

Identification and certification requirements guide

The Anti-Money Laundering and Counter-Terrorism Financing Act ('AML/CTF Act') obliges us to collect identification documents and other supporting information to verify the identity of our investors, the source or destination of any payment to or from a fund, or any other purpose pursuant to the AML/CTF Act. We are also obliged to conduct ongoing customer due diligence on our investors, which means we may require updated documents or information from you if, for example, they have expired or are no longer valid. Identification documents provided by you or your agent must be **CERTIFIED** (refer to the following section for requirements). Non-English documents must be accompanied by an English translation prepared by an accredited translator.

Certification of documents

Certified copy means a copy (usually a photocopy) of an original document that has been certified as a true copy of the original document.

Certified extract means an extract of an original document that has been certified as a true copy of some of the information contained in a complete original document.

People who can certify documents or extracts in Australia are:

- a chiropractor;
- a dentist;
- a medical practitioner;
- a nurse;
- an optometrist;
- a pharmacist;
- a physiotherapist;
- a psychologist;
- a veterinary surgeon;
- a person who is enrolled on the roll of the Supreme Court of a State or Territory, or High Court of Australia, as a legal practitioner (however described);
- 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 Declarations Regulations 1993);
- a police officer;
- an agent of the Australian Postal Corporation who is in charge of supplying postal services to the public;
- a permanent employee of the Australian Postal Corporation with two or more years continuous service who is employed in an office supplying postal service to the public;
- an Australian Consular Officer or an Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955);
- an officer of a bank, building society, credit union or finance company with two or more continuous years of service;
- an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more years of continuous service with one or more licensees;
- a member of the Institute of Chartered Accountants in Australia, Australian Society of Certified Practising Accountants or the National Institute of Accounts;
- a teacher employed on a full time basis at a school or tertiary education institution;
- any other person who, under a law in force in a State or Territory, is currently licensed or registered to practise in an occupation listed in Part 1 of Schedule 2 of the Statutory Declaration Regulations 1993 or a person outlined in Part 2 of Schedule 2 of the Statutory Declaration Regulations 1993.

Note: if documents are being certified outside Australia, only a subset of these people are permitted to certify documents.



If you have any questions, contact Bennelong Funds Management **Client Experience** on **1800 895 388 (Australia)** or **0800 442 304 (New Zealand)** or email client.experience@bennelongfunds.com.

Identification documentation

1. Individuals (including agents)

Individuals and any nominated **agents** must each provide us with a certified copy of a document from Option 1. If you do not have a document from Option 1, you must provide one certified document from Option 2a and one certified document from Option 2b.

Option 1 – Provide ONE document from this section

- An Australian Government issued driver's licence containing your photograph, date of birth and address (must not be expired)
- A foreign driver's licence that contains your photograph (must not be expired)
- An Australian Government issued passport (may have expired within the last two years but must not have been cancelled)
- A foreign government issued passport or similar travel document containing your photograph and signature (must not be expired)
- An identification card issued by an Australian state or territory, for the purpose of proving your age, containing your photograph and date of birth (must not be expired)
- A national identity card issued by a foreign country, containing your photograph and either your signature or unique identifier number (must not be expired)

Option 2 – Only required if you do not own a document from Option 1. Provide one document from Section 2a and one from Section 2b.

2a – Provide ONE document from this section

- An Australian or foreign Government issued citizenship certificate
- An Australian, foreign Government, United Nations or agency of the United Nations issued birth certificate
- A concession card issued by an Australian Government Agency such as a Pension card or Healthcare Card (must not be expired)

2b – AND provide ONE document from this section

- A document showing your name and residential address, issued by the Commonwealth or a state or territory within the past 12 months, that records the provision of financial benefits to you
- A document showing your name and residential address, issued by the ATO within the past 12 months, that records a debt payable by/owed to you
- A document showing your name and residential address, issued by a local government body or utilities provider (e.g. rates notice or electricity bill) within the past three months, that records the provision of services to you at your address
- If you are under age 18, a notice showing your name and your residential address, issued by a school principal within the past three months, that records the period of time you attended that school

2. Companies (Australian and foreign)

If you have not provided your ACN or ARBN, you must provide a certified copy of **ONE** of the following:

- Certificate of registration or incorporation issued by ASIC
- If a regulated company, a report extracted from the relevant registration body
- Certificate of registration or incorporation issued by the relevant foreign registration body

3. Trusts (Australian regulated)

If you are applying on behalf of a regulated Australian trust (such as a self managed super fund, registered managed investment scheme or government superannuation fund) and have not provided an ARSN, ABN, registration or licensing details, you must provide a certified copy of your trust deed.

You must also provide certified identification for one of the following, based on the type of trustee for the trust:

- Individual trustee** – for each individual trustee, provide the identification documentation as set out in Section 1 (Individuals)
OR
- Corporate trustee** – for each beneficial owner, provide the identification documentation as set out in Section 1 (Individuals)
AND if you have not provided an ACN or ARBN, provide documentation as set out in Section 2 (Companies).

4. Trusts (unregulated and/or foreign)

If you are applying on behalf of an unregulated trust, such as a family or other discretionary trust, you must provide a certified copy or certified extract of the trust deed. If you are providing an extract, it must show:

- The date the deed was executed
- The execution page
- The name of the trust
- The name(s) of the trustees
- The name of the settlor* and
- The identity of the beneficiaries.

* Verification of the settlor's name using the trust deed is not required if at the time the trust was established, the settlor's contribution to the trust was less than \$10,000, or if the settlor is deceased. If the settlor falls within this category, an ATO certificate verifying the name of the trust is sufficient.

You must also provide certified identification for one of the following, based on the type of trustee for the trust:

- Individual trustee** – for each individual trustee, provide the identification documentation as set out in Section 1 (Individuals)
- OR
- Corporate trustee** – for each beneficial owner, provide the identification documentation as set out in Section 1 (Individuals) AND if you have not provided an ACN or ARBN, provide documentation as set out in Section 2 (Companies).

5. Incorporated associations

If you are applying on behalf of an incorporated association, you must provide a certified copy of a document provided by ASIC or by the state, territory or overseas body responsible for the incorporation of the association, showing:

- The full name of the incorporated association, and
- Any unique identifying number issued to the association upon its incorporation.

For each beneficial owner of the association, you must also provide certified identification documentation as set out in Section 1 (Individuals).

6. Unincorporated associations

If you are applying on behalf of an unincorporated association, you must provide a certified copy of the constitution or rules of the association, or if not reasonably available, an extract of the constitution or rules of the association showing:

- The full name (if any) of the association, and
- Information about the member in accordance with the applicable customer identification procedure with respect to individuals.

For each beneficial owner of the association, you must also provide certified identification documentation as set out in Section 1 (Individuals).

7. Registered co-operatives

If you are applying on behalf of a registered co-operative, you must provide a certified copy of a register maintained by the co-operative showing:

- The full name (if any) of the co-operative, and
- Any unique identifying number issue to the co-operative upon its registration.

For each beneficial owner of the co-operative, you must also provide certified identification documentation as set out in Section 1 (Individuals).

8. Government bodies

If you are applying on behalf of a government body, we may be able to verify its identity by using one of the following:

- Publicly available enacting instrument or legislation
- Information publicly available from a government website or other source of information.

If none of the above are publicly available, you must provide a certified copy of enacting instruction legislation.