

Ultimate Beneficial Ownership Information Request

Request ID number

To complete our identification process, we need to obtain the details of all the individual(s) that are the ultimate beneficial owners of the non-beneficially held shares of the Australian proprietary company. Please also include details of any intermediate entities in the ownership chain between the entity and those individual(s).

1. Details of ownership structure

Confirm the details of the ownership structure including any intermediate entities ie by providing a company structure extract and/or by completing the below table:

Entity name	Beneficially held share %	Ownership structure

Please copy and attach this page if you require more than six entries.

2. Non-beneficial owner of shares

Please complete the section(s) relevant to this shareholding.

2.1 If the named non-beneficial owners of the shares holding the shares as the Trustee of a Trust

(Note: If multiple Trustees are in the ownership structure please copy this form and include each Trustees ultimate beneficial owners).

Name of the Trust eg John James Smith ATF Smith Trust

Details of individual(s) who is/are the controlling person(s) of the Trust.

Full name of the individual	Date of birth of the individual	Residential address of the individual	Confirm how the individual will complete identification
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents

Please copy and attach this page if you require more than four entries.

2. Non-beneficial owner of shares (continued)

2.2 If the named non-beneficial owners of the shares holding the shares on behalf of a company

(Note: If multiple companies are in the ownership structure please copy this form and include each company's ultimate beneficial owners).

Name of the company eg XYZ Pty Ltd

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Details of individual(s) who is/are the beneficial owner(s) of the company.

Full name of the individual	Date of birth of the individual	Residential address of the individual	Confirm how the individual will complete identification
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents

Please copy and attach this page if you require more than four entries.

2.3 If the named non-beneficial owners of the shares holding the shares on behalf of another individual

Details of the individual(s) eg John James Smith

Full name of the individual	Date of birth of the individual	Residential address of the individual	Confirm how the individual will complete identification
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents
	/ /		<input type="checkbox"/> Online <input type="checkbox"/> Original certified documents

3. Privacy Collection Statement

Privacy Collection and Disclosure Notice

Your personal information will be collected by AMP Bank and used (along with any other information we may already hold about you) to verify your identity. If you do not wish to provide your personal information, we may not be able to process your request and/or may need to place restrictions on your accounts and/or exit the customer relationship.

We are required or authorised to collect your personal information under various laws including those relating to taxation and Anti-Money Laundering and Counter-Terrorism Financing Laws.

Some of the individuals and entities we might share your personal information with are listed in our privacy policy, and include:

- with the account holder, where necessary
- other members of the AMP group and external service providers that we need to deal with for the purposes described above
- courts, tribunals or government agencies as required by law or regulations
- persons or third parties authorised by you, or if required or permitted by law.

Some external service providers we need to deal with can be located or host information outside Australia. A list of countries where these providers may be located can be obtained via our privacy policy.

Personal information is treated in accordance with the AMP Privacy Policy, which sets out how to access or update your personal information. It also contains information on how you can make a complaint about a breach or potential breach of our privacy obligations, and how we deal with such a complaint. You can view our Privacy Policy online at amp.com.au/privacy or contact us on 13 30 30 for a copy.

4. Declaration by signatories

By signing below I declare (and if acting on behalf of an entity declare on behalf of that entity) that I:

1. Have read and understood the Privacy Collection and Disclosure Notice.
2. Have obtained consent from any other individual whose personal information has been disclosed in this form, and I have informed the individual of the information within the Privacy Collection and Disclosure Notice.
3. Acknowledge that any form is subject to AMP Bank approval.
4. Am not commonly known by any names other than those disclosed in this form or otherwise to AMP Bank.
5. Have provided true and accurate information in relation to this form. Any document or information to be used for the purposes of this form (whether or not provided on or with this form):
 - is correct and complete,
 - if it's about another person, is provided with the authority of that person (if required), and
 - may be used for any other products, services or benefits offered or provided to me through AMP Bank or any other company in the AMP group and subject to their privacy obligations, may be disclosed to and used by the providers of such products, services or benefits to facilitate compliance with anti-money laundering and counter-terrorism financing legislation.
6. Understand that it is a criminal offence to knowingly provide false or misleading information or documents in connection with this form.
7. Consent to AMP Bank providing information held about the account(s) being applied for and the account holder(s) to a financial adviser, broker or originator named in this form, and/or to joint venture partners, business partners and related party and third party service providers for the purposes of those parties,
 - i. providing the information to the financial adviser, broker or originator named in this form, or
 - ii. providing administration services to the account holder(s).Such information may comprise customer information (including personal information), account documentation and account information (including account balance, and current and historical account and transactional information).
8. Agree to notify AMP within 30 days from when there are any changes to the information provided in this form.

Where I have appointed an agent or third party signatory and that person is signing this form on my behalf, the last two declarations above are also given by and bind them in their personal capacity. I will provide proof of authority (such as a Power of Attorney, accompanied by a **Third Party Access** form and **Identification & Verification** form) which I have obtained from **amp.com.au**.

By submitting this form I also acknowledge that AMP Bank may decide to delay or refuse any request or transaction (deposits and withdrawals) if AMP Bank has not been able to verify my, or an ultimate beneficial owners' identity, or if AMP Bank believe in good faith that allowing the transaction may cause an offence to be committed. I understand that AMP Bank does not accept responsibility for any such delay or refusal.

Name (Print in CAPITAL LETTERS)

Position of signatory

Connection to customer (if person completing this form is a third party)

Signature

Date

Name (Print in CAPITAL LETTERS)

Position of signatory

Connection to customer (if person completing this form is a third party)

Signature

Date

Please copy and attach this page if you require more than two signatories.

Note: We may need to request further information about the person populating this form if they are not an existing identified signatory of the customer.

Additional information

If any entity and/or individual named in the **Ultimate Beneficial Ownership Information Request** form has not been verified with AMP previously, please verify the identity of the entity and/or the individual.

Either:

1. Request each individual to confirm their identity online:
 - a. Visit amp.com.au/bank-entity-identification.
 - b. Follow the prompts under the heading 'How to verify your identity'.
 - c. Include the Request ID number.
 - d. Return the form and note that the individual has completed their identity online.

OR

2. If any of the individuals can't do this online, please visit amp.com.au and select 'Find a form' from the navigation panel at the top of the webpage. Download and complete the **Know Your Customer** form for individuals, clearly mark the form and your documents with your Request ID number.

Where to send this form

Send us the form and any original certified copies of your proof of identification (these are listed on amp.com.au/bank-entity-identification) and for a trust, a **certified copy of the trust deed** via mail to:

AMP Bank
Reply Paid 79702
PARRAMATTA NSW 2124
(no stamp is required)

Definitions

1. **What are beneficially held shares?**
Beneficially held means that **the owner of the shares gets the direct benefit from the shares**. Direct benefits include dividend payments. The owner of these shares is a Beneficial Owner.
2. **What are non-beneficially shares?**
If the **shareholder is holding the shares on behalf of another person, perhaps "as trustee for" or "in trust for" a second entity such as a Trust, a company or another individual the shares are non-beneficially held**.
The shareholder does not receive direct benefit from the shares. The holder of these shares is a non-beneficial holder.
3. **Who is the Controlling Person of a Trust?**
A controlling person is a natural person who exercises control over a Trust. This is commonly the individual(s) who is the Trustee or the appointer/principal/protector. If the Trustee of a Trust is a company, then the Controlling Person of the Trust can also be the person who controls the company itself, such as a beneficial owner of that company.
4. **Who is the Beneficial Owner of a Company?**
A beneficial owner is **any individual who ultimately owns through one or more shareholdings 25% or more of the shares of a company**. If there is no one person who meets this requirement, then it is any individual who controls the company through the authority to make decisions about financial or operating policies, voting rights of 25% or more, power of veto, or by way of trusts, agreements, or practices. If there is no individual who meets these criteria, then provide details of the most senior official(s) such as the Managing Director or CEO.
5. **Who is the Intermediate Owner of an entity?**
An intermediary owner is an entity/company/trust or legal arrangement that exists within the applicant's/customer's corporate structure that sits between the customer and the ultimate beneficial owner (UBO). There can be any number of intermediary companies between a company and its ultimate beneficial owner.

We're here to help

Visit amp.com.au/bank-identification to know more about customer identification or speak to your adviser or broker.