

Know your client

Government Body

When to use this form

Use this form to provide the information we need to verify the government body's identity and to meet our legal obligations (including those under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006, United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)).

Verifying an investor's identity

We need to verify or confirm your identity by checking that certain details you provide in this form **match** the details that are in certain documents you need to attach to this form.

If you are signing this form under Power of Attorney or as the investor's legal or nominated representative (agent), we also need to verify your identity.

Please send us **original certified copies** of your original documents - don't send us the original documents. If the document is not written in English, then you must also attach an English translation prepared by an accredited translator. An accredited translator is any person who is currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator or above. Please refer to www.naati.com.au for further information.

Getting your copies certified

A copy of a document must be certified to be a true and correct copy of the original document. Only certain people can certify copies including:

- police officer or sheriff
- justice of the peace or notary public
- legal practitioner, magistrate, judge or registrar/deputy registrar of a court
- member of any of the following: Chartered Accountants Australia and New Zealand, the Association of Taxation and Management Accountants, CPA Australia or the Institute of Public Accountants.

You can see the full list of people who can certify documents or extracts at amp.com.au/identification-investments.

Example

I certify that this is a true and correct copy of the original document

John Citizen

John Citizen, Justice of the Peace

Registration Number

10 Other Street

Suburb NSW 2000

02 9999 9999 30 May 2016

Documents for a government body

The documents you need to send us:

- if established under legislation, the legislation (or an extract) obtained from a reliable and independent source, such as a government website
- website address of the relevant commonwealth, state, territory or foreign country website which confirms the government body's existence
- evidence of the government body's registration on the relevant commonwealth, state, territory or foreign country register of government bodies.

Documents for any individual trustee, beneficial owner or controlling person

So we can verify the identity of any individual trustee, beneficial owner or controlling person you listed in the form, you need to send us the documents shown under option A or B:

Option A

One of these:

- current Australian state or territory driver licence that has your photo
- Australian passport that is current or expired within the last two years
- card issued under a state or territory law to prove your age that has your photo
- current foreign government passport (or similar international travel document) that has your photo and signature
- current foreign driver licence that has your photo
- current national identity card that has your photo.

Option B

One of these:

- Australian or foreign birth certificate
- Australian or foreign citizenship certificate
- birth certificate extract
- pension card issued by Department of Human Services
- health card issued by Department of Human Services
- an indigenous community identity card
- a name change certificate
- Australian or foreign marriage certificate.

Plus

One of these (**must** include the client's full name and residential address):

- a document issued by the Commonwealth or a state or territory within the last 12 months that shows financial benefits paid to you
- a document issued by the ATO within the last 12 months that shows money to be paid to you or that you need to pay to them (make sure you cross out your TFN)
- a document issued by a local government body or utility provider within the last three months that shows the services provided to you at your address
- if you're under 18 years old, a notice issued by a school principal within the last three months that shows how long you attended that school.

Section 1 - Government body

Complete this section if you are investing for or on behalf of a government body.

1A. Government body details

Full name of government body

Trading name (if any, and list all if multiple trading names exist)

Core business activity (nature of business/industry type)

Please tick to indicate whether the government body:

Is a separate legal entity, agency or authority **OR**

Is established under legislation

The full address of the Government body's principal place of operations (a PO Box is **not** acceptable)

Unit number

Street number

Street name

Suburb/Town

State

Postcode

Country

What is the nature and purpose of your business relationship with NMF? (Choose the **one** most relevant option)

Building wealth (eg a large initial deposit, using investment returns to grow your wealth over time)

Business income (eg regular deposits and withdrawals for expenses - mostly for non-individuals)

Savings (eg regular deposit with few withdrawals, earning interest to grow your balance)

Everyday savings (eg frequent deposits and withdrawals)

1B. Government body information

Please tick to indicate whether the government body is:

A Commonwealth of Australia government body - **go to Section 2**

An Australian state or territory government body - please specify state or territory below and then **go to Section 2**

Foreign country government body - please specify country below and then **go to part 1C**

1C. Controlling persons

Please list the people who directly or indirectly control the government body. At a minimum list the details for a chairman, treasurer or secretary (or equivalent role) where they exist in the government body. You will need to attach identification documents for **each** person listed.

Controlling Person 1

Title Surname

Given name(s) (including all given names)

Alternative name(s) if any

Date of birth (dd/mm/yyyy) Gender Male Female Other

Role of controlling person

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

Unit number Street number Street name

Suburb/Town State Postcode

Country

Controlling Person 2

Title Surname

Given name(s) (including all given names)

Alternative name(s) if any

Date of birth (dd/mm/yyyy) Gender Male Female Other

Role of controlling person

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

Unit number Street number Street name

Suburb/Town State Postcode

Country

Controlling Person 3

Title Surname

Given name(s) (including all given names)

Alternative name(s) if any

Date of birth (dd/mm/yyyy) Gender Male Female Other

Role of controlling person

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

Unit number Street number Street name

Suburb/Town State Postcode

Country

Controlling Person 4

Title Surname

Given name(s) (including all given names)

Alternative name(s) if any

Date of birth (dd/mm/yyyy) Gender Male Female Other

Role of controlling person

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

Unit number Street number Street name

Suburb/Town State Postcode

Country

All investors (or their agents or attorneys if applicable) must complete this section.

Anti-Money Laundering and Counter-Terrorism Financing Law (AML/CTF), Sanctions Law (Sanctions) United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) Obligations

By applying to invest you warrant that:

- you comply and will continue to comply with all applicable AML/CTF, Sanctions and regulations, FATCA and CRS obligations, including but not limited to the law and regulations of Australia in force from time to time (AML/CTF and Sanctions, FATCA and CRS obligations)
- you are not aware and have no reason to suspect that:
 - the moneys used to fund your investment have been or will be derived from or related to any money laundering, terrorism financing or similar activities that would be illegal under applicable laws or regulations or otherwise prohibited under any international convention or agreement ('illegal activity'), or
 - the proceeds of your investment will be used to finance any illegal or sanctioned activities
- you, your agent or your nominated representative will provide us with all additional information and assistance that we may request in order to comply with any AML/CTF, Sanctions, FATCA and CRS obligations
- you will notify us if you are or become:
 - a 'politically exposed' person or organisation for the purposes of any AML/CTF
 - a 'proscribed person or entity' for the purposes of the Sanction, or
 - commonly known by a name other than the name provided in the form you complete at the time of applying for an investment, and
- you will notify us as soon as possible of any changes to your name or business name, address (residential or business), occupation or core business activity, or ownership including any beneficial owners changes or controlling persons changes where applicable.

By applying to invest you also acknowledge that we may:

- decide to delay or refuse any request or transaction, including by suspending the issue or redemption of units, if we are concerned that the request or transaction may breach any obligation of, or cause us to commit or participate in an offence under any AML/CTF, Sanctions, FATCA and CRS obligations, and we will incur no liability to you if we do so
- request further information from you which we reasonably believe is necessary for us to comply with AML/CTF, Sanctions, FATCA and CRS. Failing to provide us with this information in a reasonable time may result in restrictions on your account (including closure) in regard to any investment you have with us
- take other action we reasonably believe is necessary to comply with AML/CTF, Sanctions, FATCA and CRS obligations, including disclosing any information held about you to any of our related bodies corporate or service providers whether in Australia or outside Australia, or to any relevant Australian or foreign regulator, and
- collect additional information about you from time to time, from you or from third parties, for the purposes of satisfying AML/CTF, Sanctions, FATCA and CRS obligations, and that any such information may be used and disclosed as described in the AMP Privacy Policy available online at amp.com.au/privacy or by contacting us.

Declaration

All investors, agents acting as legal or nominated representative for investors and attorneys acting under power of attorney must sign this declaration.

I/We:

- agree to the anti-money laundering, counter-terrorism financing, FATCA and CRS statement above
- declare and agree that any information and documents relevant to and provided with or separate to this data collection form are complete and correct, and if they are about another person, have been provided with the consent of that person
- acknowledge that it is a criminal offence to knowingly provide false or misleading information or documents, and
- if a certified copy of a document containing a photograph of an individual is submitted with this form, I/we warrant that I/we have advised the certifier of their responsibility to be satisfied that the photograph in the original document is a true likeness of the individual named in that document
- agree to notify AMP when the tax residency of the organisation or any of its controlling persons changes.

Signature(s) - The signatories must be the same as the application or subscription form which is being submitted.

Signatory 1

Title Surname First name

Signing as (please tick):

Individual Sole trader Trustee Director Attorney
 Joint investor Partner Sole director Agent

Representative of association/co-operative/government body - please specify position (eg chairman)

Signature

Date (ddmmyyyy)

Signatory 2

Title Surname First name

Signing as (please tick):

Joint investor Trustee Company secretary Attorney (if more than 2 attorneys, please provide names and signatures)
 Partner Director Agent

Signature

Date (ddmmyyyy)

Know your client form checklist

The investor/agent/attorney has:

- Completed all relevant sections of the form
- Read and understood the obligations and declaration in Section 2 and signed and dated this section
- Attached a separate sheet with the name details for other partners, if the organisation is a partnership and is not regulated by a professional association
- Attached original certified copies of documents to verify the identity of your organisation as set out on page 1
- Attached original certified copies of documents to verify the identity of any beneficial owner and controlling person that has been listed in this form, as set out on page 1

Contact details

Mailing address

National Mutual Funds Management Ltd - Unit Registry
GPO Box 804
Melbourne VIC 3001

Client Services

T: 133 267
8.30am - 5.30pm Sydney time, Monday to Friday
F: 1800 188 267
E: ampinvestments@amp.com.au
W: amp.com.au/investments