



**CROMWELL**  
FUNDS MANAGEMENT

# INVESTOR IDENTIFICATION FORM INDIVIDUALS & SOLE TRADERS

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Issued by Cromwell Funds Management Limited

ABN 63 114 782 777

AFSL 333214

# Investor Identification

In 2006 the Federal Government enacted the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth) (AML/CTF Act). The purpose of this legislation is to enable Australia's financial sector to maintain international business relationships, detect and prevent money laundering and terrorism financing by meeting the needs of law enforcement agencies and to bring Australia in line with international standards.

## Why does this legislation affect Cromwell?

As Cromwell Funds Management (CFM) is the responsible entity for investment products, we have to meet stringent investor identification and verification requirements. This means that prior to units in any Cromwell-managed fund being issued, we must be 'reasonably satisfied' that investors are who they claim to be.

## What do you need to do?

If you invest in the Fund through a financial adviser or an investor directed portfolio service (IDPS) facility then they will request and collect any verification materials. If you are investing directly, you need to complete the Identification Form and provide certified copies of identification documents which relate to the type of entity making the investment:

Type of Entity	Forms to be completed
Individual / Joint Investors (each applicant must complete a form)	IDENTIFICATION FORM: Individual & Sole Traders Form
Australian Companies	IDENTIFICATION FORM: Australian Companies Form
Australian Regulated Trusts (including Self Managed Super Funds)	IDENTIFICATION FORM: Australian Regulated Trusts (including Self Managed Super Funds) Form
Unregulated Australian Trusts and Foreign Trusts (e.g. Family, Unit and Testamentary Trusts)	IDENTIFICATION FORM: Unregulated Australian Trusts and Foreign Trusts Form

## Not on the list?

If you are investing via a type of entity not listed above, please phone Cromwell on 1300 268 078 to discuss which form is appropriate for your needs or visit [www.cromwell.com.au](http://www.cromwell.com.au) for a complete list of Investor Forms.

We may request additional information from you where we reasonably consider it necessary to satisfy our obligations under the AML/CTF Act, and applications will not be processed until the necessary information is provided.

## Who is allowed to certify AML/CTF Identification documents?

a Justice of the Peace
a Commissioner for Declarations
a member of the Institution of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants
a person who is enrolled on the roll of the Supreme Court of a State or Territory, or High Court of Australia, as a legal practitioner (however described)
a judge of a court or a magistrate
a permanent employee of Australia Post employed in an office supplying postal services to the public with 5 years continuous service

a full time teacher at a school or tertiary institution
a police officer
a person who, under a law in force in a State or Territory, is currently licenced or registered to practice one of the following occupations: Chiropractor, Dentist, Medical practitioner, Nurse, Optometrist, Pharmacist, Physiotherapist, Psychologist, Veterinary surgeon
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
any other persons mentioned in Part 1 and Part 2 of the <i>Statutory Declarations Regulations 1993</i> (Cth)– Schedule 2.

## Politically exposed person (PEP) means an individual:

- who holds a prominent public position or function in a government body or an international organisation, including:
  - Head of State or head of a country or government; or
  - government minister or equivalent senior politician; or
  - senior government official; or
  - Judge of the High Court of Australia, the Federal Court of Australia or a Supreme Court of a State or Territory, or a Judge of a court of equivalent seniority in a foreign country or international organisation; or
  - governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia; or
  - senior foreign representative, ambassador, or high commissioner; or
  - high-ranking member of the armed forces; or
  - board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and
- an immediate family member of a person referred to in paragraph (1), including:
  - a spouse; or
  - a de facto partner; or
  - a child and a child's spouse or de facto partner; or
  - a parent; and
- a close associate of a person referred to in paragraph (1), which means any individual who is known (having regard to information that is public or readily available) to have:
  - joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph (1); or
  - sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph (1).

## A "beneficial owner":

- an individual who owns or controls (directly or indirectly) a reporting entity;
- an individual who ultimately owns or controls (directly or indirectly) the customer;
- in this definition, control includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating practices; and
- in this definition, "owns" means ownership (either directly or indirectly) of 25% or more of an entity.

# IDENTIFICATION FORM - INDIVIDUALS & SOLE TRADERS



## GUIDE TO COMPLETING THIS FORM

- Complete both Parts 1, 2 and 4. Refer to Part 3 for the list of acceptable Identification Documents.
- Complete this form for each individual nominated on your application.
- Complete this form using BLACK INK and write clearly within the boxes in CAPITAL LETTERS.
- Contact Cromwell's Investor Services Team on 1300 268 078 or [invest@cromwell.com.au](mailto:invest@cromwell.com.au) if you have any queries.

## PART 1

### INVESTOR IDENTIFICATION - PERSONAL DETAILS

#### INDIVIDUAL 1

Surname		Date of Birth (dd/mm/yyyy)	
<input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Title	Full Given Name(s)		
<input type="text"/>	<input type="text"/>		
<b>Residential Address</b> (PO Box is NOT acceptable)			
Street			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Full Business Name (if any)		ABN (if any)	
<input type="text"/>		<input type="text"/>	
<b>Principal Place of Business</b> (if any) (PO Box is NOT acceptable)			
Street			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

*Complete this part if individual is a sole trader.*

#### INDIVIDUAL 2

Surname		Date of Birth (dd/mm/yyyy)	
<input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Title	Full Given Name(s)		
<input type="text"/>	<input type="text"/>		
<b>Residential Address</b> (PO Box is NOT acceptable)			
Street			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Full Business Name (if any)		ABN (if any)	
<input type="text"/>		<input type="text"/>	
<b>Principal Place of Business</b> (if any) (PO Box is NOT acceptable)			
Street			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

*Complete this part if individual is a sole trader.*

# IDENTIFICATION FORM - INDIVIDUALS & SOLE TRADERS

## PART 2

### POLITICALLY EXPOSED PERSON

The information below is required under the Anti-Money Laundering and Counter-terrorism Financing Act 2006 (refer to page 2).

#### INDIVIDUAL 1

Are you a **Politically Exposed Person** (as defined on Page 2)?

☐

**No** Go to Part 3

☐

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

#### INDIVIDUAL 2

Are you a **Politically Exposed Person** (as defined on Page 2)?

☐

**No** Go to Part 3

☐

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

## PART 3

### IDENTIFICATION DOCUMENTS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

The information below is required under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) (refer to page 2). For each individual please attach an originally certified, legible copy of the ID documentation you are relying upon to confirm your identity (and any required translation). Contact Cromwell's Investor Services Team on 1300 268 078 if you are unable to provide the required documents.

#### PART 3.1

Acceptable primary photographic ID documents.

##### Select ONE valid option from this section only

- Australian State / Territory driver's licence containing a photograph of the person
- Australian passport (a passport that has expired within the preceding 2 years is acceptable)
- Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
- Foreign passport or similar travel document containing a photograph and the signature of the person\*

#### PART 3.2

Acceptable secondary ID documents (should only be completed if you do not own a document from Part 3.1).

##### Select ONE valid option from this section

- Australian birth certificate
- Australian citizenship certificate
- Pension card issued by Centrelink
- Health card issued by Centrelink

##### AND ONE valid option from this section

- 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
- 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
- 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)
- If under the age of 18, 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

# IDENTIFICATION FORM - INDIVIDUALS & SOLE TRADERS

## PART 3.3

Acceptable foreign documents (should only be completed if you do not own a document from Part 3.1).

### BOTH documents from this section must be presented

- Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth\*
- National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued\*

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

## PART 4

### TAX INFORMATION

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

#### INDIVIDUAL 1

Tax Residency rules differ by country. Whether an individual is 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.

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.

#### Please answer BOTH tax residency questions:

Is the individual a tax resident of Australia? ☐ Yes ☐ No

Is the individual a tax resident of another country? ☐ Yes ☐ No

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.

Country	TIN	If no TIN, list reason A, B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	TIN	If no TIN, list reason A, B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	TIN	If no TIN, list reason A, B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Reason A** The country of tax residency does not issue TIN's 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.

# IDENTIFICATION FORM - INDIVIDUALS & SOLE TRADERS

## INDIVIDUAL 2

*Tax Residency rules differ by country. Whether an individual is 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.*

*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.*

**Please answer BOTH tax residency questions:**

Is the individual a tax resident of Australia?

☐ Yes ☐ No

Is the individual a tax resident of another country?

☐ Yes ☐ No

**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.**

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.

☐

**Reason A** The country of tax residency does not issue TIN's 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.

## PART 5

### DECLARATION AND AUTHORISATION

By completing and signing this form I declare the tax information provided is accurate.

SIGNATURE A

Date

Name

SIGNATURE B

Date

Name