Rabobank

September 2024

Verification of Customer Information - Non-Individual

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. ☐ Public Sector

Entity Name

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

Principal Place of Business (no PO Boxes allowed)

State Postcode Country

Registered Address (if different from above)

State Postcode Country

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) Managing Board Members or Executive Team (Public Sector entity only)

Full Name	Role	Date of Birth
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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 Verification of Customer Information – Individual Checklist for all UBOs. e.g directors (not on the AOA)

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)
- ☐ Completed Non Beneficially Held Share (NBHS) declaration if shares are not held for benefit of party listed.

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 Verification of Customer Information – Non-Individual Checklist (Section A only) for all Corporate Trustees (where applicable)
- ☐ Completed Verification of Customer Information – Individual Checklist for all UBOs, eg the Settlor (where applicable), the Appointor(s) and all Trustees; and Beneficiaries, only for 'Other Trust' types (not required if party is on the AOA)
- ☐ 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 Verification of Customer Information – Non-Individual Checklist (Section A only) for all Partner entities (where applicable)
- ☐ Completed Verification of Customer Information – Individual Checklist for all UBOs, eg Partners (not already captured in the AOA)

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. or Public Sector** (all of the following, Section F and Section G and Public Sector Entity (Section G only)

- ☐ Completed Verification of Customer Information – Individual Checklist for all UBOs including members

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

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, Managing Board Members or Executive Team etc AND we need to identify **who has ownership** of an Entity, 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 / QLD / TAS / ACT (3rd Party Security Provider).

Full Name (no initials or abbreviations)	Percentage of Ownership and/or Position Held

If more space required, please copy and attach section/s. For all individuals listed here, complete a Verification of Customer Identification – Individual form unless already captured on the Account Operating Authority (AOA).

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

Section I Privacy Notice

Rabobank will collect, use, hold, and disclose your personal data provided in this form, and at any time during our relationship with you, to comply with our legal obligations.

Compliance with laws

Your personal data may be shared in order to comply with applicable laws such as the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth), and the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1). This ensures your security and integrity as well as the security and integrity of the bank and the financial sector. We therefore require personal data to carry out the above purpose. If all the data we have requested in this form or otherwise in connection with this form, as well as throughout our ongoing relationship with you, is not provided, we may not be able to continue providing the service to you and may be required to close any account held by you.

Rabobank will only transfer and disclose the data in this form (including personal data) outside Australia to other members of the Rabobank Group for reporting and compliance purposes (including regulatory and legislative requirements of any Group member) and, if required by law, to government or regulatory bodies (including in The Netherlands and the European Union) which have authority over any members of the Rabobank Group.

The Privacy page on our website at www.rabobank.com.au contains our Privacy Policy. The Policy sets out in more detail how we collect, handle and use personal data in the course of our business. The Policy also contains information about your individual rights such as access to and correction of the personal data we hold and also about how you may complain to us or the Office of the Information Commissioner about a breach of your privacy and how we deal with such a complaint.

Office Use Only – Branch For further verification requirements, please contact Compliance.

☐ ASIC search ☐ All information on this form is collected from the Customer ☐ UBOs identified ☐ Customer verification achieved

Bank officer name		CIS ID	
Bank officer signature		Branch location	
		Date	/ /