

Anti Money Laundering Form for AML Verification of Identity Companies

Please provide the verification of identity documents set out below.

Documents listed must be provided prior to investment.

Section 1 > Company Details

1 The documents listed must confirm:

- > Organisation name;
- > Registration through the Australian Securities and Investment Commission (ASIC) or equivalent regulatory body;
- > Company type (*public/private/listed/unlisted*); and
- > Registration number (*ABN*)

- a) Original certified copy (*certified by a suitable certifier*) of the registration certificate issued by ASIC or equivalent regulatory body; or
- b) Current ASIC or equivalent regulatory body company search

2 Where a company is an Australian listed company or a majority owned subsidiary of an Australian listed company or regulated by an Australian regulator e.g. Australian Financial Services Licensee, documents listed must confirm that the company is Australian listed or is majority owned by an Australian listed company or licensed.

The documents must confirm that the company is an Australian listed, majority owned by an Australian listed company or licenced in Australia.

- a) Current search of the financial market; or
- b) Current ASIC company search; or
- c) Current search of regulator if licenced; or
- d) Public document issued by the company e.g. annual report

Please Note:

Ensure all documents as noted are certified copies of originals. Refer below.

Certification of Documents

The person certifying the document(s) must 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 document must also have the signature, printed name, occupation, employer and address of the person certifying the document and the date of certification.

Suitable Certifiers

- > A Finance Company Officer with 2 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 2 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 licence, having 2 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 5 or more continuous years of service;
- > Building society officer with 5 or more years of continuous service;
- > Commissioner for Affidavits;
- > Commissioner for Declarations;
- > Credit union officer with 5 or more years of continuous service; or
- > Teacher employed on a full-time basis at a school or tertiary education institution.