



IOOF

ESSENTIAL INVESTMENT

9 May 2022

Change of signatories and trustees

Please complete these instructions in BLACK INK using CAPITAL LETTERS and ✓ boxes where provided.

Complete this form to request to add, change or remove an individual or corporate signatory or associated entity (ie trustee, beneficiary, directors, company secretary, authorised signatory) from an existing IOOF Essential Investment account.

Step 1: Account details

Account number

Account name

Step 2: Change of trustee type

Complete this section if you wish to change the trustee type.

Change of individual trustee(s) to a corporate trustee

OR

Change from corporate trustee to an individual trustee(s)

Please note: where you are changing the trustee type, please provide additional detail through steps 3 and 4 where required. Where you are changing from corporate to individual trustee(s) the directors will be converted to individual trustees unless otherwise advised.

Step 3: Change of company acting as a trustee

Complete this section if you wish to add and/or remove company acting as a trustee of a Trust or SMSF.

Add a company acting as a trustee

Full name as registered by ASIC

Australian Company Number (ACN)

Registered Company Address

Suburb State Post code

Principal Place of business*

Suburb State Post code

Director identification number (optional)

Remove a company acting as a trustee

Full name as registered by ASIC

Australian Company Number (ACN)

* A PO Box cannot be accepted for the Principal Place of Business.

Step 4: Change of individual associated with an account

Complete this section if you wish to add and/or remove an individual associated with an IOOF Essential Investment Account.

Add individual 1

SMSF or Trust

Trustee Director

Company or Association

Director Company Secretary Other (Associations Only)

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>		
Given name(s)	<input type="text"/>				
Date of birth	<input type="text"/>	Gender	Male <input type="checkbox"/>	Female <input type="checkbox"/>	
Email	<input type="text"/>				
Phone (home)	<input type="text"/>	Phone (mobile)	<input type="text"/>		
Residential address	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>	Post code	<input type="text"/>
Mailing address (if different from above)	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>	Post code	<input type="text"/>
Director identification number (optional)	<input type="text"/>				

Anti-Money Laundering and Counter-Terrorism financing (AML/CTF) requirements

Are you a Politically Exposed Person? Yes No

If you have nominated yourself to be a Politically Exposed Person (further information can be located in the additional information section of this form), you must complete and attach the following:

- a Politically Exposed Persons form (www.ioof.com.au)
- original certified copies of your identification documents

Tax Residency

Please answer both questions as you can be a tax resident of more than one country.

Are you a tax resident of Australia? Yes No

Are you a tax resident of any other country? Yes No

If you are only a tax resident of Australia and no other country please proceed to Step 6. If you are a tax resident of any other country please complete step 5.

Signature

Date

Add individual 2

SMSF or Trust

Trustee Director

Company or Association

Director Company Secretary Other (Associations Only)

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>	
Given name(s)	<input type="text"/>			
Date of birth	<input type="text"/>	Gender	Male <input type="checkbox"/>	Female <input type="checkbox"/>
Email	<input type="text"/>			
Phone (home)	<input type="text"/>	Phone (mobile)	<input type="text"/>	
Residential address	<input type="text"/>			
Suburb	<input type="text"/>	State	<input type="text"/>	Post code <input type="text"/>
Mailing address (if different from above)	<input type="text"/>			
Suburb	<input type="text"/>	State	<input type="text"/>	Post code <input type="text"/>
Director identification number (optional)	<input type="text"/>			

Anti-Money Laundering and Counter-Terrorism financing (AML/CTF) requirements

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Tax Residency

Please answer both questions as you can be a tax resident of more than one country.

Are you a tax resident of Australia? Yes No

Are you a tax resident of any other country? Yes No

If you are only a tax resident of Australia and no other country please proceed to Step 6. If you are a tax resident of any other country please complete step 5.

Signature

Date

Remove individual 1

SMSF or Trust

Trustee Director

Company or Association

Director Company Secretary Other (Associations Only)

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

Given name(s)

Date of birth

Signature

Date

Remove individual 2

SMSF or Trust

Trustee Director

Company or Association

Director Company Secretary Other (Associations Only)

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

Given name(s)

Date of birth

Signature

Date

Step 5: Confirmation of taxation residency details

If an individual added to the account is a tax resident of any other country please complete the details below.

Foreign Residents only – Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

Under FATCA and CRS laws, we are required to ask all investors to provide additional information about their tax residency. Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person’s residence or place of work.

For all countries where you are a tax resident please provide a TIN (Tax Identification Number) which is the number assigned by each country for the purposes of administering tax laws such as a Social Security Number in the US. If a TIN cannot be provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Taxation residency details for Individual 1 added to account.

Country	TIN	If no TIN, please list Reason A, B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more countries, provide details on a separate sheet and tick this box

Reasons for not providing a TIN:

Reason A – The country of tax residency does not issue TINs to tax residents, OR

Reason B – You have not been issued with a TIN – **please provide details for this reason**, OR

Reason C – The country of tax residency does not require the TIN to be disclosed.

Reason you have not been issued with a TIN (if applicable)

Taxation residency details for Individual 2 added to account.

Country	TIN	If no TIN, please list Reason A, B or C
<input style="width: 100%; height: 24px;" type="text"/>	<input style="width: 100%; height: 24px;" type="text"/>	<input style="width: 100%; height: 24px;" type="text"/>
<input style="width: 100%; height: 24px;" type="text"/>	<input style="width: 100%; height: 24px;" type="text"/>	<input style="width: 100%; height: 24px;" type="text"/>
<input style="width: 100%; height: 24px;" type="text"/>	<input style="width: 100%; height: 24px;" type="text"/>	<input style="width: 100%; height: 24px;" type="text"/>

If there are more countries, provide details on a separate sheet and tick this box

Reasons for not providing a TIN:

Reason A – The country of tax residency does not issue TINs to tax residents, OR

Reason B – You have not been issued with a TIN – **please provide details for this reason**, OR

Reason C – The country of tax residency does not require the TIN to be disclosed.

Reason you have not been issued with a TIN (if applicable)

Step 6: Declaration and signature(s)

Important note: The Service Operator collects the information in this form in order to process your instructions. Any personal information provided in this form will be handled in accordance with the Service Operator’s privacy policy available at www.ioof.com.au/privacy.

This form should be signed by all incoming and remaining signatories. If additional signature space is required please attach additional copies of the additional signatures page.

- I/We have read in full and agree to the terms and conditions within the IOOF Essential Investment IDPS Guide (offer document) and continue to agree with the fees disclosed within the Offer Document, and as are being charged by my financial adviser.
- I/We declare that the details given in this form are true and correct.
- I/We consent to the collection and use of the above information by the Service Operator for the purposes specified.
- I/We authorise for the above changes to be made to the account.
- I/We will promptly notify IOOF Essential if any of these details change and on request with any further information which is necessary or desirable for IOOF Essential to comply with any obligations it may have in connection with FATCA/CRS.
- I/We declare that if one or more of our corporate trustee’s controlling persons (as defined under FATCA) is a foreign tax resident, we have provided all required details of those persons in Step 4 and 5. If Step 4 and 5 are not completed, I/we declare that none of the controlling persons of the corporate trustee is a foreign tax resident.

I/We have attached the required documents to enable IOOF Essential to confirm the identify the individuals and entities being added to the account.

Signature

Signatory 1		Date	
Full name			
Role (such as Investor/Director/Trustee as applicable)			

Additional signatures (if required)

Signatory 2 Role (such as Investor/ Director/Trustee as applicable)		Date	
Full name			
Signatory 3 Role (such as Investor/ Director/Trustee as applicable)		Date	
Full name			
Signatory 4 Role (such as Investor/ Director/Trustee as applicable)		Date	
Full name			
Signatory 5 Role (such as Investor/ Director/Trustee as applicable)		Date	
Full name			
Signatory 6 Role (such as Investor/ Director/Trustee as applicable)		Date	
Full name			
Common seal (of company) if required			

Please forward all correspondence and enquiries to

Post: IOOF Essential
 GPO Box 264, Melbourne VIC 3001

Email: clientfirst@ioof.com.au

Telephone: 1800 913 118

Web: www.ioof.com.au



IOOF

ESSENTIAL INVESTMENT

9 May 2022

Change of signatories and trustees

Additional information to assist you in completing this form

Completing this form

Separate forms need to be completed for each account held. If more than 2 individuals are being added or removed from the account please complete an additional form.

Change of Ownership

This form cannot be used to initiate a request that would result in a change of ownership on an existing account such as adding an investor to a joint account. Change of ownership on existing accounts cannot be actioned with this form. If you wish to hold an account under a different ownership structure you will need to open a new account.

Online Access

Once a trustee director, or company secretary has been added to the account they are able to register for online access at www.ioof.com.au. The nominated signatory is responsible for the confidentiality of the passwords issued to them and for managing those passwords, including advising us to cancel or suspend a password of a nominated signatory.

Politically Exposed Person

In accordance with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF) we are required to confirm if an individual is a Politically Exposed Person.

Politically Exposed Persons are individuals who occupy or have occupied a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates, either within or outside Australia.

Supporting Documents

Trust/SMSF

The following documents must be provided when amending the trustees and/or beneficiaries of a SMSF or Trust:

- Cover letter clarifying the instructions.
- Appropriate documentation to satisfy our AML/CTF obligations (refer to Completing Proof of Identity guide available at www.ioof.com.au).
- Letter/minutes signed by all incoming and outgoing trustees confirming there is no change in beneficial ownership and/or a certified copy of the 'Deed of Retirement and Appointment of Trustee' or equivalent.

Company

When amending the associated signatories of a company (which may or may not be a corporate trustee of a Trust or SMSF) the following documents must be provided:

- Cover letter clarifying the instructions.
- Appropriate documentation to satisfy our AML/CTF obligations (refer to Completing Proof of Identity guide available at www.ioof.com.au).
- A full ASIC search extract that confirms the current directors.

Association

When amending the authorised signatories of an Association the following documents must be provided:

- Covering letter which sets out the changes to be made.
- Appropriate documentation to satisfy our AML/CTF obligations (refer to the Completing Proof of Identity guide available at www.ioof.com.au).
- Documentation evidencing the change in signatories. (E.g. Minutes of the general meeting/committee meeting approving the change in signatories.)

Please note additional information may be required in the event of death.