

Anti Money Laundering Form for AML Verification of Identity Trust, Self Managed Superannuation Funds & Associations

Please provide the verification of identity documents set out below based on your organisation type.

Documents listed must be provided prior to investment.

Section A > Trusts

- 1 The documents listed must confirm the Trust name and existence:
 - a) Original certified copy (certified by a suitable certifier) of trust deed; or
 - b) Certified extract of a trust deed; or
 - c) Notice of assessment issued by the Australian Taxation office within the last 12 months; or
 - d) A letter signed by a solicitor or qualified accountant
- 2 One trustee's identity must be verified:
 - a) If the verifying trustee is a company, documents in 'Section D' must be supplied.
 - b) If the verifying trustee is an individual, documents in 'Section E' must be supplied.

Section B > Australian Regulated Trusts *e.g. Self Managed Superannuation Funds (SMSF)*

The documents listed must confirm the Trust name, existence and registration details.

- a) Current search of ASIC, Australian Tax Office or relevant regulator's website; or
- b) One of the options listed for a Trust.

Section C > Associations *(non profit organisations, charitable bodies, clubs, cooperatives, religious organisations)*

- 1 The documents listed must confirm the full name and identification number of association.
 - a) Information provided by ASIC (*or equivalent governing body*); or
 - b) An original certified copy (*certified by a suitable certifier*) or extract of constitution, rules or register.
- 2 A document confirming that the signatories (*Chairman, Secretary, Treasurer, and/or Public Officer*) on the application form of the Product Disclosure Statement or Information Memorandum can act on behalf of the organisation e.g. meeting minutes. These signatories must provide individual verification of identify documents in 'Section E'.

Section D > Companies

- 1 The documents listed must confirm:
 - > Organisation name;
 - > Registration through ASIC or equivalent regulatory body;
 - > Company type (*public/private/listed/unlisted*); and
 - > Registration number (*ABN*)
 - a) Current ASIC or equivalent company search; or
 - b) Original certified copy (*certified by a suitable certifier*) of certificate of registration issued by ASIC.
- 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 must confirm that the company is Australian listed or is majority owned by an Australian listed company or licensed.
 - a) Current search of the financial market; or
 - b) Current search of regulator if licenced; or
 - c) Public document issued by the company e.g. annual report

Section E > Individuals

Verifying Trustee of Trust/SMSF or Chairman, Secretary, Treasurer or Public Officer of Association

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 Trustee or Chairman, Secretary or Public Officer of Association 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)*

Please Note:

Ensure all documents in Section E and as noted in other sections 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, name, occupation, employer and address of the person certifying/translating the document and the date of certification/translation.

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.