



# Westpac Margin Lending Authorised Representative Form

Use this form to nominate additional people to operate your Westpac Margin Loan Facility on your behalf. With the exception of receiving a margin call (which will be directed to the Margin Call Contact), an authorised representative can do anything you are able to do under your Westpac Margin Loan Facility (including but not limited to increasing the loan, buying and selling investments and changing your contact details). You may provide us with a written request to terminate this appointment at any time. Your authorised representative must be an Australian resident for tax purposes.

## Form instructions

The **original** of this form and any other required information must be sent to:

🏠 Westpac Margin Lending  
GPO Box 3917, Sydney NSW 2001

### Questions?

If you have any questions regarding completing this form, please call us on 1800 816 222 Monday to Friday, 8.30am – 5.30pm (Sydney time).

## 1. Borrower's details

Borrower's name(s)

Borrower's client code

## 2. Authorised representative request

I/We request you to:

- Add an Authorised Representative to my/our Westpac Margin Loan account. (Complete sections 4 and 6)
- Change the Authorised Representative on my/our Westpac Margin Loan account. (Complete sections 3, 4 and 6)
- Remove the existing Authorised Representative from my/our Westpac Margin Loan account. (Complete sections 3 and 6)

## 3. Remove existing authorised representative

Name of Authorised Representative

## 4. Authorised representative request

Title:  Mr  Mrs  Miss  Ms  Other

Given name(s) (include first and middle names)

Surname

Alternate name(s) (if any)

Date of birth



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**4. Authorised representative request (continued)**

Home phone number

Mobile phone number

Work phone number

Email address\*

*\*In the future, we may elect to email correspondence to you.*

Current residential address (PO Box is not acceptable)

Relationship to the borrower(s)

Current employment status

Full-time     Part-time     Casual/temporary/contractor     Self-employed

Other Specify

Occupation (if self-employed, describe nature of business)

Are you an existing Westpac customer?     Yes     No

If **Yes**, select and complete ONE of the following forms of identification. Note that the name of the account identification must be the same name you have provided above.

Westpac account details

BSB number

Account number

Account holders name(s)

**OR** Westpac customer number

If **No**, to meet our obligations under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*, we must identify customers before we provide a service. Refer to the Proof of Identification section, in Appendix A of this form, for a list of acceptable documentation and eligible certifiers.

Have you already provided us with your Foreign Tax Residency information?

Yes. Please note that in instances where we cannot substantiate this from our records, we will contact you for more information.

No. The below question is mandatory and must be completed. Please refer to Section D of this Form for more information.



#### 4. Authorised representative request (continued)

Are you a tax resident of any other country outside of Australia? (refer to section 7)

Yes  No

Country

Tax Identification Number (TIN)

Reason (if a TIN is not available)  Reason 1  Reason 2  Reason 3

Country

Tax Identification Number (TIN)

Reason (if a TIN is not available)  Reason 1  Reason 2  Reason 3

If you have additional countries of which you are a Foreign Tax Resident, please photocopy this section, provide the additional details and attach to this form.

#### 5. Privacy statement and consent request – authorised representative

##### Privacy statement.

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at [westpac.com.au/privacy/privacy-statement](http://westpac.com.au/privacy/privacy-statement) or by calling us on 132 032. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your application or request.

##### Your consent.

By signing below, you consent to us collecting and holding any sensitive information such as health information or information about your racial or ethnic origin which appears on copies of your identity documents. You will not be able to withdraw your consent to us holding this information after it has been provided because we are required to retain copies of identification documents under the *Anti-Money Laundering and Counter Terrorism Financing Act 2006* (Cth).

#### 6. Signing section

##### By signing this form, I/we agree that:

- Westpac Margin Lending is authorised to provide any information in relation to my/our Westpac Margin Loan Facility to the authorised representative(s) and can assume that each authorised representative(s) has the authority to operate the loan independently.
- Westpac Margin Lending may verify instructions received from the authorised representative(s) but is not obliged to do so.
- I/We will ratify any action taken by the authorised representative(s) in accordance with this authority.
- The nominated authorised representative confirms that they are an Australian resident for tax purposes.
- Where you are a tax resident of a country(ies) other than Australia, you have provided this information in this form.



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## 6. Signing section (continued)

For company or company trustee borrowers, either two directors, or one director and the secretary OR the sole director and the secretary must sign. Indicate your company capacity by marking the appropriate box below your signature.

Signature of **Authorised Representative**

Date

X

/ /

Full name of **Authorised Representative** (please print)

Signature of **Borrower 1**

Date

X

/ /

Full name of **Borrower 1** (please print)

Director  Sole Director and Secretary

Signature of **Borrower 2**

Date

X

/ /

Full name of **Borrower 2** (please print)

Director  Company Secretary

## 7. Foreign tax residents

We are required under domestic and international laws to collect and report financial and account information relating to individuals and organisations who are, or may be, foreign tax residents. We may ask you whether you or any shareholder, beneficiary, settlor or controlling person are a foreign tax resident from time to time, such as when you open an account with us, or if your circumstances change. If you do not provide this information to us we may be required to limit the services we provide to you.

Unless you tell us otherwise, by completing any application, you certify that any shareholder, named beneficiary, settlor or controlling person is not a foreign tax resident. You must tell us if you, or any shareholder, named beneficiary, settlor or controlling person is, or becomes, a foreign tax resident (unless an exemption applies, such as for shareholders of listed companies). Where there are no named beneficiaries (e.g. for beneficiaries identified only as a class) you must tell us if a beneficiary is a foreign tax resident immediately when any decision is made to identify and make a distribution to them. You may contact us to provide foreign tax residence information by calling 1300 725 863.

If the Individual or Entity is a tax resident of any other country outside of Australia, please indicate the country(ies) in which they are a resident for tax purposes and each country's associated Tax Identification Number (TIN)\*.

If a TIN is not available, please select one of the reasons against the appropriate country:

Reason 1: Foreign TIN is not issued by this country.

Reason 2: Individual is under age (applies to individuals only).

Reason 3: Foreign TIN pending issue by the country's tax authority.

We cannot give tax advice, so please contact your independent tax advisor if you need help finding out whether any person is a foreign tax resident.

\*A Foreign TIN is an identifying number or equivalent issued by the Individual or Entity country of the tax residency that is used for tax purposes.



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# Appendix A: Lending Proof of Identification

All Westpac Margin Lending applicants (including individuals, individual trustees, company directors/guarantors, beneficial owners and authorised representatives), who are not existing Westpac customers, must provide certified copies of identification documents in accordance with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act 2006).

**Note:** It is an offence under the *AML/CTF Act 2006* to knowingly provide false or misleading information or knowingly produce a false or misleading document.

This document details acceptable identification documentation for all persons/entities as mentioned above, who are a party to a Westpac Margin Loan Facility. Please consult the relevant sections that apply to you.

## A. Proof of Identification and Certification of Identity Documents for Individuals

**Refer to this section if you are:**

- An individual/sole trader and/or joint individual borrower
- An authorised representative
- An individual trustee for a trust borrower
- A company director.

If any of the above persons are not existing Westpac customers, they must provide original certified copies of acceptable identification documentation by an approved certifier.

**Your identification documents can be certified by either:**

1. Your financial adviser – where they have introduced you to a Westpac Margin Loan Facility, have an Australian Financial Services Licence FSC/FPA and 2 or more continuous years of service with one or more licensees. Your financial adviser must complete the appropriate IFSA Identification Form and attach it to your application or request.
2. Any other eligible certifier as listed in the Certified Identification Form (CID) for Individuals which is attached (see Categories of acceptable certifiers). Your certifier must complete this form and attach it to your application or request together with the certified identification documents.

If you are unable to provide the required identity documents, contact us on 1800 816 222 for further options.

## B. Proof of Identification and Certification of Identity Documents for Trusts

Refer to this section if the borrower is a trust. Where the trustee is an individual/s, please also refer to Section A above. Where the trustee is a corporate, the company directors must also refer to Section A above.

Trustee borrowers must provide an original certified copy of the dated and stamped (where applicable) trust deed.

**Your copy of the trust deed can be certified by either:**

1. Your financial adviser – where they have introduced you to a Westpac Margin Loan Facility, have an AFSL and 2 or more continuous years of service with one or more licensees. Your financial adviser must complete the appropriate FSC/FPA Identification Form and attach it to your application together with the original certified identification documents.
2. Any other eligible certifier as listed in the 'Categories of acceptable certifiers' section of the Certified Identification Form.



## Document verification procedure

- The certifier will need to print their name, date and qualification/occupation which makes them an eligible certifier on each photocopied document (for guidance on who can certify, refer to the 'Categories of acceptable certifiers' section after the Certified Identification Form).
- The certifier must include the following statement on each photocopied document "I certify that this is a true copy of the original document."
- Photocopies of certified documents will not be accepted. The original certification and signature of the certifier must be visible.

If you need any assistance, please contact us on 1800 816 222 for further options.

## Identification Documents

### Important.

The ID documents you supply must:

- be an original certified copy
- be valid, clear and must not be cancelled, defaced or mutilated. Where applicable, the ID cannot be expired.

In addition:

- Certifiers must also provide their details on the Certified Identification Form for individuals.

**Note:** Different identification documents and methods can be used to verify the identity of Indigenous customers. Where needed, the Remote Indigenous Communities Verification form can be used in conjunction with this form.

### PART I - Primary Photographic Identification Document (documents must be valid and not expired)

Tick  Select ONE document from this section only

Australian passport (can either be current or expired within the last 2 years but must not be cancelled, defaced or mutilated)<sup>^</sup>

Foreign passport issued by a foreign government, the United Nations or an agency of the United Nations (must not be cancelled, defaced or mutilated)<sup>^</sup>

Foreign travel document issued by a foreign government, the United Nations or an agency of the United Nations<sup>^</sup>

Australian licence/permit (can either be a driver's licence, learner's permit)<sup>^</sup>

Foreign driver's licence which contains a photograph<sup>^^</sup>

Proof of age card issued by a State or Territory (or equivalent)<sup>^</sup>

National identity card issued by a foreign government, the United Nations or an agency of the United Nations<sup>^</sup>

<sup>^</sup> must contain photograph and signature

<sup>^^</sup> must contain photograph and/or signature



## Identification Documents

### PART II – Primary Non-Photographic Identification Document AND ONE Secondary Identification Document (complete only if you cannot provide documents from Part I)

**Tick ✓ Select ONE Primary Non-Photographic document from this section only**

- Full Australian birth certificate (or extract) issued by State/Territory Registry of Births, Deaths and Marriages
- Full Foreign birth certificate issued by a foreign government, the United Nations or an agency of the United Nations
- Australian citizenship certificate
- Citizenship certificate issued by a foreign government
- Centrelink pension card (Australian)

**Tick ✓ AND ONE Secondary Identification Document from this section**

- A financial benefits notice issued by the Commonwealth or a State/Territory within the last 12 months and includes the customer's name and residential address (e.g. a notice from Centrelink)
- Australian Taxation Office (ATO) notice issued within the last 12 months and includes the customer's name and residential address
- Utilities notice issued by a local government or utilities provider within the last 3 months and includes the customer's name and residential address
- Foreign driver's licence which does not contain a photograph
- Department of Veterans' Affairs pension concession card (Australian)
- A current tenancy/lease agreement (must not be cancelled or expired)
- National identity card issued by a foreign government, the United Nations or an agency of the United Nations
- Medicare card
- Australian Marriage certificate issued by State/Territory Registry of Births, Deaths and Marriages
- Identification card issued to a student at an Australian higher education institution (TAFE or University)\*\*
- Notice issued by the principal of a school (must be less than 3 months old, include the name of the customer, residential address, period of school attendance and issued on a school letterhead)
- A current card issued under a Commonwealth, State, or Territory law for the purpose of identification, for a government service, or as a licence

\*\* must contain photograph and/or signature



**Certified Identification Form (to be used by individuals only)**

**Privacy Statement and Consent Request.**

**Privacy Statement.**

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at [westpac.com.au/privacy/privacy-statement](http://westpac.com.au/privacy/privacy-statement) or by calling us on 132 032. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your application or request.

**Consent Request: Individual to be identified.**

By signing below, you consent to us collecting and holding any sensitive information such as health information or information about your racial or ethnic origin which appears on copies of your identity documents. You will not be able to withdraw your consent to us holding this information after it has been provided because we are required to retain copies of identification documents under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth).

If you do not consent to our collection of any such sensitive information, you may verify your identity in person at any branch.

**Details and signature of Individual to be identified**

CIS No.

(if known)

Account number (if known)

Account name

Individual (name in full)

Other names known by (if any)

Individual's Signature

Date

**Certifier's Details and Declaration**

**Note to Certifier:** Please ensure copies are legible and record the following on each copy of the identification provided. "This is a true copy of an original or certified copy document provided"; then print and sign your name, date and Qualification No. (if applicable) and also provide your details below so that we may contact you if necessary to confirm this information.

**Certifier's Declaration.**

I certify that:

1. The person named above signed this form in my presence.
2. I sighted originals of the documents noted on reverse of form.
3. I am satisfied that the documents produced were genuine and that to the best of my knowledge they confirm the name, address and/or date of birth of the person named above.

Category No. of acceptable certifier (see list below)

Qualification No. (if applicable)





**Certifier's Details and Declaration (continued)**

**Full Name of Certifier.**

Title	First Name	Family Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Residential address - *PO Box not allowed*

Daytime Contact Number

Signature

Date

**Categories of acceptable certifiers  
(The following people can certify the customer's identification documents)**

1. A person enrolled on the Roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described).
2. A judge of a court.
3. A magistrate.
4. A chief executive officer of a Commonwealth court.
5. A registrar or deputy registrar of a court.
6. A notary public (for the purposes of the *Statutory Declaration Regulations 1993*).
7. A police officer.
8. An Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*).
9. A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.
10. An officer with two or more years of continuous service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*).
11. A Justice of the Peace.
12. An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public.
13. A permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public.
14. A finance company officer with two or more years of continuous service with one or more finance companies (for the purposes of the *Statutory Declaration Regulations 1993*).
15. An officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more years of continuous service with one or more licensees.
16. Any person specifically appointed as our agent to certify identity.
17. A Commissioner of Declarations.
18. A Commissioner of Affidavits.

**Note:** Non-residents - certification by the following acceptable certifiers - categories numbered 2, 3, 5, 6, 17 and 18 as equivalent within the certifier's country of residence.

