

Financial Transaction Reports Act 1988

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.

Name of signatory

Account name

Account number

TYPE OF CHECK	AVAILABLE POINTS	POINTS SCORED	DETAILS TO BE RECORDED	
<p>1 PRIMARY DOCUMENTS NAME of signatory from one of the following:</p> <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 <p>and some documents issued to refugees)</p> <ul style="list-style-type: none"> • Citizenship certificate 	Score 70 points only. (Do not score additional points for more than one document.)	70	<input type="text"/>	Provide document details in A overleaf, or keep a copy of the document.
<small>Regulation 4(1)(e)</small>				
<p>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>.</p>		40	<input type="text"/>	Provide details in B overleaf..
<small>Regulation 4(1)(h)</small>				
<p>3 NAME of signatory verified from a written reference from one of the following, signed by both the person giving it and the signatory:</p> <ul style="list-style-type: none"> • Another financial body certifying that the signatory is a known customer of at least 12 months standing • Another customer who has been verified as a signatory by the cash dealer and who has known the signatory for at least 12 months • An acceptable referee (refer to AUSTRAC Guideline 3 and AUSTRAC Information Circular 3) who has known the signatory for at least 12 months 		40	<input type="text"/>	Provide document details in A overleaf, or keep a copy of the document.
		40	<input type="text"/>	
		40	<input type="text"/>	
<small>Regulation 4(1)(j)</small>				
<p>4 NAME of signatory verified from the following, (but only where they contain a photograph or signature that can be matched to the signatory):</p> <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) • 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 • An identification card issued to a student at a tertiary education institution 		40	<input type="text"/>	Provide document details in A overleaf, or keep a copy of the document.
		40	<input type="text"/>	
		40	<input type="text"/>	
		40	<input type="text"/>	
<small>Regulation 4(1)(f)</small>				
<p>5 NAME and ADDRESS of signatory verified from the following:</p> <ul style="list-style-type: none"> • A document held by the cash dealer giving security over the signatory's property • A mortgage or other instrument of security held by another financial body 		35	<input type="text"/>	Provide document details in A overleaf, or keep a copy of the document.
		35	<input type="text"/>	
<small>Regulation 4(1)(a)(iii)-(iv)</small>				
<p>6 NAME and ADDRESS of signatory verified from the following:</p> <ul style="list-style-type: none"> • A current employer, or a previous employer within last 2 years • A rating authority (e.g. land rates) • The Credit Reference Association of Australia (subject to the <i>Privacy Act 1988</i>) • Land Titles Office records 		35	<input type="text"/>	Provide details in B overleaf
		35	<input type="text"/>	
		35	<input type="text"/>	
		35	<input type="text"/>	
<small>Regulation 4(1)(a)(i)-(ii), (v)-(vi)</small>				

7	NAME, ADDRESS and TELEPHONE NUMBER verified: <ul style="list-style-type: none"> 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 	25	<input type="text"/>	Provide phone number in B below.
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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. 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 Visa Card issued from the same financial institution, only one may be counted.	25	<input type="text"/>	Provide document details in A below, or keep a copy of the document.
		25	<input type="text"/>	
		25	<input type="text"/>	
		25	<input type="text"/>	

Regulation 4(1)(g)

9	NAME and ADDRESS of the signatory verified from the following: <ul style="list-style-type: none"> The electoral roll compiled by the Australian Electoral Office and available for public scrutiny An acceptable referee (refer to AUSTRAC Information Circular No.3) 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 The records of a public utility The records of another financial body of which the signatory is a known customer A record held under a law other than a law relating to land titles (for which, see No.6) 	25	<input type="text"/>	Provide details in B below.
		25	<input type="text"/>	
		25	<input type="text"/>	
		25	<input type="text"/>	
		25	<input type="text"/>	
		25	<input type="text"/>	

Regulation 4(1)(b)

10	NAME and DATE OF BIRTH of the signatory verified from any one of the following: <ul style="list-style-type: none"> The records of a primary, secondary or tertiary educational institution attended by the signatory within the last 10 years The records of a professional or trade association of which the signatory is a member 	25	<input type="text"/>	Provide details in B below.
		25	<input type="text"/>	

Regulation 4(1)(c)

The signatory is taken to be identified if the signatory rates at least 100 points	TOTAL	<input type="text"/>	
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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 organization (if relevant)		
Information given (attach a separate sheet if required)		

C Result of check

Has verification been achieved?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
			CHECKING OFFICER Signature <input style="width: 100%;" type="text"/>
Is there a need to file a Suspect Transaction Report?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date <input style="width: 100%;" type="text"/>