

# Procedure: \$10K Payout

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## 1. PURPOSE

Ipswich Jets has customer identification and verification obligations under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)* for payments of \$10,000 or more.

## 2. PROCEDURE TO BE FOLLOWED BY:

- Gaming Floor Staff
- Supervisor/Duty Manager
- Club Operations Manager (AML/CTF Compliance Officer) or their delegate.

### Gaming Floor Staff

Normal payout procedures apply for these payments. Certain documentation must be sighted and information recorded for auditing purposes. The Supervisor/ Duty Manager is responsible for the collation of this information.

### Supervisor/Duty Manager

The Supervisor/Duty Manager must ensure that the customer is identified and verified before payment is made.

The customer must provide their name and either their date of birth or current residential address. Copies of the sighted documents must be kept with the transaction records.

The Duty Manager/Supervisor will verify the following KYC information collected from the customer:

1. Full name (first, second and surname) and;
2. Either:
  - the customers date of birth; or
  - the customers residential address.

## 3. PROCEDURE

**When a transaction of \$10,000 or more occurs:**

1. Complete the PROCEDURE: AML/CTF \$10K CUSTOMER PAYMENT FORM.<sup>1</sup> The patron must verbally provide their full name, date of birth and residential address.
2. Using the PROCEDURE: AML/CTF \$10K CUSTOMER PAYMENT FORM (the authorised staff member) must ensure the following sections are completed:

Section 1 - Payout/Transaction Details

Section 2 - KYC INFORMATION, to be verbally collected from the customer

Section 4 – Verification of identification

Section 5 - ECDD Procedure, completed by the Club Operations Manager.

3. Section 4 – Verification of identification, sight a copy of one of the following documents (listed at Section 3 of the CUSTOMER PAYMENT FORM ) in the presence of the prizewinning patron:

**Table 1**

Identification Verification Method No 1 PHOTOGRAPHIC ID	
1.	Australian Passport OR Foreign Passport – must be written in English
2.	Australian Driver Licence OR Foreign Drivers Licence – must be written in English
3.	Proof of Age card
4.	National Identity Card

4. Verify that the documents produced by the customer have not expired.
5. Complete Section 4 – Verification of Identification. Record the type of identification document used to verify the customers; full name, date of birth and residential address on the PROCEDURE: AML/CTF \$10K CUSTOMER PAYMENT FORM.
6. Verify that the customer’s full name, and either the residential address and birth date are correct. If a discrepancy is evident then:
  - a) The customer must provide a minimum of one other form of photographic identification as per Table 1 above which shows their current name and either their date of birth or current residential address as per Table 1 above; or
  - b) The customer must provide a minimum of one non-photographic identification document from Table 2 (5, 6 or 7) and one secondary identification document from Table 2 (8, 9, or 10) below; that when combined, show their current name, date of birth and residential address.

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<sup>1</sup>PROCEDURE: AML/CTF \$10K CUSTOMER PAYMENT FORM – AML/CTF Program Appendix 11  
 10. [JETS] PROCEDURE - \$10K Payout RATV3.docx V2  
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**Table 2**

Identification Method (VM) No 2	
5.	Birth Certificate or Birth Extract
6.	Citizenship certificate
7.	Centrelink Pension Card, Medicare Card, Credit Card – Visa/Mastercard
8.	Any government financial benefits notice
9.	ATO notice (not less than 12 months old)
10.	Local Government or utilities notice (rates notice, electricity or gas bill – not less than 3 months old), where the notice contains the name and residential address of the customer

7. Ensure that photocopies of the following documents as per Table 3 below are attached to the PROCEDURE: AML/CTF \$10k CUSTOMER PAYMENT FORM. These documents are the 'AML/CTF Transaction Records'.

**Table 3**

Transaction Records	
1.	Gaming Machine Payout Voucher/Record
2.	\$10K Customer Payment Form
3.	Photocopy of the drawn cheque
4.	Copy of namescan.io search results (if applicable)

6. **If the customer cannot provide acceptable identification the AML/CTF Compliance Officer must be notified.** If customer identification requires a “flexible approach” refer the matter directly to the AML/CTF Compliance Officer – payment cannot be made until authorised by the AML/CTF Compliance Officer.
7. Payment cannot be made until one of the IDENTIFICATION VERIFICATION METHODS (Table 1 and Table 2) has been met.
8. The cheque may only be given to the person who is the prize-winner and whose name appears on the PROCEDURE: AML/CTF \$10K CUSTOMER PAYMENT FORM. ID must be requested to confirm the identity of the person collecting the cheque as the legitimate prize-winner.

**Club Operations Manager (AML/CTF Compliance Officer)**

9. If any of the boxes at Section 5 - ECDD PROCEDURE are ticked ✓ refer to the PROCEDURE: POLITICALLY EXPOSED PERSON.

Note: PEPs fit into either a low risk (generally domestic or international organisation PEPs), or high risk category (foreign PEPs or high ML/TF risk domestic PEPs). The Club is required to determine which risk category the PEP fits into and then conduct the customer identification procedure accordingly. If, for example the PEP uses the Clubs Gaming Machines and receives a \$10,000 (or more) payout, they will need to be identified as per normal customer identification procedures – i.e. the Club will need to collect the PEPs:

- Full name,
- Residential address and
- Date of birth,

Then verify, using acceptable identification, the PEPs:

- Full name and either their;
- Address or date of birth.

10. Follow the PROCEDURE: POLITICIALLY EXPOSED PERSON to establish if the PEP is high risk and further information.

#### 4. REFERENCES

- PROCEDURE: AML/CTF \$10K CUSTOMER PAYMENT FORM
  - PROCEDURE: \$10,000 PAYOUT
  - SUPPORT PROGRAM: TRANSACTION MONITORING
  - PROCEDURE: ENHANCED CUSTOMER DUE DILIGENCE
  - PROCEDURE: UNUSUAL MATTER REPORT
  - POLICY: SUSPICIOUS MATTER
  - POLICY: KNOW YOUR CUSTOMER (KYC)
  - FORM: UNUSUAL MATTER REPORT
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