

AML VERIFICATION

Certified Documents Guide



- In accordance with the Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF) Act 2006 and associated AUSTRAC rules we are legally required to have verified the identity of the investor/s prior to providing the designated service (that is, arranging for the investor to invest in the SMA).
- InvestSMART have electronic verification processes in place to make this as simple as possible. Please feel free to contact us for more information on the electronic verification procedure. In the event you fail the electronic check or do not wish to participate we are required to collect original certified documents that satisfy our legal obligations under this legislation.
- **IMPORTANT:** All TRUST applicants will need to provide a certified copy of the Trust Deed explained in the below table. Electronic verification is only available to verify identities of individuals/trustees/directors etc.

Type of Investor	What we need
Individual	<ol style="list-style-type: none"> 1. Original certified copy of ID of the investor which can consist of either; <ul style="list-style-type: none"> • One (1) document from Section A (see page 2) OR • One (1) document from Section B AND One (1) document from Section C (see page 2)
Joint Investment	<ol style="list-style-type: none"> 1. Original certified copy of ID of BOTH investors which can consist of either; <ul style="list-style-type: none"> • One (1) document from Section A (see page 2) OR • One (1) document from Section B AND One (1) document from Section C (see page 2)
Trust incl. SMSF (with Individual Trustee/s)	<ol style="list-style-type: none"> 1. Original certified copy of Trust Deed (Cover page, Schedule page AND signature page) 2. Original certified copy of ID for ALL trustees which can consist of either; <ul style="list-style-type: none"> • One (1) document from Section A (see page 2) OR • One (1) document from Section B AND One (1) document from Section C (see page 2)
Trust incl. SMSF (with Corporate Trustee)	<ol style="list-style-type: none"> 1. Original certified copy of Trust Deed (Cover page, Schedule page AND signature page) 2. Original certified copy of ID for ALL directors of the Corporate Trustee which can consist of either; <ul style="list-style-type: none"> • One (1) document from Section A (see page 2) OR • One (1) document from Section B AND One (1) document from Section C (see page 2)
Company	<ol style="list-style-type: none"> 1. Original certified copy of ID for all directors which can consist of either; <ul style="list-style-type: none"> • One (1) document from Section A (see page 2) OR • One (1) document from Section B AND One (1) document from Section C (see page 2)
Partnerships	<ol style="list-style-type: none"> 1. Original certified copy of ID for all partners which can consist of either; <ul style="list-style-type: none"> • One (1) document from Section A (see page 2) OR • One (1) document from Section B AND One (1) document from Section C (see page 2)

Certifying your documents

An originally certified copy is a copy of a document that has been certified as a true copy of an original document.

To obtain an originally certified copy, present the original AML document and a photocopy of that document to one of the people listed below. The person certifying the document will need to include the following information on the photocopy:

- “I certify that this is a true copy of the original document”;
 - And the certifier’s:
 - Full name
- Occupation, qualification, position or registration number (if any), which makes them eligible to certify documents;
- The date (within 3 months of received date) the document was signed and the certifier’s signature.

If this certification does not appear, you may be asked for new certified documents.

Who can certify AML Documents?

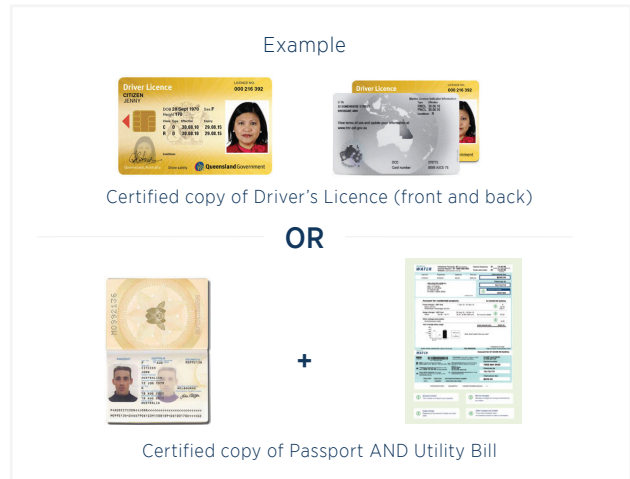
- A person who, under a law in force in an Australian State or Territory, is currently licensed or registered to practise in the following occupations:
 - Dentist
 - Legal practitioner
 - Medical practitioner
 - Pharmacist
- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees
- Bank officer with 2 or more continuous years of service
- Building society officer with 2 or more years of continuous service
- Credit union officer with 2 or more years of continuous service
- Employee of the Commonwealth who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3(c) of the Consular Act 1955; and
 - exercising his or her function in that place
 - Justice of the Peace

Fees

- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants
- Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
- Notary public
- Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
- Permanent employee of:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority; or
 - a local government authority; with 2 or more years of continuous service
 - Police officer
 - Sheriff OR Sheriff's officer
 - Teacher employed on a full-time basis at a school or tertiary education institution

Appropriate Documents

Your application must be accompanied by a certified (true) copy of EITHER one document from Section A, OR one document from Section B AND one from Section C, for each applicant.



The original certified copy of your ID must be returned by post to the postal address at the bottom of this page. The signature of the certifier must be the original signature. We cannot accept faxes or scanned copies.

Section A Documents - (provide certified copy of ONE of the following)

- Driver's licence (front and back) – MUST be current
- Proof of age card issued by the RTA – MUST be current

Section B Documents - (provide certified copy of ONE of the following AND ONE from Section C)

- Australian passport – current or expired within the past TWO years
- Overseas passport - MUST be current
- Birth certificate or birth extract issued by a State or Territory
- Citizenship certificate issued by the Commonwealth
- Pension card issued by Centrelink (front and back)

Section C Documents - (provide certified copy of ONE of the following AND ONE from Section B)

A recent utility bill, financial statement or council rate notice – issued within the last three months – showing your name and residential address. This can include one of the following:

- A financial statement (savings, credit, mortgage) issued by an Approved Deposit-taking Institution (ADI) in Australia.
- Gas, electricity, water, home phone, internet (dial-up, broadband), mobile phone bill, Foxtel bill
- A council rates notice
- A notice or assessment issued by the RTA or a government body
- A lease agreement, contract for sale of a property or rental bond
- Lodgement document
- Home and/or contents insurance policy statement