



Anti Money Laundering Form for AML Verification of Identity Individuals & Sole Traders (Individual Business Owners)

Please complete this form and provide verification of identity documents specified in Section D.

Section A → Investor Details

Investor 1

Full Name:

Country of Citizenship:

Current Employer:

Investor 2

Full Name:

Country of Citizenship:

Current Employer:

Section B → Source of Income and Investment Information

Investor 1

Current Income

- Up to 50,000AUD
- Between 51,000 and 100,000AUD
- Over 100,000AUD

Investor 2

Current Income

- Up to 50,000AUD
- Between 51,000 and 100,000AUD
- Over 100,000AUD

Current Income Source

- Salary
- Dividend
- Profit
- Interest
- Other – Provide Details:

Current Income Source

- Salary
- Dividend
- Profit
- Interest
- Other – Provide Details:

B.2 Source of Investment Information

Please provide details in relation to source of investment funds. E.g. date funds were received, who received from and amount.

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

Section C → Declaration of investors

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

Signature of Investor 1/Power of Attorney

Date

Signature of Investor 2

Date

AML CHECKLIST FOR THE INVESTOR

- Has the photo ID with name, Date of Birth, and signature been provided?
- Has the proof of address been provided?
- Has the Source of Investment Funds been established?
- Are the documents certified to be true and correct?
- Is this AML form signed by the investors?

Section D → Verification of identity is to be provided by all investors and any authorised delegates or any person with power of attorney

Each investor, authorised delegate and power of attorney is required to provide both a Type 1 and a Type 2 document prior to investment.

A combination of the documents must be used for identification to show proof of your name, address and date of birth and signature.

Type 1 Documents (Photo ID with name, birth date 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 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)*
- > 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 investor is under the age of 18 please provide a notice that:-
 - > Was issued by a school principal within the preceding three months;
 - > Contains the name of the customer and his or her residential address;
 - > Records the period of time that the customer attended the school;

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

- > Current Tenancy Agreement; or
- > 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.