

Hybrid Gaming Client Due Diligence

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1. Why Do We Collect Information from You

As part of its obligations under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2007* (Cth) ("AML/CTF Act"), Next Payments is required to collect and verify the identity of a potential client and its beneficial owners before providing a financial service to the client.

This form, and any requested certified documents, will be the basis upon which Next Payments will conduct its due diligence to ensure compliance with the AML/CTF Act.

2. Company / Business Information

Legal Name	ACN	Date of Incorporation

Business Name (if different)	ABN	Phone Number

Email	
Address: Registered Office	
Address: Place of Business	
Website URL	

3. Governance Structure

Please provide a list all Office Bearers (e.g. Directors, Partners, Trustee, or an Association Chairman, Secretary, Treasurer or Authorised Officer):

Individuals Full Name	Title	Date of Birth	Residential Address

Politically Exposed Persons: Do any individuals with effective control of your organisation hold any public positions? If so, please provide details:

Individuals Full Name	Public Position Held	Name of Government Dept / Public Entity

4. Regulatory Supervision

Please respond to all questions in the following section:

Are you an AUSTRAC reporting entity under the AML/CTF Act? Please provide AML/CTF Compliance Officer Name

What other regulatory/industry bodies and related governing regulation are you subject to? Please provide details

Have any directors of your organisation ever been disqualified in the management of a company? Please provide details

Have any directors of your organisation ever been banned from practicing in the financial services industry? Please provide details

Have you been the subjected to any regulatory or industry enforcement actions, violations notices, suspension or warning over the last 12 months, including in relation to AUSTRAC?

5. General Policies, Practices and Procedures

Does the organisation have a legal and regulatory compliance program that includes a designated officer that is responsible for coordinating and overseeing the AML/CTF framework? If yes, please provide a copy of the program

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Is the compliance program approved by the organisation's board or a senior committee?

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Has the AML Program been reviewed by an independent assessor? If yes, please provide a copy of the last review

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Has the organisation developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions? How are these policies and processes implemented in the organisation?

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In addition to inspections by the government supervisors/regulators, does the organisation client have an internal audit function or other independent third party that assesses AML/CTF policies and practices on a regular basis?

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Does the organisation have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates?

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Does the organisation have record retention procedures that comply with applicable law?

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Does the organisation have a customer complaint handling procedure?

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Does your organisation communicate your policies, procedures and controls of your AML/CTF policy? If yes, please explain how such policies and procedures are communicated

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Does your organisation conduct verification checks at the time of job applications on your staff e.g.

- a) Satisfactory character references
- b) Check of curriculum vitae accuracy
- c) Confirmation of the claimed academic and professional qualifications
- d) Independent identity check
- e) Criminal background check

If yes, please provide details

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6. Know Your Customer Assessment and Reporting

Has the organisation implemented processes for the identification of new customers?

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Does the organisation have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information?

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Does the organisation have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities?

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Does the organisation screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities?

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How many Suspicious Matter Reports (SMRs) have you submitted in the last 12 months?

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Does your organisation store customer information outside of its country of operation? Under which jurisdictions?

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Does your organisation have a public privacy policy? If yes please provide the URL

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7. Training

Does the organisation provide AML/KYC training to relevant employees which includes information relating to the identification and reporting of transactions that must be reported to Austrac?

Does the organisation retain records of its training sessions including attendance records and relevant training materials used?

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Does the organisation communicate new AML/KYC related laws or changes to existing policies or practices to relevant employees?

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8. Documentation Checklist

Please provide the following documents with submission of the Client Due Diligence form:

- a) Your AML/CTF policy document
- b) Copy of last independent review
- c) Liquor & Gaming Licences
- d) Copy of Austrac My Business page (displaying your Austrac account number)
- e) Gaming Cards Terms and Conditions

Note: Next Payments is reliant on your program's policies and procedures being in place hence we reserve the right to request further information as required by the Next Payments Compliance Team.

9. Authorised Persons Certification

I hereby certify that:

- (a) I am authorised to complete this form on behalf of the organisation.
- (b) I declare that to the best of my knowledge the information I have provided is true and correct as at the date of this document.
- (c) I understand that it is an offence to knowingly give false or misleading information or knowingly produce a false or misleading document under the AML / CTF Act.
- (d) Consent is provided to Next Payments to collect personal information to satisfy:
 - (i) Identification requirements under the AML/CTF Act and Rules and such information may be exchanged with verification agencies (which may be overseas) and members of the Next Payments; and
 - (ii) Its obligations under the Foreign Account Tax Compliance Act ("FATCA") and the Common Reporting Standard ("CRS") to provide information to the Australian Taxation Office.

All collected information will be used in accordance with Next Payments' Privacy Policy published at <https://www.nextpayments.com.au/privacy/>.

10. Certified By:

Name

Signature

Position

Date