



Identification for an Australian company

Account or Policy number

You can also arrange for your financial adviser to identify you. If so, your adviser can complete the appropriate FSC Identification form.

We respect your privacy and handle your information in accordance with our Privacy Policy. The Insignia Financial Group's Privacy Policy is available at mlc.com.au/privacy, and the MLC Limited Privacy Policy is available at mlc.com.au/mlcinsuranceprivacypolicy

Section 1: Australian company details

1 General information

Full name as registered by ASIC

Nature of business activities conducted

ACN

Registered office address (PO Box is **not** acceptable)

<input type="text"/>				
<input type="text"/>				
Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country

Principal place of business (if any or if different to above) (PO Box is **not** acceptable)

<input type="text"/>				
<input type="text"/>				
Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country

Trustee

NULIS Nominees
(Australia) Limited
ABN 80 008 515 633
AFSL 236465

Funds

MLC Super Fund ABN 70 732 426 024

Insurer

MLC Limited
ABN 90 000 000 402
AFSL 230694

MLC Investments
Limited
ABN 30 002 641 661
AFSL 230705

NULIS Nominees (Australia) Limited and MLC Investments Limited are part of the Insignia Financial Group of Companies, comprising Insignia Financial Ltd ABN 49 100 103 722 and its related bodies corporate (Insignia Financial Group). MLC Limited uses the MLC brand under licence. MLC Limited is part of the Nippon Life Insurance Group and is not a part of the Insignia Financial Group. Any references to 'we', 'us' and 'our' means MLC Limited and Trustee refers to NULIS Nominees (Australia) Limited.

Section 1: Australian company details continued

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	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

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

4 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 **Section 2: Tax information**
if not, proceed to **5 Beneficial owners**

Section 1: Australian company details continued

5 Beneficial owners

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 per **4 Regulatory/Listing details**

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

- ☐ 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 25% or more of the company's issued share capital (through direct or indirect shareholdings)

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 mlc.com.au

Full given name	Surname
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Proceed to question 2

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 this individual. The Identification for Individuals and Sole Traders form is available from mlc.com.au

Full given name	Surname	Role (such as Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Proceed to **Section 2 Tax information**

Section 2: Tax information

We are required to report details of companies applicable for tax purposes to the Australian Taxation Office (ATO) in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

1 Tax Status

Tick ☒ one of the Tax Status boxes below (if the Company is a Financial Institution, please provide all the requested information below).

☐ **Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA /CRS purposes)

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

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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
- ☐ Nonparticipating Financial Institution
- ☐ Other (describe the FATCA status in the box provided)

Please go to **Section 3**.

☐ **Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed Company or Australian Registered Charity** (Public listed companies or majority owned subsidiaries of Australian listed companies as per **Section 1, 4 Regulatory/Listing details** that are not Financial Institutions as described above or a company that is an Australian Registered Charity).

Please go to **Section 3**.

☐ **An Active Non-Financial Entity (NFE)** (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interest and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information www.oecd.org.)

Please go to **3 Country of Tax Residency.**

☐ **Other** (Entities that are not previously listed – Passive Non-Financial Entities)

Please proceed to **2 Foreign Beneficial Owners.**

2 Foreign Beneficial Owners

Are any of the Company's Beneficial Owners (as per **Section 1.5 Beneficial owners**) tax residents of countries other than Australia?

Yes ☐ No ☐

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.

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in **Section 1. 5 Beneficial owners**).

Full given name(s)	Surname	Role (such as <i>Director or Senior Managing Official</i>)

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

Please proceed to **3 Country of Tax Residency.**

3 Country of Tax Residency

Is the Company a tax resident of a country other than Australia? Yes ☐ No ☐

If Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

If No, please proceed to **Section 3** to complete the form.

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 an Employer Identification 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.

1. Country	TIN	If no TIN, list reason A, B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>
2. Country	TIN	If no TIN, list reason A, B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>
3. 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 TINs to tax residents

Reason B The Company has not been issued with a TIN

Reason C The country of tax residency does not require the TIN to be disclosed

For more information on FATCA/CRS go to ato.gov.au

Please go to **Section 3**.

Section 3: Identification procedure

Simplified verification procedure for an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company as described in **4 Regulatory/Listing details**

Tick (✓)	Please provide ONE of the document from this section for a company trustee
<input type="checkbox"/>	Perform a search of the relevant market/exchange.
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	A public document issued by the relevant company.

For all other company types:

Tick (✓)	Please provide ONE of the document from this section for a company trustee
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC.

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

Section 4: Who can certify?

- 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)
- A Justice of the Peace
- A judge of a court
- A magistrate
- A chief executive officer of a Commonwealth court
- A registrar or deputy registrar of a court
- A notary public (for the purposes of the Statutory Declaration Regulations 1993)
- 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 2 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 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993) (eg bank manager, bank officer)
- A finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declarations Regulations 1993)
- 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 (eg financial planner, adviser, broker)
- 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

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, and
- 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 send this form with current **certified copies** of your identity documents to:

**PO Box 200
North Sydney NSW 2059**

If you have any questions, please speak with your financial adviser, or call us on **132 652** Monday to Friday between 8 am and 6 pm (AEST/AEDT).