

*To be completed by a registered accountant or lawyer and placed on their firm's letterhead
incl Full legal name, address and contact details to be clearly displayed*

[Letter date - 01/01/2000]

Attestation of Beneficial Owner(s) & Ownership structure

Ref: [NAB customer reference number, if any]

Re "Company": [Full customer legal name and ACN - Example Pty Ltd, ACN XXX XXX XXX]

We/I act on behalf of [Name of Company] listed above (the **Company**).

Ultimate Beneficial Owners:

Based on my independently acquired knowledge, we/I declare that only the individuals below hold 25% or more shares or voting rights in the Company.

- [Insert full legal name of individual 1, residential address, date of birth and percentage of shareholding/voting rights - Jane Mary Example, 1 Smith St., Smithville NSW, 2000, Australia, 01/01/2000, 30% shareholding]
- [Insert full legal name of individual 2, residential address, date of birth and percentage of shareholding/voting rights]
- [Insert full legal name of individual 3, residential address, date of birth and percentage of shareholding/voting rights]
- [Insert full legal name of individual 4, residential address, date of birth and percentage of shareholding/voting rights]

[OR]

[There are no ultimate beneficial owners in the Company. We/I confirm that no individual holds 25% or more of the shares or voting rights of the Company. The following person is the Senior Managing Official of the Company:

Full name: _____

Position within the company: _____

Date of birth: _____

Residential Address: _____

This individual makes, or participates in making, decisions that affect the whole, or a substantial part of the business of the Company, or who has the capacity to significantly affect the financial standing of the Company.]

Ownership Structure [if relevant]

[Where there are non-beneficially held shares and/or foreign companies, Refer to the 'Ownership Structure Requirements' instructions to provide detailed information connecting the Company to the Ultimate Beneficial Owner or Senior Managing Official. E.g. According to ASIC, [% of shares] of the shares in [THE FOCUS COMPANY] are held Non - Beneficially by [Entity/Individual (e.g. ABC Pty LTD As Trustee For the XYZ Trust)]

Regards,

[Signature]

[Full name – Alice Accountant]

[Position]

[Registration, accreditation, identification, or membership number – Charter Accountant Member Number – XXXXXX]

[Details of accountant/lawyer's firm including full legal name, address and contact details]

INSTRUCTIONS:

To meet our regulatory obligations, we are required to identify any individual who directly or indirectly ultimately owns 25% or more of the company via shares (i.e. for a Proprietary Limited Company, Public Unlisted Company Limited by Shares, or Publicly Listed Company), or voting rights (i.e. for an Unlisted Public Company Limited by Guarantee).

Where there are non-Beneficially held shares (NBH) and foreign companies within a company ownership structure, we require detailed information connecting the company to the Ultimate Beneficial Owner or Senior Managing official, provided by a registered accountant/lawyer attesting to the ownership structure.

The above Attestation of Beneficial Owners and Ownership Structure (**Attestation**) is for use by a registered account/lawyer. Using the above Attestation template, your accountant/solicitor must:

- Provide details for any Beneficial Owner holding 25% or more shares or voting rights in the Company, including their full legal name, residential address and date of birth OR attest that no individual directly or indirectly holds more than 25% of shares. Where there are no beneficial owners, provide the Senior Managing Official for the company.
- Provide details on the ownership structure, if relevant (i.e. for non-beneficially held shares, foreign company) of the Company. See the Ownership Structure Requirements section below for more details.
- Provide their own details as the attesting accountant/lawyer, including full name, role/title, accreditation (e.g. CPA or CA..) and registration number.
- Include information about the accountant/lawyer's firm, including full legal name, address and contact details (i.e. letterhead or within an email signature).
- Date the communication, and if a letter, provide their signature.

Ownership Structure Requirements

The following ownership structure information must be included within the above template in the following instances:

- **Non-Beneficially Held shares:** Please confirm
 - the percentage of shares held
 - the share class
 - on whose behalf these shares are being held for (i.e Trust arrangement, an individual)
 - the holding arrangement (e.g. discretionary trust, bare trust, nominee shareholding)
 - If held on behalf on a non-individual (e.g. a company), please include their government issued ID number (such as their ACN or ABN) and/or equivalent overseas registration number, and country of incorporation.
 - If held on behalf on a non-individual, please include the full trust name or the full name, date of birth and residential address of the individual.
- **Shares owned by a foreign entity or by a public company:** Please provide an organisational chart (or equivalent), which must include:
 - the full name of each shareholder
 - percentage of shares held

- the class of shares held
- and whether the shares are being held beneficially or non-beneficially
- For non-individuals, please include their ABN and/or equivalent overseas registration number, and country of incorporation.

This must be attested by a registered accountant/lawyer that it is a true reflection of the organisation together with their professional title, accreditation (e.g. CPA/CA) and registration number.

- **Circular ownership:** Where two or more entities within the ownership structure part-own each other, resulting in a circular ownership structure, please provide details for any ultimate beneficial owners (individuals holding 25% or more of shares) within the ownership structure OR attest that no individual directly or indirectly holds more than 25% of shares.
- **Shares owned by a Partnership:** Please provide a partnership agreement, or preferably the accountant can confirm the controlling rights/votes of each partner in this letter.
- **Shares owned by other entities, such as an association:** Please confirm the details of the Senior Managing Official (SMO) of the association including full legal name, role in the association, date of birth and registered address.

This attestation can be provided to the email address listed in our original correspondence as an email, or attached as a letter:

- **Email:** emailed from the attesting accountant/lawyers business email address, it must contain all required details within the Attestation template, including details of the accountant/lawyer's firm clearly displayed within the email signature. This email can be forwarded from the customer or sent directly to NAB if the customer reference number is included.
- **Letter:** emailed as a letter attachment, it must contain required details in the Attestation template, be placed on the attesting accountant/lawyer's firm letterhead and include their written signature.