

Identification Record for a Signatory to an Account

'100 Point Check' (201)

Following are some of the checks that may be made towards the prescribed verification procedure (100 Point Check), pursuant to the *Financial Transaction Reports Act 1988 (FTR Act)*, for the purpose of obtaining an identification record (section 20A(1)(b)(i) of the FTR Act) for a signatory to an account. Refer to the *Financial Transaction Reports Regulations 1990* for a complete list.

Please Note: Special provisions may apply to particular signatories. Refer to AUSTRAC account opening model form 202 and to Regulations 4, 5, 6, 7, 8, 9, 10A and 10B of the FTR Regulations for more details.

How to complete this form:

- Record the points scored for the checks carried out
- Total the points scored
- In Parts A and B, record the appropriate details for the checks carried out
- In Part C, indicate if verification has or has not been achieved

The AUSTRAC Help Desk can be contacted on 1800 021 037 if you require general assistance to complete this form.

| | |
|--------------------------|--|
| Name of Signatory | |
| Account Name | |
| Account Number | |

| Type of check | Tick if satisfactory | Details to be recorded |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| 1. PRIMARY DOCUMENTS NAME of the signatory verified from one of the following: <ul style="list-style-type: none"> • Birth Certificate • Birth Card issued by the New South Wales Registry of Births, Deaths and Marriages • Citizenship Certificate • International Travel Document: <ul style="list-style-type: none"> - a current passport - expired passport which has not been cancelled and was current within the preceding 2 years - other document of identity having the same characteristics as a passport (e.g. this may include some diplomatic documents and some documents issued to refugees) <p>Note: Do not score additional points for more than one document.</p> | <input type="checkbox"/> | 70 POINTS Provide details in A overleaf, or keep a copy of the document. Regulation 4(1)(e) |
| 2. Signatory is a known customer of at least 12 months standing <p>Note: This procedure may only be used by authorised deposit-taking institutions (ADIs), banks, building societies, credit unions or registered corporations within the meaning of the <i>Financial Corporations Act 1974</i>.</p> | <input type="checkbox"/> | 40 POINTS Provide details in B overleaf. Regulation 4(1)(h) |
| 3. NAME of signatory verified from a written reference from one of the following, signed by both the person giving it and the signatory: <ul style="list-style-type: none"> • Another financial body certifying that the signatory is a known customer • Another customer who has been verified as a signatory by the cash dealer • An acceptable referee (refer to AUSTRAC Guideline No. 3 and Information Circular No. 3) <p>Note: Customer must be known for at least 12 months by any of the above</p> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | 40 POINTS Provide details in A overleaf, or keep a copy of the document. Regulation 4(1)(j) |
| 4. NAME of signatory verified from one of the following (but only where they contain a photograph or signature that can be matched to the signatory); <ul style="list-style-type: none"> • A licence or permit issued under a law of the Commonwealth, a State or Territory (e.g. an Australian driver's licence) • An identification card issued to a public employee • An identification card issued by the Commonwealth, a State or Territory as evidence of the person's entitlement to a financial benefit • An identification card issued to a student at a tertiary education institution <p>Note: Additional documents can be awarded 25 points (see category 8 overleaf)</p> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | 40 POINTS Provide details in A overleaf, or keep a copy of the document. Regulation 4(1)(f) |
| 5. NAME and ADDRESS of signatory verified from any of the following: <ul style="list-style-type: none"> • A document held by the cash dealer giving security over the signatory's property • A mortgage or other instrument of security held by another financial body | <input type="checkbox"/> <input type="checkbox"/> | 35 POINTS Provide details in A or B overleaf, or keep a copy of the document. Regulation 4(1)(a)(iii)-(iv) |

6. NAME and ADDRESS of signatory verified from any of the following: 35 POINTS

- A current employer, or a previous employer within the last 2 years
- A rating authority (e.g. land rates)
- The Credit Reference Association of Australia (subject to the *Privacy Act 1988*)
- Land Titles Office Records

Provide details in B below.
Regulation 4(1)(a)(i)-(ii), (v)-(vi)

7. NAME, ADDRESS and TELEPHONE NUMBER verified: 25 Points

- By reference to the latest telephone directory published by Telstra or by advice provided by Telstra; and
- By telephone contact with the signatory on that telephone number

Provide phone number in B below.
Regulation 4(1)(d)

8. NAME of signatory verified from any other secondary identification document relating to the signatory, e.g. marriage certificate (for maiden name only), credit card, council rates notices, telephone account, foreign driver's licence, Medicare Card, etc. 25 Points

Provide details in A below, or keep a copy of the document.

Note: More than one document may be counted, but points scored from a particular source may be counted only once, e.g. if MasterCard and Visa Card issued from the same financial institution, only one may be counted.

Regulation 4(1)(g)

9. NAME and ADDRESS of the signatory verified from any of the following: 25 Points

- The electoral roll compiled by the Australian Electoral Commission and available for public scrutiny
- An acceptable referee (refer to AUSTRAC Information Circular No. 3)
- Note:** It is not required that the acceptable referee has known the signatory for 12 months or more
- The owner, landlord, or a real estate agent acting as managing agent of the premises, if the signatory lives or carries on business in rented accommodation
- The records of a public utility
- The records of another financial body of which the signatory is a known customer
- A record held under a law other than a law relating to land titles (for which, see No. 6)

Provide details in B below.
Regulation 4(1)(b)

10. NAME and DATE OF BIRTH of the signatory verified from any of the following: 25 Points

- The records of a primary, secondary, or tertiary educational institution attended by the signatory within the last 10 years
- The records of a professional or trade association of which the signatory is a member

Provide details in B below.
Regulation 4(1)(c)

The signatory is taken to be identified if the signatory rates at least 100 points **TOTAL:**

A Document details from Checks 1, 3, 4, 5 and 8 (or keep a copy of the document)

| | | | |
|---------------------------------|--|--|--|
| Type of document | | | |
| Person to whom it relates | | | |
| Date of Birth (age if relevant) | | | |
| Place of residence (if shown) | | | |
| Date of issue | | | |
| Place/Office of issue | | | |
| Expiry date | | | |
| Document number | | | |

B List below the details of the method(s) and source(s) of verification for Checks 2, 5, 6, 7, 9 and 10

| | | | |
|---------------------------------------------------------|--|--|--|
| Type of check | | | |
| Person giving information | | | |
| Title, rank or designation | | | |
| Name and address of organisation (if relevant) | | | |
| Information given (attach a separate sheet if required) | | | |

C Result of Check

Has verification been achieved? **YES** **NO**
 Is there a need to file a Suspect Transaction Report? **YES** **NO**

CHECKING OFFICER

Signature
 Date