



Identification Documents for Trusts and Associations

(Trusts include family trusts, beneficial trusts and self managed superannuation funds)

These documents are required by LM Investment Management Ltd (LM) to identify investors as part of LM's obligations under the Australian Anti-Money Laundering and Counter Terrorism Financing Legislation.

Please complete the following steps:

1. Provide a copy of:
 - A. the trust identification documents; or
 - B. the association identification documents.
2. Provide a copy of:
 - A. the trustee's identification documents; or
 - B. the association's signatories' identification documents.
3. Ensure all document(s) are certified copies of the original documents.
4. Ensure all document(s) that are not in English are translated.
Details of which are on the next four pages.

Step 1: Provide a certified copy of either A) the trust identification documents or B) the association identification documents.

A. Trusts (including family trusts, beneficiary trusts)

The documents listed must confirm the Trust name and existence:

- a) Trust deed; or
- b) Extract of a trust deed; or
- c) Notice of assessment issued by the Australian Taxation Office within the last 12 months; or
- d) A letter signed by a solicitor or qualified accountant regarding the establishment of the trust.

Alternative documents for Australian Regulated Trusts, eg Self Managed Superannuation Funds (SMSF)

The documents listed must confirm the Trust name, existence and registration details:

- a) Current search of ASIC, Australian Tax Office or relevant regulator's website; or
- b) One of the options listed for a Trust.

B. Associations (non profit organisations, charitable bodies, clubs, cooperatives, religious organisation)

1. The documents listed must confirm the full name and any identification number of the association:

- a) Information provided by ASIC (*or equivalent governing body*); or
- b) A copy or extract of constitution, rules or register.

and

2. A document confirming authority to proceed with the investment and that the signatories (*Chairman, Secretary, Treasurer and/or Public Officer*) on the application form of the Product Disclosure Statement or Information Memorandum can act on behalf of the organisation, eg meeting minutes. These signatories must provide individual identification documents in Step 2.

Step 2: Provide certified copies of either A) the trustee's identification documents or B) the association's signatories' identification documents.

A. Trustee

One trustee must be identified:

- a) If the identifying trustee is a company, documents in 1 must be supplied.
- b) If the identifying trustee is an individual, documents in 2 must be supplied.

1. If the trustee is a company the documents listed must confirm full registration name, type (*public/private, listed/unlisted*) and registration number:

- a) Current ASIC or equivalent company search; or
- b) Certificate of registration issued by ASIC or equivalent government body.

Where a company is an Australian listed company or a majority owned subsidiary of an Australian listed company or regulated by an Australian regulator (*eg Australian Financial Services Licensee*) documents must confirm that the company is Australian listed or is majority owned by an Australian listed company or licensed.

- a) Current search of the financial market; or
- b) Current search of regulator if licensed; or
- c) Public document issued by the company (*eg annual report*).

2. If the trustee is an individual, the individual is required to provide a Type 1 document; or a Type 2 and a Type 3 document. The documents must be used for identification to show proof of your name, address and/or date of birth.

Type 1 Documents (must be a photographic document)

- > Current Passport or a similar document issued for the purpose of international travel (*if the passport has been issued by the commonwealth and has expired within the preceding two years of investment this will be acceptable*);
- > Current Driver's License;
- > Current National Identity Card.

Type 2 Documents

- > Birth Certificate;
- > Current Pension Card issued by Centrelink or equivalent Government Agency;
- > Citizenship Certificate.

Type 3 Documents

- > Letter from Financial Adviser (*whose adviser group has a terms of business agreement with LM*) confirming he/she has visited the individual at their address (*an example letter can be supplied by LM please telephone +617 5584 4500*);
- > Tax Assessment Notice (*not more than 12 months old*);
- > Utility Bill (*not more than three months old*);
- > Centrelink or equivalent Government Agency that provides a social security financial benefit confirmation (*must not be greater than 12 months old*);
- > Mortgage Statement (*must not be greater than 12 months old*);
- > Bank Statement (*must not be greater than 3 months old*).

B. Associations Signatories

The signatories (*Chairman, Secretary, Treasurer or Public Officer*) of the Association who are signing on the application form of the Product Disclosure Statements or Information Memorandum, must provide individual identification documents as noted for individual trustees above.

If you are unable to provide the required documents please contact LM on +617 5584 4500 as there may be alternative documents that can be provided.

Step 3: Ensure all documents are certified copies of the originals.

Sending Certified Documents

Provided the Financial Adviser identifying the investor holds original certified copies of identification documents for at least seven years from the investment end date, a scanned or faxed copy meets LM's requirements;

Or

Original certified copies of the identification documents should be sent to LM to hold on file.

How to Certify Documents

The person certifying the document(s) should use the following certification statement:

"I certify this to be a true and correct copy of the [Name of the Document], the original of which was produced to me at the time of signing and it is a true likeness of the identified (where there is a photo ID)"

The certifier must provide their name, occupation or address, then sign and date the certification.

Persons Who Can Certify Documents

- > A Finance Company Officer with two or more continuous years of service with one or more finance companies (*may include such professionals as Financial Adviser if their adviser group currently holds a terms of business agreement with LM*);
- > A Legal Practitioner who is on the role of Supreme Court of a State or Territory, or the High Court of Australia;
- > A Judge of a Court;
- > A Magistrate;
- > A Chief Executive Officer of a Commonwealth Court;
- > A Registrar or Deputy Registrar of a Court;
- > A Justice of the Peace;
- > A Notary Public (*for the purposes of the Statutory Declaration Regulations 1993*);
- > A Police Officer;
- > An Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- > A permanent employee of the Australian Postal Corporation with two or more years of continuous service;
- > An Australian Consular Officer or an Australian Diplomatic Officer;
- > An Officer with, or authorised representative of, a holder of an Australian financial services license, having two or more continuous years of service with one or more licensees;
- > A Member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants;
- > Dentist;
- > Medical Practitioner;
- > Nurse;
- > Optometrist;
- > Pharmacist;
- > Physiotherapist;
- > Bank Officer with two or more years of continuous service;
- > Building society officer with two or more years of continuous service;
- > Commissioner for Affidavits;
- > Commissioner for Declarations;
- > Credit Union officer with two or more years of continuous service; or
- > Teacher employed on a full time basis at a school or tertiary education institution.

Step 4: Ensure documents that are not in English are translated.

How to Translate Documents

The translator must at minimum confirm in English the name, registration date and registration number (*where applicable*), company/trust/association type, trust/association purpose and address of the investing company/trust/association, and the name, date of birth and/or address of the individuals.

The following statements should be used:

Company

“I hereby confirm that I have translated this [name of document] and confirm the company name, registration date and number, address and company type (omit as applicable or add information that requires translation) on the document are as follows: (provide details of the company name, registration date, identification number, address and company type or other details translated as applicable).”

Individual

“I hereby confirm that I have translated this [name of document] and confirm the name, address, date of birth (omit as applicable or add information that requires translation) on the document are as follows: (provide details of the name, address, date of birth or other details translated as applicable).”

Trust/Association

“I hereby confirm that I have translated this [name of document] and confirm the trust/association name, registration date and number, address and trust/association type and purpose (omit as applicable or add information that requires translation) on the document are as follows: (provide details of the trust/association name, registration date, identification number, address and trust/association type and purpose or other details translated as applicable).”

The translator must provide their name, occupation employer or address then sign and date the translation.

Persons Who Can Translate Documents

- > An accredited translator; or
- > The Financial Adviser verifying the identity of the investor may translate the documents if he is able to decipher them.