

Identification Record for a Signatory to an Account

100 Point Check

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 s.20A(1)(b)(i) of the FTR Act) for a signatory to an account. Refer to the Regulations 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, 10B of the *Financial Transaction Reports 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.

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

Name of signatory	<input style="width: 100%;" type="text"/>
Account name	<input style="width: 100%;" type="text"/>
Account number	<input style="width: 100%;" type="text"/>

TYPE OF CHECK	AVAILABLE POINTS	POINTS SCORED	DETAILS TO BE RECORDED
1 PRIMARY DOCUMENTS NAME of signatory from one of the following: <ul style="list-style-type: none"> • Birth 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 of a passport (e.g. this may include some diplomatic documents and some documents issued to refugees) • Citizenship certificate 	70	<input style="width: 50px;" type="text"/>	Score 70 points only. (Do not score additional points for more than one document.) Provide document 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 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> .	40	<input style="width: 50px;" type="text"/>	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:	40	<input style="width: 50px;" type="text"/>	Provide document details in A overleaf, or keep a copy of the document. Regulation 4(1)(j)
	40	<input style="width: 50px;" type="text"/>	
	40	<input style="width: 50px;" type="text"/>	
4 NAME of signatory verified from the following, (but only where they contain a photograph or signature that can be matched to the signatory):	40	<input style="width: 50px;" type="text"/>	Provide document details in A overleaf, or keep a copy of the document. Regulation 4(1)(f)
<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) 	40	<input style="width: 50px;" type="text"/>	
<ul style="list-style-type: none"> • An identification card issued to a public employee • An identification card issued to a person by the Commonwealth, a State or Territory as evidence of the person's entitlement to a financial benefit 	40	<input style="width: 50px;" type="text"/>	
<ul style="list-style-type: none"> • An identification card issued to a student at a tertiary education institution 	40	<input style="width: 50px;" type="text"/>	
5 NAME and ADDRESS of signatory verified from the following:	35	<input style="width: 50px;" type="text"/>	Provide document/ check details in A or B overleaf, or keep a copy of the document. Regulation 4(1)(a)(iii)-(iv)
	35	<input style="width: 50px;" type="text"/>	
6 NAME and ADDRESS of signatory verified from the following:	35	<input style="width: 50px;" type="text"/>	Provide details in B overleaf. Regulation 4(1)(a)(i)-(ii), (v)-(vi)
	35	<input style="width: 50px;" type="text"/>	
	35	<input style="width: 50px;" type="text"/>	
	35	<input style="width: 50px;" type="text"/>	

7 NAME, ADDRESS and TELEPHONE NUMBER verified: **25** Provide phone number in B below.
 • 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 Regulation 4(1)(d)

8 NAME of signatory verified from any other secondary identification document relating to the signatory, e.g. credit card, Medicare card, telephone account, council rates notice, etc. **25** Provide document 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 VisaCard issued from the same financial institution, only one may be counted. **25**
25
25 Regulation 4(1)(g)

9 NAME and ADDRESS of the signatory verified from the following: **25**
 • The electoral roll compiled by the Australian Electoral Office and available for public scrutiny
 • An acceptable referee (refer to AUSTRAC Information Circular No. 3) **25**
Note: It is not required that the acceptable referee has known the signatory for 12 months or more
 • If the signatory lives or carries on business in rented accommodation—the owner or landlord of the premises or a real estate agent acting as managing agent of the premises **25** Provide details in B below.
 • The records of a public utility **25**
 • The records of another financial body of which the signatory is a known customer **25**
 • A record held under a law other than a law relating to land titles (for which, see No. 6) **25** Regulation 4(1)(b)

10 NAME and DATE OF BIRTH of the signatory verified from any one of the following: **25** Provide details in B below.
 • The records of a primary, secondary or tertiary educational institution attended by the signatory within the last 10 years **25**
 • The records of a professional or trade association of which the signatory is a member **25** Regulation 4(1)(c)

The signatory is taken to be identified if the signatory rates at least 100 points **TOTAL** Regulation 3(2)

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			
Age (if shown)			
Place of residence (if shown)			
Date of issue			
Place of issue			
Expiry date			
Document number			

B List below the details of the method(s) and source(s) of verification for Checks 2, 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 / /