



## High Threshold Transaction Form

This form has been prepared in accordance with IOOF group's AML/CTF Program. The information collected in this form will be solely used for 'know your client' (KYC) purposes.

The form **must** be completed for any additional investment, contribution, rollover, transfer and/ or deposit where the amount **is equal to, or more than, \$2 million:**

- Please provide detailed answers and provide the requested documentation to all questions to minimise required follow-up.
- Enter 'N/A' where the question does not apply.

### Step 1: Client details

Account number (if known)

Account name\*

\* Note: refers to name under which the account has been set up (ie name of the individual, proprietary concern, company, trust, SMSF etc).

### Contact person details

Title (Dr/Mr/Mrs/Ms/Miss)  Surname

Given name(s)

Date of birth  /  /

### Current residential address

Street

Suburb  State  Postcode

### Step 2: AML/CTF Checklist

#### 1 How long has the investor been a client of the advisory firm?

(ie how well does the adviser know the client, their background, their investment structure, their transaction behaviours)


**2 Why specifically is the client investing in to this IOOF product (where the funds/transaction form part of a new application)?**


**3 Please confirm the investor’s source of wealth (how the client has obtained their wealth) and provide sufficient documentation to prove it**

- Income from employment (eg regular and/or bonus)
- Investment income (eg rent, dividends, pension)
- Business income
- One-off payment (eg matured investment, court settlement, redundancy, inheritance)
- Sale of assets (eg shares, property)
- Windfall (eg gift, lottery, gambling)

**4 Please confirm the investor’s source of funds (specifically the source of the monies that will fund this transaction) and provide sufficient documentation to prove it**

- Income from employment (eg regular and/or bonus)
- Investment income (eg rent, dividends, pension)
- One-off payment (eg matured investment, court settlement, redundancy, inheritance)
- Sale of assets (eg shares, property)
- Windfall (eg gift, lottery winnings, gambling)
- Borrowed funds

**5 Has clear and presentable certified ID been provided to IOOF as part of the application process or has it now been provided as part of this high threshold transaction?**

Yes  No

If **No**, please note your transaction cannot be processed until a copy of the ID is provided to IOOF.

Adviser name

Adviser signature

Date 



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**Please forward all correspondence and enquiries to**

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**Web** www.ioof.com.au