



# Morris and Watson Australia Pty Ltd

Precious Metal Refiners, Dealers, Fabricators, Casters  
Chain Manufacturers and Distributors

## AML/CTF (AUSTRAC) Client Information Form (Know Your Customer Form) v8

SECTION 1 – STANDARD CLIENT INFORMATION			
CLIENT / ENTITY NAME:			
CLIENT TYPE: (please tick one)	<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> DOMESTIC COMPANY	<input type="checkbox"/> TRUST
	<input type="checkbox"/> SOLE TRADER	<input type="checkbox"/> PARTNERSHIP	<input type="checkbox"/> SMSF (any type)
SECTION 2 – RESPONSIBLE PERSON INFORMATION			
Please provide the details, as per below. Please supply additional pages if more than two persons.			
<ul style="list-style-type: none"> <li><b>Individual/Sole Trader:</b> Person(s) engaging Morris and Watson Pty Ltd to undertake the designated service;</li> <li><b>Domestic Company:</b> Person(s) representing the company engaging Morris and Watson Pty Ltd, each individual Director (public or private companies) and Shareholders (25% or more and if a PTY LTD);</li> <li><b>Trusts/SMSF:</b> One of the authorised individual Trustees or Beneficiaries (if the trust comprises of individuals);</li> <li><b>Partnership:</b> Each individual member of the partnership.</li> </ul>			
RESPONSIBLE PERSON ONE			
FULL NAME:			
DATE OF BIRTH:		PHONE:	
RESIDENTIAL ADDRESS:			
POSITION (if a company):			
EMAIL (if required):			
RESPONSIBLE PERSON TWO			
FULL NAME:			
DATE OF BIRTH:		PHONE:	
RESIDENTIAL ADDRESS:			
POSITION (if a company):			
EMAIL (if required):			
SECTION 3 – CLIENT BUSINESS INFORMATION			
Please provide the relevant information if you are acting as business (including sole traders).			
BUSINESS ADDRESS:			
PHONE:		MOBILE:	
EMAIL:			
WEBSITE:			
ABN:		ACN:	
SECTION 4 – IDENTIFICATION REQUIREMENTS			
SECTION 4A – INDIVIDUAL IDENTIFICATION REQUIREMENTS			
The company needs to collect: <b>photo ID, full name, date of birth and current Australian residential address.</b>			
Primary Photo ID (one of)	Primary Non-Photo ID (one of)	Primary Secondary ID (one of)	
<ul style="list-style-type: none"> <li>Driver's licence (current, front and back);</li> <li>Passport (&lt;2 years expired);</li> <li>Proof of age card (current);</li> <li>National ID card (current); or</li> <li>Firearms licences (current).</li> </ul>	<ul style="list-style-type: none"> <li>Birth certificate;</li> <li>Commonwealth citizenship certificate;</li> <li>Medicare, Concession or other Commonwealth card (current); or</li> <li>Other citizenship/birth certificate.</li> </ul>	<ul style="list-style-type: none"> <li>Commonwealth, State and Territory financial benefits notice (&lt;12 months old);</li> <li>ATO notice (&lt;12 months old); or</li> <li>Local utilities provider notice (&lt;3 months old).</li> </ul>	
For low to medium risk customers, please refer to section 4B on 'safe harbour' verification requirements. Your Morris and Watson contact will advise if you are a low to medium risk customer.			

## SECTION 4B – ‘SAFE HARBOUR’ VERIFICATION REQUIREMENTS FOR INDIVIDUALS

For low to medium risk customers, the following documents are acceptable, based on if the document is being supplied as a; physical or certified copy **OR** if Morris and Watson are verifying documents electronically (e.g. you are emailing uncertified copies/scans) that will be verified using a third-party document verification service (DVS).

- **Physical/certified copies:** primary photographic ID **OR** primary non-photographic ID **AND** secondary document;
- **Electronic verification:** primary photographic ID **AND** primary non-photographic ID **or** secondary document (only Australian Government Documents can be electronically verified by Morris and Watson).

## SECTION 4B – IDENTIFICATION REQUIREMENTS FOR NON-INDIVIDUAL ENTITIES

Please provide the below information for the relevant entity you are engaging Morris and Watson PTY LTD as. This may also include providing information per the requirements for an individual in **section 4A**, if listed below.

Australian Companies	Trusts and SMSF	Partnerships
Original or certified copies of the below; <ul style="list-style-type: none"><li>• Full business name and details (address, ABN/ACN);</li><li>• Evidence of the directors and beneficial owners (if PTY LTD.)</li></ul>	An original or certified copy of the trust/SMSF agreement showing; <ul style="list-style-type: none"><li>• Full name of the Trust</li><li>• Full business name and details</li><li>• Full name(s) of all beneficiaries</li></ul> At least one of the Trustee's will need to be verified as per the requirements for an individual in <b>section 4A</b> .	An original or certified copy of the partnership agreement showing; <ul style="list-style-type: none"><li>• Full name of Partnership</li><li>• Full business name and details</li><li>• Full name(s) of all partners</li></ul> At least one of the partners will need to be verified as per the requirements for an individual in <b>section 4A</b> .

## SECTION 5 – POLITICALLY EXPOSED PERSONS (PEPs)

A PEP is an individual (or close family member of an individual) who holds a prominent position in a public, government, international organisation. Examples of PEPs include: government ministers or equivalent politicians, senior government executives, high ranking judges, high-ranking military officers, or board members and executives of an international organisation. Please consult with you Morris and Watson contact if you have any further questions.

<b>Are you considered to be a Politically Exposed Person</b> (please tick and comment if yes)?	<b>YES</b>	<input type="checkbox"/>	<b>NO</b>	<input type="checkbox"/>
<b>Comment</b>				

## SECTION 6 – ELECTRONIC FUNDS TRANSFER (EFT) INFORMATION

**Please only complete this section if you are selling bullion to Morris and Watson Australia Pty Ltd.**

Please provide the details of the bank account where Morris and Watson Pty Ltd can deposit funds on request.

**NOTE:** It is a requirement that the account be in the name of, or includes the name of, the business, client or an individual named in Sections 2 and 3 (if completed). Please note that deposits cannot be made onto credit cards.

<b>BANK:</b>			
<b>ACCOUNT NAME:</b>			
<b>BSB:</b>		<b>ACCOUNT NUMBER:</b>	

## SECTION 7 – DECLARATION

**By completing and signing the declaration below, I/We confirm:**

- That the details supplied are true and correct to the best of my knowledge and that I will not at any time utilise the services of Morris and Watson for any unlawful means;
- Lawful authorisation to represent the entity listed; and
- Authorisation and consent for Morris and Watson Pty Ltd to undertake any and all inquiries necessary to verify the information that I have provided on this form in relation to their compliance with the relevant legislation, including using third-party document verification services (DVS).

<b>PERSON 1 NAME:</b>			
<b>SIGNATURE:</b>		<b>DATE:</b>	
<b>PERSON 2 NAME:</b>			
<b>SIGNATURE:</b>		<b>DATE:</b>	

Office Use Only

Checked by: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_