Please provide company identification number (if any) issued by the foreign registration body

Principal place of business in the company's country of formation or incorporation - PO Box is **not** acceptable

Unit number | Street number | Street name

Suburb | State | Postcode | Country

Registered address of company

Provide the registered address as registered with ASIC. If the company is not registered with ASIC, provide the registered address in the country of formation, incorporation or registration (if any).

Unit number

Street number

Street name

Suburb

State

Postcode

Country

2. Company type

Select **one** of the following categories

Public ☐ Companies whose name does not include the word Pty or proprietary; generally listed companies. Please go to **4 Regulatory/Listing details**

Proprietary ☐ Companies whose name ends with Proprietary Ltd or Pty Ltd, also known as private companies. Please go to **3 Directors**, below.

3. Directors

This question only needs to be completed for proprietary companies.

Provide full name of each director.

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

If there are more directors, provide details on a separate sheet.

4. Regulatory/Listing details

Select the following categories which apply to the company and provide the information requested.

☐ **Regulated in Australia**

(Subject to the supervision of an Australian Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees).

Regulator name

Licence details (e.g. AFSL, ACL, RSE)

☐ **Public Listed**

(Companies that are subject to disclosure requirements that ensure transparency of Beneficial Ownership comparable to similar public listing requirements in Australia. Refers to listing on a financial market that by stock exchange rules, law or enforceable means promotes transparency of beneficial owner information.)

Name of market/exchange

Country

☐ **Majority Owned Subsidiary of an Australian Public Listed company**

(Companies that are majority owned by an Australian company that is listed on a 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 **Section 2**.
If not, proceed to **5. Beneficial owners**

5. Beneficial owners

To be completed for all companies that are not Public Listed companies, majority owned by an Australian Public Listed company or companies regulated in Australia as at **4. Regulatory/Listing details**

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

Yes ☐ Please complete **5.1 Shareholder beneficial owners**

No ☐ Please complete **5.2 Other beneficial owners**

5.1 Shareholder 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 issued share capital of the company.

You'll need to provide individual customer identification forms for each of these individuals. The Identification for Individuals and Sole Traders form is available from mlcinsurance.com.au/proof-of-identity

Full given name(s)	Surname

Proceed to **Section 2: FATCA**

5.2 Other beneficial owners

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

You'll need to provide individual customer identification forms for each of these individuals. The Identification for Individuals and Sole Traders form is available from mlcinsurance.com.au/proof-of-identity

Full given name(s)	Surname	Role (such as Managing Director)

Proceed to **Section 2: FATCA**

Section 2: FATCA – US Foreign Account Tax Compliance Act

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

Please select **one** of the following categories and provide the information requested.

☐ **United States Company**

A company created in the US, established under the laws of the US or a US taxpayer.

Please provide your **United States Tax Identification Number (TIN)**

Is the company an exempt payee for US tax purposes?

Yes ☐ Please provide the exemption code below

No ☐

Please go to **Section 3**.

☐ **Financial institution**

A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes.

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

If the company 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)

Please go to **Section 3**.

☐ **Non-financial public listed company**
Public listed companies as per **Section 1, 4. Company type** that are not financial institutions as described above.

Please go to **Section 3**.

☐ **Non-Financial Proprietary Company or an unlisted public company** that are not financial institutions as described above.

Are any of the Company's beneficial owners (as per **Section 1, 5. Beneficial owners**) US citizens or residents of the US for tax purposes?

Yes ☐ No ☐

If yes, provide an Identification for Individuals and Sole Traders form available from **mlcinsurance.com.au/proof-of-identity** (unless already provided).

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

Please go to **Section 3**.

Section 3 : Identification procedure

Attach a legible **certified copy** of the ID documents from the options below.

Standard verification procedure for Foreign Companies registered with ASIC

Tick (✓)	**Verification options (select ONE of the following options used to verify the Company)**
☐	Perform a search of the relevant ASIC database. If you have an ARBN, a certified copy of the company's most recent ASIC annual statement, including any amendments or a company search showing shareholder information.
☐	Perform a company search or obtain incorporation/registration documents from the relevant foreign registrar.

Standard verification procedure for Foreign Companies NOT registered with ASIC

Tick (✓)	**Verification options (select ONE of the following options used to verify the Company)**
☐	Perform a search of the relevant foreign registration body.
☐	If the foreign registration body database is not reasonably available, an original or certified copy of the certification of registration issued by the relevant foreign registration body.*

Simplified verification procedure for a regulated company, a listed company or a majority owned subsidiary of an Australian listed company as described in 4 Regulatory/Listing details

Tick (✓)	**Verification options (select ONE of the following options used to verify the Company)**
☐	Perform a search of the relevant financial market.
☐	Perform a search of the relevant ASIC database.
☐	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
☐	A public document issued by the company.

* If your identification document is written in a language other than English, you must provide a translation into English by a translator who is accredited by the National Accreditation Authority for Translators and Interpreters (NAATI) at the level of Professional Translator or above.

Please check the details of who can certify in **Section 4**.

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 Foreign Certifiers

- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955).
- Employee of the Commonwealth including Australian Trade and Investment Commission who is:
  - In a country or place outside of Australia; and
  - Authorised under paragraph 3(d) of the Consular Fees Act 1955; and
  - Exercising his or her function at that place.
- Judge of a Court or Magistrate.
- A person authorised as a Notary Public in a foreign jurisdiction.
- A person who is authorised by law in the relevant jurisdiction to administer oaths or affirmations or to authenticate documents.

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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