

# Anti Money Laundering Form for AML Verification of Identity Individuals & Sole Traders

Please provide the verification of identity documents set out below.

**Each investor is required to provide a Type 1 document prior to investment.**

**If you cannot provide a Type 1 document then please provide both 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** (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 birth date confirmation)

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

## **Type 3 Documents** (Name and Address confirmation)

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- > Letter from Financial Adviser confirming he/she has visited the client at their address
- > Utility Bill *(must not be greater than 3 months old)*
- > Tax Assessment Notice *(must not be greater than 12 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)*
- > If the customer is under the age of 18 please provide a notice that:-
  - > Was issued by a school principal within the preceding three months and;
  - > Contains the name of the customer and his or her residential address;
  - > Records the period of time that the customer attended the school;
- > Current Tenancy Agreement; or
- > Letter from employer confirming residential address and employment.

### **Please Note:**

**Ensure all documents are certified copies of originals. Refer to page 2 for details.**

## Certification of Documents

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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 be dated and have the signature, printed name, occupation, employer and address of the person certifying the document.

## Suitable Certifiers

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- > 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.