

Verification of Identity Form - Know your Client

Please complete one Identification form per Borrower/Guarantor/Mortgagor/Trustee/Settlor(\$10,000 or more) /Beneficial ownership(25% or more)/Power of Attorney as per AML/CTF requirements. Please ensure that the copies provided are genuine originals.

Customer information (Step One)

Collect Certified copies of identification. Where an interview is completed via video conference capture a screenshot of the individual holding the original identity document.

Fill and complete all relevant fields and input Not applicable where required.

Trustee's must also list the trust name

Applicant Full Name	<input type="text"/>	ABN/ACN:	<input type="text"/>
Other Names known by	<input type="text"/>	Is the individual a Politically Exposed Person? If so insert nature of exposure:	<input type="text"/>
Date of Birth	<input type="text"/>	US citizen or resident for tax purposes?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Address	<input type="text"/>	Is the individual flagged as a sanctioned person or subject to any adverse news	Yes <input type="checkbox"/> No <input type="checkbox"/>
Occupation	<input type="text"/>		

Documents for verification of Identity (Step Two)

Select the relevant document combination from the available categories.

Ensure to record applicants information from the selected Identification documents and verify the applicants information.

Original Documents must be sighted with the individual on screen and clear, legible, certified copies attached

Category	Identification Documents Required			Category	Identification Documents Required		
1	A. Australian or Foreign Passport; AND B. Australian Driver Licence or Approved Government agency issued Photo Card; AND C. Marriage certificate or change of name (if applicable).			3	A. Medicare, Centrelink or DVA Card; AND B. Full birth, citizenship or descent certificate; AND C. Australian Drivers Licence or Approved Government agency issued Photo Card; AND D. Marriage certificate or change of name (if applicable).		
2	A. Australian or foreign passport; AND B. Full birth, citizenship or descent certificate; AND C. Medicare, Centrelink or Department of Veteran Affairs Card; AND D. Marriage certificate or change of name (if applicable).						
Document	Document Type	Document verifies			Document Number	Place of Issue	Expiry Date
		D.O.B	Address	Name			
A							
B							
C							
D							

Method of Verification (Step Three)

- ☐ Face to Face - Where the applicant has been identified face to face, please complete this form and provide copies of documents presented during the face-to-face interview. To be an acceptable certification print on the copies "these are true copies of the originals", sign, date, company position on the copies, and provide together with this form.
- ☐ Non-Face to Face - Where it has not been possible to verify the documents in a face-to-face interview, the applicant can provide certified copies of the documents, with the certification completed by acceptable identity agent (please refer to acceptable identity agents listed on page 2).
- ☐ Electronic verification - Where it has not been possible to verify the documents in a face-to-face interview or via an acceptable identity agent, the applicants may complete an electronic interview using either Skype, WeChat, or alternative service that allows for clear visual confirmation of documents being certified, applicant and certifier.

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Authorised Party Declaration (Step Four)

I am an accredited persons with Blue Whale Money and I certify that all the information on this form is true and correct and that this Know Your Client Identity has been conducted in accordance with the Know Your Client Identity standard in the ARNECC Model Participation Rules and with paragraph 4.2.11 of the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1).

Name of Certifier	<input type="text"/>
Date Completed	<input type="text"/>
Signature	<input type="text"/>

If the non-face-to-face verification is taking place in Australia:

The following persons are acceptable identity agents that can be used to complete the Know Your Client Identity for AML/CTF purposes where it has not been possible to meet with the person being identified and the verification is taking place within Australia:

- A. 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);
- B. A judge of a court;
- C. A magistrate;
- D. A chief executive officer of a Commonwealth court;
- E. A registrar or deputy registrar of a court;
- F. A Justice of the Peace;
- G. A notary public (for the purposes of the Statutory Declaration Regulations 1993);
- H. A police officer;
- I. An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- J. A permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
- K. An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955);
- L. An officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);
- M. A finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993);
- N. An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees.
- O. A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.
- P. Limited agents specifically appointed by the Lender to verify identity on behalf of the Lender.

If the non-face-to-face verification is taking place Overseas:

The following persons are acceptable identity agents that can be used to complete the Know Your Client Identity for AML/CTF purposes where it has not been possible to meet with the person being identified and the verification is taking place outside of Australia:

- Q. an Australian Consular Officer; or
- R. an Australian Legal Practitioner; or
- S. New Zealand Lawyer; or
- T. an Australian notary public.