

## IMPORTANT NOTE:

In order to comply with the Anti-Money Laundering and Counter Terrorism Financing Act 2006 Patersons is obligated to collect and verify additional client information as detailed in this supplement.

## 1. ORIGINAL CERTIFIED DOCUMENTS

An **original certified copy** is a duplicate of an original document that has been certified as a true copy by a person who is authorised by law to do so.

### IMPORTANT NOTE:

**Photocopies or facsimiles of certified documents will not be accepted.**

A list of authorised persons is set out below. If the document consists of more than one page, each page must be certified. The person must **sight** both the original and the copy and certify that they are identical as set out below:

**I certify that this is a true copy of the original, which I have sighted**  
**<Signature>**  
**<Date>**  
**<Print full name>**  
**<Qualification for Certifying Documents please state the number**  
**which best describes you (e.g. Australia Post employee [2])>**

**Insert the format at left on  
the certified document**

### Persons authorised to certify documents

- |  |   |
|--|---|
| <p><b>1</b> the client's Adviser - where the Adviser has two (2) or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);</p> <p><b>2</b> Australia Post employee - a permanent employee of Australia Post with two (2) or more years of continuous service;</p> <p><b>3</b> Australia Post agent - an agent of Australia Post who is in charge of an office supplying postal services to the public;</p> <p><b>4</b> Officer of a financial institution (e.g. a bank) - an officer with two (2) or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);</p> <p><b>5</b> Officer/Authorised Representative of AFSL holder - an officer with, or authorised representative of, a holder of an Australian financial services licence, such as Patersons Securities Limited, having two (2) or more continuous years of service with one or more licensees;</p> <p><b>6</b> Finance company employee - a finance company officer with two (2) or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993);</p> | <p><b>7</b> Accountant - a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two (2) or more years of continuous membership;</p> <p><b>8</b> a Justice of the Peace;</p> <p><b>9</b> a Police Officer;</p> <p><b>10</b> a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a Legal Practitioner (however described);</p> <p><b>11</b> a Judge of a court;</p> <p><b>12</b> a Magistrate;</p> <p><b>13</b> a Chief Executive Officer of a Commonwealth court;</p> <p><b>14</b> a Registrar or Deputy Registrar of a court;</p> <p><b>15</b> a Notary public (for the purposes of the Statutory Declaration Regulations 1993); or</p> <p><b>16</b> an Australian Consular Officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).</p> |
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## 2. IDENTIFICATION REQUIREMENTS

Each applicant and any authorised agent on the account must provide an original certified photocopy of photographic identification documents in order to verify either name and address or name and date of birth. These documents must also carry the signature of the person being identified.

In most circumstances it is anticipated that verification will be achieved by either a Driver's Licence or Passport. Where these documents are not held by an applicant, please contact your Adviser for further assistance.

Original certified identification is not required in the case of an existing client who has previously met Patersons identification requirements.

### Account Applicants:

	Director #1	Director #2	Authorised Agent #1	Authorised Agent #2
Title				
Given name(s) (do not use initials)				
Surname				
<b>New client or existing client who has not previously provided identification:</b>				
Type of identification provided (please tick)	<input type="checkbox"/> Drivers licence	<input type="checkbox"/> Drivers licence	<input type="checkbox"/> Drivers licence	<input type="checkbox"/> Drivers licence
	<input type="checkbox"/> Passport	<input type="checkbox"/> Passport	<input type="checkbox"/> Passport	<input type="checkbox"/> Passport
<b>OR Existing client</b>				
Existing Patersons account number (on which identification requirements have previously been met)				

### 3. COMPANY INFORMATION

#### Address of principal place of business

Please tick if this address matches one or more of the other addresses supplied in the application form:

Registered Address     
  Permanent Postal Address     
  Registered Office Address

Otherwise please specify below:

Address (where not provided elsewhere):											
Suburb:											
State:						Postcode:					
Country (if not Australia):											

#### List of Directors (proprietary companies only)

Please list the names of all Directors:

Title	Given name(s) (do not use initials)	Surname

If insufficient space please list the names of further Directors on a separate sheet.

#### Beneficial Owners (Proprietary and private companies only - MANDATORY)

A beneficial owner is an individual who, through one or more shareholdings, owns more than 25% of the issued capital of the company.

Please list the name and address of each beneficial owner (if any) of a proprietary or private company (other than a proprietary company that is licensed and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator in relation to its activities as a company, e.g. AFS Licence Holder, an entity regulated by APRA).

Title	Given name(s) (do not use initials)	Surname									
Address (where not provided elsewhere):											
Suburb:											
State:						Postcode:					
Country (if not Australia):											

Title	Given name(s) (do not use initials)	Surname									
Address (where not provided elsewhere):											
Suburb:											
State:						Postcode:					
Country (if not Australia):											

Title	Given name(s) (do not use initials)	Surname									
Address (where not provided elsewhere):											
Suburb:											
State:						Postcode:					
Country (if not Australia):											



**Beneficiaries of the Trust (MANDATORY)**

Please provide a list of beneficiaries in respect of the Trust or if the terms of the trust identify the beneficiaries by reference to membership of a class, details of the class.

List of beneficiaries in respect of the Trust:

Title	Given name(s) (do not use initials)	Surname

**OR**

You must include a copy of an extract of the Trust Deed which provides details of the class of membership with respect to beneficiaries.

**Signatures – Required for Superannuation and Trust accounts only**

By providing an extract from the Trust Deed, I/we acknowledge that Patersons is not reviewing the Deed to determine whether the Superannuation Fund or Trust is entitled to enter into an agreement with Patersons.

**Please confirm the following:**

- Original certified identification has been included with this application for each account applicant and for each authorised agent to the account.
- The necessary pages from the Trust Deed have been included with this application.
- Each of the necessary pages from the Trust Deed has been certified in accordance with the procedure detailed in Section 1.

**All applicants must sign below:**

<b>Sole Director / Director #1</b>	<b>Date signed</b>
SIGN HERE	/ /
<b>Director #2 / Company Secretary</b>	<b>Date signed</b>
SIGN HERE	/ /