**IDENTIFICATION FORM**

**INDIVIDUALS & SOLE TRADERS**

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| ***GUIDE TO COMPLETING THIS FORM***   * *This form is required where an individual is acquiring an interest in their own name, or where an Individual has been identified as a beneficial owner or ‘senior managing official’ of a Company, Trust or Partnership (refer separate forms).* * *Complete one form for each individual. Complete all applicable sections of this form.* * *Tax information must be provided by the individual.* * *Contact Evolution Trustees if you have any queries in relation to the contents of this form.* |

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| **SECTION 1: PERSONAL DETAILS** |

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| --- | --- | --- | --- | --- | --- | --- | --- |
| Surname | | | | |  | Date of Birth dd/mm/yyyy | |
|  | | | | |  |  | |
| Full Given Name(s) | | | | | | | |
|  | | | | | | | |
| Residential Address *(PO Box is NOT acceptable)*  Street | | | | | | | |
|  | | | | | | | |
| Suburb |  | State |  | Postcode |  | | Country | |
|  |  |  |  |  |  |  | |
| **COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER** | | | | | | | |
| Full Business Name (if any) | | | | |  | ABN (If any) | |
|  | | | | |  |  | |
| Principal Place of Business *(PO Box is NOT acceptable)*  Street | | | | | | | |
|  | | | | | | | |
| Suburb |  | State |  | Postcode |  | | Country | |
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| **SECTION 2: TAX INFORMATION** | | | | | | | | |
| Collection of tax status in accordance with United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS). | | | | | | | |
| *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.*  *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.**  *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.* | | | | | | | | |
|  | |  | | |  |  | | |
| 1. Country | |  | TIN |  | | | If no TIN, list reason A, B or C |  |
|  | |  |  |  | | |  |  |
| 2. Country | |  | TIN |  | | | If no TIN, list reason A, B or C |  |
|  | |  |  |  | | |  |  |
| 3. 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 TINs 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

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| **SECTION 3: COPIES OF IDENTIFICATION INFORMATION** | | | | |
| **3.1 ELECTRONIC VERIFICATION OF IDENTITY** | | | | |
| Does the individual have an Australian Passport or Drivers’ Licence? Yes  Is an electronic KYC process using an Australian mobile phone preferred? (Note: typically completed in 5 minutes) Yes  If you have checked yes to both the above, please provide the Individual’s mobile phone number and email address: | | | | |
| **Mobile Number** | **+61** | **Email Address:** |  |  |
| *Once Evolution has received this form, an email to the above address will be provided with instructions Evolution uses OCR* ***L****abs for* ***digital identity verification who*** *has accredited by AUSTRAC as a ‘*[*Trusted Digital Identify Provider*](https://www.digitalidentity.gov.au/tdif)*’.*  If you have checked Yes to both the questions in 3.1 above and provided an email address and Australian mobile number, **please proceed to Section 4**.  If you have not checked Yes to both questions in 3.1, a hard copy verification of identify will be required, accordingly, **please complete 3.2 below**. | | | | |
| **3.2 HARD COPY VERIFICATION OF IDENTITY** | | | | |
| Please complete section 3.2 only if you are ineligible or prefer not to perform the Electronic Verification of Identity process set out in 3.1 above. | | | | |
| **3.2 PART I – ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS** | | | | |
| * *Complete Part* ***I*** *(or if the individual does not own a document from Part* ***I****, then complete either Part* ***II*** *or* ***III****.)* * *Please contact Evolution Trustees Limited if unable to provide copies of information requested below.* | | | | |

**3.2 PART I – ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS**

|  |  |
| --- | --- |
| **Tick ** | 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\* |

**3.2 PART II – ACCEPTABLE SECONDARY ID DOCUMENTS – should only be completed if the individual does not own a document from Part I**

|  |  |
| --- | --- |
| **Tick ** | Select ONE valid option from this section only |
|  | Australian birth certificate |
|  | Australian citizenship certificate |
|  | Pension card issued by Department of Human Services (previously known as Centrelink) |
| **Tick ** | AND ONE valid option from this section only |
|  | 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. *Block out the TFN before scanning, copying or storing this document.* |
|  | 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 |

**3.2 PART III – ACCEPTABLE FOREIGN PHOTOGRAPHIC ID DOCUMENTS – should only be completed if the individual does not own a document from Part I**

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| **Tick ** | Select ONE valid option from this section only |
|  | 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.*

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| ***IMPORTANT NOTE:***   *Attach legible certified copies of the ID documentation identified above to be used to verify the individual (and any required translation)*   *Certification of foreign identification documents must be done consistently with the laws of the originating document’s jurisdiction* |

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| **SECTION 4: SIGNING AND CONFIRMATION** |

By completing and signing this form I declare or acknowledge that:

* All the information contained in this form and information regarding the account(s) may be provided to the Australian Taxation Office and they may exchange this information with the country or countries that the Account holder is resident for tax purposes.
* All the statements made on this form are to the best of my knowledge and belief correct and complete.
* I undertake to advise the recipient promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide a suitably updated Identification Form within 30 days of such changes in circumstances.
* I am authorised to sign for the Account Holder in respect to all the account(s) to which this form relates.

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| --- | --- | --- | --- |
| Name |  | Email |  |
|  |  |  |  |
| Position *(may be self)* |  | Phone No. |  |
|  |  |  |  |
| Signature |  | Date completed |  |

Various members of the Evolution Trustees group of entities are reporting entities with the Australian Transaction Reporting and Analysis Centre (AUSTRAC), who is the Australian regulator of Anti-Money Laundering (AML) and Counter Terrorism Funding (AML/CTF) matters.

As reporting entities, Evolution Trustees must meet stringent investor identification and verification requirements using a risk-based approach. This means that prior to issuing units in a fund or performing other designated services, we must be satisfied that you are who you claim to be.

Evolution Trustees will maintain all information collected from investors in a secure manner in accordance with the AML/CTF Act and relevant privacy principles. We will only disclose information about you where we reasonably consider that it is required to do so by the laws of Australia. This means that your identification information may be disclosed to government or law enforcement agencies. We may also disclose this information to other entities involved with the transaction to the extent that this information is required to fulfil that entity’s anti-money laundering obligations.

Evolution Trustees’ privacy policy can be found at: https://www.evolutiontrustees.com.au/governance/