



Rabobank

July 2019

Non-Individual – Verification of Customer Information

Talk to the world's leading food and agribusiness bank

Coöperatieve Rabobank U.A. – Australia Branch

ABN 70 003 917 655

Rabobank Australia Limited

ABN 50 001 621 129

To contact your nearest branch please call 1300 30 30 33

www.rabobank.com.au

Section A To be completed for all Non-Individuals

Entity type Partnership Company Trust Body Corp. (other than company) Unincorp. Assoc.

Entity Name

Registered Trading Name/Business Name (if different to above)

Principal Place of Business (no PO Boxes allowed)

	State	Postcode	Country
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Registered Address (if different from above)

	State	Postcode	Country
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ACN/ABN/ARBN/Registration Number

Country of Establishment/Incorporation

Date of Incorporation/Establishment

Industry/Sector (e.g. sheep farming)

Trust type/Company type/Partnership type

Name of Foreign Registration Body (if applicable)

Countries of primary business activity and countries where the business operates. Business activities may include work, regular travel, the sale or purchase of goods and/or payments.

Please provide details of directors (Company only), Settlor (Trust only), Chairman, Secretary and Treasurer (Body Corporate and Unincorp. Assoc only)

Full Name

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Role

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Date of Birth

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Non-Individual – Client Verification Checklist

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This checklist outlines what documentation is required to meet identification requirements. All certified copies of identification documents must be certified by a person listed on page 4.

Section B Company (all of the following, Section F and Section G)

- Current ASIC Company Extract
- Completed Individual Client Verification Checklist for all UBOs. e.g directors
- Completed Individual Client Verification Checklist for all signatories

Organisation/Ownership Structure Chart, if there are 4 or more layers

- provided and signed by the customer or the customer's solicitor or accountant or
- drawn up by Rabobank staff and supported by research (i.e. annual report or ASIC extracts)

Section C Trust (all of the following, Section F and Section G)

- Trust Deed confirming the name of the Trust, the Settlor, the Appointor(s), all Trustees and Beneficiaries
- Deeds of appointment/amendment
- Completed Non Individual Client Verification Checklist (Section A only) for all Corporate Trustees (where applicable)
- Completed Individual Client Verification Checklist for all UBOs, eg the Settlor (where applicable), the Appointor(s) and all Trustees; and Beneficiaries, only for 'Other Trust' types
- Completed Individual Client Verification Checklist for all signatories
- SMSF – Current printout from ATO Super Fund Lookup site confirming it is ATO regulated, registered and complying

Organisation/Ownership Structure Chart, if there are 4 or more layers

- provided and signed by the customer or the customer's solicitor or accountant or
- drawn up by Rabobank staff and supported by research (i.e. trust deeds)

Section D Partnership (all of the following, Section F and Section G)

- Partnership Agreement confirming the name of the Partnership and Partners
- ABN search ASIC Business Names search
- Completed Non Individual Client Verification Checklist (Section A only) for all Partner entities (where applicable)
- Completed Individual Client Verification Checklist for all UBOs, eg Partners
- Completed Individual Client Verification Checklist for all signatories

Organisation/Ownership Structure Chart, if there are 4 or more layers

- provided and signed by the customer or the customer's solicitor or accountant or
- drawn up by Rabobank staff and supported by research (i.e. partnership agreements)

Section E Body Corporate and Unincorp. Assoc. (all of the following, Section F and Section G)

- Completed Individual Client Verification Checklist for all UBOs including members
- Completed Individual Client Verification Checklist for all signatories



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Section F Beneficial Owners (Only for Companies or Entities that contain companies in the structure)

Does the Company Search list shareholdings which are **not** beneficially held **OR** are shares held in bearer form within any entity of the ownership structure? If yes, please provide details. Yes No

Important Note: Where the answer is Yes a Non Beneficially Held Shares Declaration and certified copy of relevant trust deed(s) will be required.

Please list all entities that exist in the ownership structure between the entity opening an account and the UBOs of that entity.

Entity Legal Name	Entity Type	Country of Establishment/Incorporation
<input type="text"/>	<input type="text"/>	<input type="text"/>
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<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
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If more space required, please copy and attach section/s.

Section G Ultimate Beneficial Owner (UBO)

We need to determine who has **effective control** e.g. Company CEO / Company Directors / Trustees / Settlor (where applicable) / Appointor(s) / Partners etc AND we need to identify **who has ownership** of an Account, being a natural person who has ownership of 25% or more of the customer.

Important Note: This section does not need to be completed where the Non-Individual is not an account owner and they are only being identified because they are providing a Real Property Mortgage in WA / SA / VIC / NSW (3rd Party Security Provider).

Full Name (no initials or abbreviations)	Percentage of Ownership and/or Position Held
<input type="text"/>	<input type="text"/>
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If more space required, please copy and attach section/s. For all individuals listed here, complete an Individual Client Verification Checklist.

Office Use Only – Branch		For further verification requirements, please contact Compliance.		Office Use Only – Ops	
<input type="checkbox"/> ASIC search	<input type="checkbox"/> All information on this form is collected from the Customer			Client Number	
<input type="checkbox"/> UBOs identified	<input type="checkbox"/> Customer verification achieved			<input type="text"/>	
Bank officer name	<input type="text"/>	CIS ID	<input type="text"/>	CDD Rating	
Bank officer signature	<input type="text"/>	Branch location	<input type="text"/>	<input type="text"/>	
		Date	<input type="text"/> / <input type="text"/> / <input type="text"/>	Next CDD Review Date	
Immediately mail form to Reply Paid 4577, Rabobank Client Services, Sydney NSW 2001				<input type="text"/> / <input type="text"/> / <input type="text"/>	



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Certified copies of identification are accepted by Rabobank as long as they have been certified by someone from the following list or any other person before whom a statutory declaration can be made under the Statutory Declarations Regulations 1993 (Cth).

- Legal Practitioners
- Judges
- Magistrates
- Commonwealth Court CEOs
- Registrar or Deputy Registrar of a Court
- Justice of the Peace
- Notary Public
- Police Officer
- Chiropractors
- Dentists
- Medical Practitioners
- Nurses
- Optometrists
- Pharmacists
- Patent Attorney
- Trademarks Attorney
- Sheriff
- Physiotherapists
- Psychologists
- Veterinary Surgeons
- A person in charge of a Post Office
- A permanent post office employee with 2 or more years service
- An Australian Consular Diplomatic Officer
- An officer with 2 or more continuous years of service with a financial institution
- An officer with 2 or more continuous years of service with a finance company
- An officer or authorised representative of an AFSL with 2 or more continuous years of service
- A member of the Institute of Chartered Accountants, CPA Australia or the National Institute of Accountants with 2 or more years of membership
- A member of the Commonwealth Parliament, State Parliament, a Territory Legislative or Local Government Authority
- Teacher employed on a full-time basis at a School or Tertiary Institution
- An overseas notary public (must comply with the Hague Convention of 5 October 1961)

All original documents may be sighted by a person from the above list, certifying all copies of the identification and forwarding to Rabobank with the application form. Certification must include the date, name, occupation and signature of the person certifying each document, and it must be presented within 6 months of certification.

Certifiers must be independent from the customer They must not:

- Be related to the customer; eg. parent, child, brother, sister, aunt, uncle or cousin
- Be the spouse or partner of the customer
- Live at the same address as the customer