

Anti Money Laundering Form for AML Verification of Identity Trust, Self Managed Superannuation Funds & Associations (Charitable Bodies, Clubs, Non Profit Organisations)

Please complete this form and provide verification of identity documents specified in Section F. Documents are listed per organisation type.

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

Section A

Organisation Details

Full organisation name :

Any unique identification number :

Country/Countries of main business activity :

Purpose of investment :

Income of trust for the last financial year :

Section B > Beneficiaries of Trusts/Self Managed Superannuation Funds (SMSF)

Beneficiary 1

Name:

Residential or principal address if company :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

Beneficiary 2

Name:

Residential or principal address if company :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

Beneficiary 3

Name:

Residential or principal address if company :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

Section C > Director/Secretary details for any trustee company who signs the PDS or IM application form

Signatory 1

Name :

Residential or principal address if company :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

Signatory 2

Name :

Residential or principal address if company :

Street :

City / Town :

State :

Post / Zip Code :

Country :

Date of Birth : / /

Section D > Source of Investment Information

Please provide details in relation to source of investment funds as specified in PDS or IM application form section 'Source of Investment Funds' e.g. Date funds were received, who received from and amounts.

Please attach evidence of source if it is a third party payment.

Section E > Declaration of Trustees for Trust /SMSF or Chairman/Secretary/Treasurer/Public Officer for Association

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

Signature of Investor 1

Date

Signature of Investor 2

Date

AML CHECKLIST FOR THE INVESTOR

- Has the photo ID with name, Date of Birth, and signature been provided for the Trustee(s) / Beneficiaries / Chairman / Secretary / Treasurer / Public Officer(s) of Association or Director(s) / Secretary of Trust Company who have signed the PDS or IM?
- Has the proof of address been provided for the Trustee(s) / Beneficiaries / Chairman / Secretary / Treasurer / Public Officer(s) of Association or Director(s) / Secretary of Trust Company who have signed the PDS or IM?
- Has the Source of Investment Funds been established?
- Have the Company / Trust / Association documents been provided?
- Are the documents certified to be true and correct?
- Is this AML form signed by the investors?

Section F >Verification of identity of:

Section F1: Trusts and Self Managed Superannuation Funds

- 1 The documents listed must confirm:
 - > Organisation name and purpose;
 - > Principal address;
 - > Beneficial owners (*if any*);
 - > Trustees; and
 - > Any unique identification number
 - a) If registered, certified copy of the registration certificate or current regulatory body or equivalent company search confirming registration or incorporation; and
 - b) Original certified copy (*certified by a suitable certifier*) of trust deed or certified extract of a trust deed confirming the trust's name, trustees, the beneficial owners and the purpose of the trust; and
 - c) A valid utility bill, bank statement (no older than 3 months), tax return or audited financial report (no older than 12 months) confirming address or a letter signed by a trustee confirming the trusts principal address.
- 2 All trustees and beneficiaries identities must be verified.
 - a) If any trustee is a company, documents in 'Section F3' must be supplied
 - b) For individual trustees and beneficiaries documents in 'Section F4' must be supplied.

Section F2: Associations (*non profit organisations, charitable bodies, clubs, cooperatives, religious organisations*)

- 1 The documents listed must confirm:
 - > Organisation name and purpose;
 - > Principal address;
 - > Members of Governing Body; and
 - > Any unique identification number
 - a) If registered, a certified copy of the registration certificate or current regulatory body or equivalent association search confirming full name, date of registration or incorporation and any unique identification number;
 - b) If not registered, a certified copy of meeting minutes, constitution or letter signed by two members of the governing body (*e.g. Chairman, Secretary and Treasurer etc*) on your organisation's letterhead confirming the above; and
 - c) A valid utility bill, bank statement (*no older than 3 months*) or tax return (*no older than 12 months*) confirming principal address.
- 2 Please also provide:
 - a) A document evidencing authority to proceed with the investment e.g. meeting minutes; and
 - b) A document confirming that the signatories on the application form of the PDS or IM can act on behalf of the organisation e.g. meeting minutes. These signatories must provide individual verification of identity documents in 'Section F4.

Section F3: Trustee Companies

- 1 The documents listed must confirm the:
 - > Organisation name;
 - > Company type (*public/private/listed/unlisted*);
 - > Registered/Principal address;
 - > Directors;
 - > Beneficial owners/shareholders;
 - > Registration or incorporation; and
 - > Any unique identification number
 - a) If registered, certificate of registration;
 - b) If not registered evidence of incorporation; and
 - c) Current regulatory body, stock exchange or equivalent company search; or audited financial reports (*no older than 12 months*); or memorandum and articles of association **confirming** company name, type (*private/public and listed/unlisted*), identification number, directors and shareholders; and
 - d) A copy of a valid (*no older than 3 months*) utility bill, bank statement (*no older than 3 months*) or tax return (*no older than 12 months*) **confirming** address.
- 2 All shareholders with 25% or more ownership of trustee companies must provide verification documents to confirm individual identity. Documents in 'Section F4' must be supplied.

Section F4: Individuals

All Trustees and Beneficiaries of Trusts/SMSF; Shareholders of Trustee Companies with 25% or more ownership; Chairman, Director, Secretary, Treasurer and/or Public Officer of trustee company or association who signed the PDS or IM.

Each individual is required to provide both a Type 1 and Type 2 document.

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)

- > 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 Trustee / Chairman / Director / Secretary / Public Officer of the trustee company or 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)*

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

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.