



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 trustees' and beneficiaries' identification documents; or
 - B. the association's signatories' identification documents.
3. Provide source of investment funds.
4. Ensure all document(s) are certified copies of the original documents.
5. Ensure all document(s) that are not in English are translated.
Details of which are on the next five 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, self managed superannuation fund trusts)

The documents listed must confirm:

- > Organisation name and purpose;
 - > Principal address;
 - > Beneficial owners;
 - > Trustees; and
 - > Any unique identification number.
- a) Trust deed or extract of a trust deed confirming the trust's name, trustees, the beneficial owners and the purpose of the trust; and
 - b) If registered, the registration certificate or current regulatory body or equivalent search confirming registration or incorporation; and
 - c) A valid utility bill, bank statement (*no older than 3 months*), tax return or audited financial report (*no older than 12 months*) confirming address or a letter signed by a trustee confirming the trusts principal address.

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

1. The documents listed must confirm:
 - > Organisation name and purpose;
 - > Principal address;
 - > Members of Governing Body;
 - > Any unique identification number; and
 - > Authority to proceed with investment.

- a) If registered, a certified copy of the registration certificate or current regulatory body or equivalent association search confirming full name, date of registration or incorporation and any unique identification number; or
- b) If not registered, a certified copy of meeting minutes, constitution or letter signed by two members of the governing body (*eg Chairman, Secretary, and Treasurer etc*) on your associations letterhead confirming the above;
and
- c) A valid utility bill, bank statement (*no older than 3 months*) or tax return (*no older than 12 months*) confirming principal address;
and
- d) A document evidencing authority to proceed with the investment eg meeting minutes;
and
- e) A document confirming that the signatories on the application form of the Product Disclosure Statement (PDS) or Information Memorandum (IM) can act on behalf of the organisation eg meeting minutes. These signatories must provide individual verification of identity documents in 'Step 2'.

Step 2: Provide a certified copy of; A) the Trustees' and Beneficiaries' identification documents or B) the Association's Signatories' identification documents. Any individual identification documents are specified in C.

A. Trustees' and Beneficiaries' Identification Documents

All trustees and beneficiaries identities must be verified.

- a) If any trustee is a company, documents under the heading "Company Trustee" must be supplied;
- b) For individual trustees and beneficiaries documents under the heading "Individual Trustee" and "Individual Beneficiary" must be supplied.

Company Trustees

1. The documents must confirm the company's full:

- > Name;
- > Registration;
- > Company type (*public/private/listed/unlisted*);
- > Directors;
- > Beneficial owners/shareholders;
- > Principal address; and
- > Identification number.
- > If not registered, incorporate details including date of incorporation.

- a) If registered, certificate of registration; or
- b) If not registered evidence of incorporation;
and
- c) Current regulatory body, stock exchange or equivalent company search; or
- d) Audited financial reports (*no older than 12 months*); or
- e) Memorandum and articles of association
confirming company name, type (*private/public and listed/unlisted*), identification number, directors and shareholders;
and
- f) A copy of a valid utility bill (*no older than 3 months*); or
- g) bank statement (*no older than 3 months*); or
- h) tax return (*no older than 12 months*)
confirming principal address.

2. All Directors/Secretary signing on behalf of the company trustee and shareholders of trustee companies must provide identification documents to confirm individual identity as noted for individuals below in C.

Individual Trustees

Individual trustees must provide identification documents to confirm individual identity as noted for individuals below in C.

Individual Beneficiaries

Individual trust beneficiaries must provide identification documents to confirm individual identity as noted for individuals below in C.

B. The association's signatories' identification

The Chairman, Director, Secretary, Treasurer and/or Public Officer of the association who signed the Product Disclosure Statement or Information Memorandum application form must provide identification documents to confirm individual identity as noted for individuals below in C.

C. Individual identification documents

Each individual that needs to provide identification documents noted above must provide a Type 1 and Type 2 document.

Type 1 Documents

- > 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

- > Letter from Financial Adviser (*whose adviser group has a terms of business agreement with LM*) confirming he/she has visited the client 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*).

Step 3: Provide a Certified Copy of Source of Investment Funds

One of the documents below must be provided for each source of investment.

*Note: When providing copies of investor bank accounts ensure that they show where the funds originated as well as the investment amount prior to transfer to LM.

Source of Investment

Source of Investment Evidence

Trust Profits

- > Copy of tax return;
- > Copy of trust accounts;
- > Copy of bank statements showing regular savings.

Association Profits	> Copy of association accounts.
Property Sale	> Signed letter from Solicitor; > Certified copy of sale contract; > Signed letter from estate agent.
Loan	> Loan agreement; > Recent loan statements.
Gift	> Donor's source of wealth - requirements of evidence as stated above for each source of wealth and a letter from the donor confirming details of the gift.
Multiple Sources	> Where evidence of investment funds is made up of multiple sources of investment or evidence is unable to be obtained at the time of investment (<i>eg clients travelling</i>), a letter from the Financial Adviser (<i>whose advising group has a Terms of Business Agreement with LM</i>) can be used. The letter must be on company letterhead and confirm the source of investment funds and that verification of the sources is retained by the Adviser for seven years from investment end date. LM may obtain this at any time upon request. A template letter is available from LM Investment Management Limited.

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 4: 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:

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| <ul style="list-style-type: none"> > A Finance Company Officer with two or more continuous years of service with one or more finance companies (<i>may include such professionals as Financial Adviser if their adviser group currently holds a terms of business agreement with LM</i>); > A Legal Practitioner who is on the role of Supreme Court of a State or Territory, or the High Court of | <ul style="list-style-type: none"> 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; |
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- > 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 5: 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, source of funds 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, source of funds 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.