

Anti Money Laundering Form for AML Verification of Identity Partnerships

Please provide the verification of identity documents set out below.

Documents listed must be provided prior to investment.

Section 1 > Partnership details

- 1 The documents listed must confirm:
 - > Full name of partnership; and
 - > If partnership is regulated by professional association, membership of that association
- a) Original certified copy (*certified by a suitable certifier*) or certified extract of partnership agreement or;
- b) Certified copy of partnership minutes; or
- c) Original certified copy (*certified by a suitable certifier*) of certificate of registration of business name issued by an Australian government body; or
- d) Tax assessment notice (*not more than 12 months old*) issued by the Australian Tax Office; and
- e) Current membership directory of the relevant professional association confirming membership as applicable

Section 2 > Partner Details (*as completed in PDS or IM application form*)

Each individual is required to provide a Type 1 document.

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)

- > 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)

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

Type 3 Documents (Name and address confirmation)

- > Letter from Financial Adviser confirming he/she has visited the Partner/s 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*)
- > Current Tenancy Agreement or
- > Letter from employer confirming residential address and employment.

Please Note:

Ensure all documents in 'Section 2' and as noted in 'Section 1' 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.