

# Anti Money Laundering Form for AML Verification of Identity Companies

Please complete this form and provide verification of identity and source of investment documents specified in Section D and E for the company, directors and shareholders.

To be completed prior to investment in addition to the LM's Funds Product Disclosure Statement (PDS) or Information Memorandum (IM) application form.

## Section A

### Section A1: Company Details

Full organisation name :

Country/Countries of main business activity :

Purpose of investment :

If registered provide name of registration body :

### Section A2: Director(s)/Secretary Details

Please complete for all Director(s)/Secretary

#### Director 1

Name :

Residential Address :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

#### Director / Secretary

Name:

Residential Address :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

**If additional space is required please attach annexure signed by the individuals signing this form.**

**Section A3: Shareholder Details**

Please complete for all shareholders.

**Shareholder 1**

Name :

Entity Type : (if company) Public  Private  Listed or  Unlisted

Unique entity identification number :

Residential or principal address if company :

Street :

City / Town :

State : Post / Zip Code : Country : Date of Birth : / /

**Shareholder 2**

Name :

Entity Type : (if company) Public  Private  Listed or  Unlisted

Unique entity identification number :

Residential or principal address if company :

Street :

City / Town :

State : Post / Zip Code : Country : Date of Birth : / /

**If additional space is required please attach annexure signed by the individuals signing this form.**

**Section A4: Company Shareholder Details**

Please complete for individual shareholders of any company/companies listed in 'Section A3'

**Company Shareholder 1**

Company :

Name :

Entity Type : (if company) Public  Private  Listed or  Unlisted

Unique entity identification number :

Residential or principal address if company :

Street :

City / Town :

State : Post / Zip Code : Country : Date of Birth : / /

**Company Shareholder 2**

Company :

Name :

Entity Type : (if company) Public  Private  Listed or  Unlisted

Unique entity identification number :

Residential or principal address if company :

Street :

City / Town :

State : Post / Zip Code : Country : Date of Birth : / /

**If additional space is required please attach annexure signed by the individuals signing this form.**

## Section B> Source of Investment Information

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Please provide verification of source of investment funds as detailed in PDS or IM application form section 'Source of Investment Funds'. 'Section E' of this form provides examples of documents that should be used.

**If third party transfer, evidence must show source of funds from third party.**

## Section C> Declaration of Director(s)/Secretary

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I declare that the information provided in this document is true and complete.

**Signature 1**

**Date**

**Signature 2**

**Date**

### AML CHECKLIST FOR THE INVESTOR

- Has the photo ID with name, Date of Birth, and signature been provided for the Director(s) / Secretary / Shareholder(s)?
- Has the proof of address been provided for the Director(s) / Secretary / Shareholder(s)?
- Has the Source of Investment Funds been established and evidence provided?
- Have the Company documents been provided?
- Are the documents certified to be true and correct?
- Is this AML form signed by the investors?

## Section D > Verification of identity of the Company and all Directors and Shareholders

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### Section D1: Company

1 The documents listed must confirm:

- > Organisation name;
  - > Registration;
  - > Company type (*private/public/listed/unlisted*);
  - > Registered/Principal address;
  - > Beneficial owners/Shareholders;
  - > Registration or incorporation;
  - > Wealth; and
  - > Any unique identification number
- a) If registered, original certified copy (*certified by a suitable certifier*) of the registration certificate issued by a regulatory body or stock exchange; or
- b) If not registered evidence of incorporation; and
- c) Current regulatory body, stock exchange or equivalent company search; or memorandum and articles of association **confirming** company name, type (*private/public/listed/unlisted*), identification number, directors name and addresses and shareholders (*some of these details may be confirmed with document D below*); and
- d) A copy of a valid tax return or audited financial report (*no older than 12 months*) **confirming** annual profit, net assets and address

### Section D2: Individuals

Director(s)/Secretary and shareholders

**Each individual is required to provide both a Type 1 and Type 2 document prior to investment. A combination of the documents must be used for identification to show proof of your name, address, date of birth, and signature.**

#### Type 1 Documents (Photo ID with name, date of birth and signature confirmation)

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

## Type 2 Documents (Name and Address confirmation)

- > Letter from Financial Adviser confirming he/she has visited the Director / Secretary / Shareholder at their address
- > Utility Bill (*must not be greater than 3 months old*)
- > Tax Assessment Notice (*must not be greater than 12 months old*)
- > 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*)

If the above documents are unable to confirm residential address details please provide one of the following:

- > Current Tenancy Agreement;
- > Letter from employer confirming residential address and employment; or
- > Visa / Citizen certificate.

## Section E > Verification of Source of Investment Funds

One of the documents below must be provided for each source of investment. Please provide a certified copy of the signed original signed by a suitable certifier.

\* 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 item	Source of investment evidence
Savings from Income	<ul style="list-style-type: none"><li>&gt; Original or certified copy of a payslip (<i>or bonus payment</i>) from within the last three months</li><li>&gt; Latest audited accounts (<i>if self employed</i>) and Company Bank Statement</li><li>&gt; Confirmation from Employer of income and bonuses for last 2 years</li><li>&gt; Bank statements* clearly showing receipt of most recent 3 months regular salary payments from named employer</li></ul>
Trust Profits	<ul style="list-style-type: none"><li>&gt; Copy of tax return</li><li>&gt; Copy of Trust accounts</li></ul>
Association Profits	<ul style="list-style-type: none"><li>&gt; Copy of Association accounts</li></ul>
Occupational Pension Scheme	<ul style="list-style-type: none"><li>&gt; Original or certified copy of a payslip (<i>or bonus payment</i>) from within the last three months</li></ul>
Property Sale	<ul style="list-style-type: none"><li>&gt; Signed letter from Solicitor</li><li>&gt; Certified copy of Sale Contract</li><li>&gt; Signed letter from Estate Agent</li></ul>
Inheritance	<ul style="list-style-type: none"><li>&gt; Grant of Probate (<i>with a copy of the will</i>), which must include the value of the estate</li><li>&gt; Signed letter from Solicitor</li></ul>
Sale of Shares or Investments	<ul style="list-style-type: none"><li>&gt; Certified investment/savings certificates, contract notes, or surrender statements</li><li>&gt; Bank statements* clearly showing receipt of funds and investment company name</li><li>&gt; Signed letter detailing funds from a regulated Accountant</li></ul>
Company Sale	<ul style="list-style-type: none"><li>&gt; Signed letter from Solicitor or regulated Accountant</li><li>&gt; Copy of Contract of Sale, plus bank statement showing proceeds</li><li>&gt; Copies of media coverage (<i>if applicable</i>) as supporting evidence</li></ul>
Company Profits	<ul style="list-style-type: none"><li>&gt; Certified copy of latest audited Company Accounts</li></ul>
Compensation Payment	<ul style="list-style-type: none"><li>&gt; Letter/court order from compensation body</li><li>&gt; Signed letter from solicitor</li></ul>
Employer Paying Premium	<ul style="list-style-type: none"><li>&gt; Employer letter</li><li>&gt; Certificate of incorporation</li><li>&gt; Certified copy of latest audited account</li></ul>
Loan	<ul style="list-style-type: none"><li>&gt; Loan agreement</li><li>&gt; Recent loan statements</li></ul>
Lottery/Betting/Casino Win	<ul style="list-style-type: none"><li>&gt; Letter from relevant organisation (<i>Lottery Headquarters / Betting Shop / Casino</i>)</li><li>&gt; Bank statement* showing funds deposited by company name</li><li>&gt; Copies of media coverage (<i>if applicable</i>) would be helpful as supporting information</li></ul>
Gift	<ul style="list-style-type: none"><li>&gt; Donor's source of wealth - requirements of evidence as stated above for each individuals source of wealth and a letter from the donor confirming details of the gift</li></ul>

## 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 (eg. clients travelling), a letter from the Financial Adviser (whose advising group has a Terms of Business Agreement with LM) 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 7 years. LM may obtain this at any time upon request. A template letter is available from the Investment Services Department of LM Investment Management Limited.

## Please Note:

### Translation of Documents

If any of the verifying documents is not written in English, the document(s) must be accompanied by an English translation prepared by an accredited translator (NAATI Accreditation).

Alternatively if the financial adviser performing the verification of the investor is able to translate the non-English document(s), the following verification statement must be used:

**"I hereby verify 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).**

**Only an accredited translator or the financial adviser performing the verification may translate the document.**

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

### Certification of Documents

**Ensure all documents are certified copies of originals.**

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(s) 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.