



# Completing proof of identity

Dated 13 October 2009

The Anti-Money Laundering and Counter-Terrorism Financing Act 2008 (AML/CTF Law) requires IOOF to verify the identity of each of its investors before providing financial services to them.

The table below lists the applicable documents required by each client type, to enable IOOF to confirm the identity of investors in the IOOF MultiMix Trusts.

If you are a new investor making a new investment application in the IOOF MultiMix Trusts, you will need to provide **originals or certified copies** of one or more of the following documents. These documents are required to be submitted together with your IOOF MultiMix Trusts Application Form.

**Please note, existing investors who hold investments in products within the IOOF Group do not need to provide the proof of identity requirements listed below, unless the new account will be in a different name (e.g. as joint investors, or in a family company name), or capacity to your current account (e.g. as trustee for a trust, or director of a company).**

Client type	Proof of identity requirements
<p><b>(i) Individual:</b></p> <ul style="list-style-type: none"> <li>• acting for themselves;</li> <li>• as sole trader;</li> <li>• as a trust with an individual trustee; or</li> <li>• as a verified partner in a partnership</li> </ul>	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– current driver's licence (issued under Australian State/Territory, containing a photograph of the individual) <i>[please copy front and back of licence]</i></li> <li>– passport (a passport that has expired within the preceding 2 years is acceptable)</li> </ul> <p><b>OR</b></p> <p><b>One of the following documents:</b></p> <ul style="list-style-type: none"> <li>– birth certificate or birth extract</li> <li>– citizenship certificate issued by the Commonwealth</li> <li>– Centrelink card issued by Centrelink that entitles the person to financial benefits</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– a notice issued to an individual (e.g. tax notice within last 12 months, utilities bill within last 3 months)</li> </ul>
<p><b>(ii) Nomination of representative or Power of Attorney for:</b></p> <ul style="list-style-type: none"> <li>• an individual;</li> <li>• a company;</li> <li>• a trust;</li> <li>• a partnership;</li> <li>• an association;</li> <li>• a registered co-operative;</li> <li>• a government body; or a</li> <li>• deceased estate</li> </ul>	<ul style="list-style-type: none"> <li>– verification of the identity of the nominated representative or Power of Attorney – please refer to the 'Proof of Identity Requirements' listed in <i>section (i)</i> above</li> </ul> <p><b>Please note:</b></p> <ul style="list-style-type: none"> <li>– <b>nominated representatives</b> must complete Step 7 'Representative Facility' of the Application Form (this is <b>not required</b> for Power of Attorney);</li> <li>– where a <b>Power of Attorney</b> has been granted, a certified copy of the Power of Attorney must be provided.</li> </ul>
<p><b>(iii) Domestic company:</b></p> <ul style="list-style-type: none"> <li>• listed public company and subsidiaries;</li> <li>• public unlisted company subject to regulatory oversight;</li> <li>• public unlisted company NOT subject to regulatory oversight;</li> <li>• proprietary company subject to regulator oversight; or</li> <li>• proprietary company NOT subject to regulator oversight</li> </ul>	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– record of registered status via ASIC search noting registered name and ACN</li> <li>– (if regulated) record of regulated status via search of regulator's register – i.e. RSE Licence from APRA, AFSL from ASIC, etc.</li> <li>– copy of certificate of incorporation</li> <li>– copy of the relevant licence</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
<p><b>(iv) Foreign company:</b></p> <ul style="list-style-type: none"> <li>• foreign listed company (or subsidiary) registered with ASIC;</li> <li>• foreign listed company NOT registered with ASIC; or</li> <li>• company registered with foreign body</li> </ul>	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– record of foreign registration status via search of foreign registration/exchange search (i.e. ASIC equivalent)</li> <li>– (if applicable) record of registered status via ASIC search noting registered name and ACN</li> <li>– (if applicable) certificate of registration issued by foreign registration body noting registered name and identification number</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>

## Completing proof of identity (continued)

Client type	Proof of identity requirements
<p><b>(v) Trusts:</b></p> <ul style="list-style-type: none"> <li>• individual as trustee*; or</li> <li>• corporate trustee</li> </ul> <p><b>*Note:</b> Where the beneficiary of the Trust is a Minor Child, the parent, as individual trustee, must be verified in accordance with the proof of identity requirements in <i>section (i)</i></p>	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– extract of the section of the trust deed showing the name of the trust (DO NOT require the entire trust deed). Note, where the Trust is for a minor child the IOOF MultiMix Trusts Application Form is sufficient proof of the trust.</li> <li>– extract of government legislation showing the name of the fund (DO NOT require the entire legislation) [<i>only for government superannuation funds established by legislation</i>]</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– record of ASIC registration (<i>corporate trustee only</i>)</li> </ul> <p><b>OR</b></p> <ul style="list-style-type: none"> <li>– verification of identified trustee (<i>individual trustee only</i>), please refer to <i>section (i)</i></li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
<p><b>(vi) Regulated trust</b></p>	<ul style="list-style-type: none"> <li>– record of regulated status via search of the relevant regulator’s database (e.g. ASIC/APRA, etc.)</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– record of ASIC registration (<i>corporate trustee only</i>)</li> </ul> <p><b>OR</b></p> <ul style="list-style-type: none"> <li>– verification of identified trustee (<i>individual trustee only</i>), please refer to <i>section (i)</i></li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
<p><b>(vii) Partnerships</b></p>	<ul style="list-style-type: none"> <li>– proof of identity for each partner in accordance with <i>section (i)</i></li> </ul> <p><b>AND</b></p> <p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– extract of partnership agreement showing the name of the partnership (DO NOT require the entire agreement)</li> <li>– current membership certificate showing showing the name of the partnership (where regulated by a professional association)</li> <li>– an ASIC extract showing the name of the partnership</li> <li>– certificate of registration of business name issued by a State or Territory body</li> <li>– bank statement in the name of the partnership issued within the last 12 months</li> <li>– letter from an accountant or legal practitioner confirming the name and existence of the partnership (within last 12 months)</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
<p><b>(viii) Incorporated associations</b></p>	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– extract of constitution or rules showing the association’s full name and unique number issued to the association (upon its incorporation)</li> <li>– minutes of the meeting of the association showing the association’s full name and unique number</li> <li>– certificate of other information provided by ASIC or by a State or Territory body; or overseas body responsible for its incorporation showing the association’s name and unique identifying number</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
<p><b>(ix) Unincorporated associations</b></p>	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– extract of constitution or rules of the association showing the association’s full name</li> <li>– minutes of the meeting of the association showing the association’s full name</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– proof of identity of the member in accordance with <i>section (i)</i></li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>

## Completing proof of identity (continued)

Client type	Proof of identity requirements
(x) Registered co-operative	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– record of registration of co-operative (provided by the State, Territory or a Federal organisation) showing the full name and identification number of the co-operative</li> <li>– minutes of a meeting of the co-operative showing the full name and identification number of the co-operative</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
(xi) Government entity	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– written confirmation that the entity exists and is established by the Government, issued on official Government letterhead</li> <li>– extract of the legislation by which the entity was established</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
(xii) Municipal agencies and local authorities	<p><b>Either one of the following documents:</b></p> <ul style="list-style-type: none"> <li>– written confirmation that the entity exists and is established by the Government, issued on official letterhead</li> <li>– extract of the legislation by which the entity was established</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>
(xiii) Deceased estate	<ul style="list-style-type: none"> <li>– extract of Will, grant of probate or letters of administration</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>– (if applicable) verification of nominated representative or Power of Attorney, please refer to <i>section (ii)</i></li> </ul>

### Certification of personal documents

All copied papers of ORIGINAL proof of identification documents (including any linking documents) need to be certified as true copies by an individual approved to do so (see below).

The person who is authorised to certify documents must sight the original and the copy and make sure both documents are identical, then make sure all pages have been certified as true copies by writing or stamping 'certified true copy' followed by their signature, printed name, qualification (e.g. Justice of the Peace, Bailiff, etc.) and date. If the document has more than one page, please ensure that the certification identifies the number of pages (for example, 'I certify this document of [x] pages to be a true copy of the original').

A **certified copy** means a document that has been certified as a true copy of an original document by one of the following persons:

#### Occupations:

- Chiropractor
- Dentist
- A legal practitioner, who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia
- Medical practitioner
- Nurse
- Optometrist
- Patent attorney
- Pharmacist
- Physiotherapist
- Psychologist
- Trade marks attorney
- Veterinary surgeon

#### Other persons:

- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
- Bailiff
- Bank officer with 2 or more continuous years of service
- Building society officer with 2 or more years of continuous service
- Chief executive officer of a Commonwealth court
- Clerk of a court

## Completing proof of identity (continued)

- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with 2 or more years of continuous service
- Employee of the Australian Trade Commission who is:
  - (a) in a country or place outside Australia; and
  - (b) authorised under paragraph 3(d) of the Consular Fees Act 1955; and
  - (c) exercising his or her function in that place
- Employee of the Commonwealth who is:
  - (a) in a country or place outside Australia; and
  - (b) authorised under paragraph 3(c) of the Consular Fees Act 1955; and
  - (c) exercising his or her function in that place
- Fellow of the National Tax Accountants' Association
- Finance company officer with 2 or more years of continuous service
- Holder of a statutory office not specified in another item in this list
- Judge of a court
- Justice of the Peace
- Magistrate
- Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
- Master of a court
- Member of Chartered Secretaries Australia
- Member of Engineers Australia, other than at the grade of student
- Member of the Association of Taxation and Management Accountants
- Member of the Australian Defence Force who is:
  - (a) an officer; or
  - (b) a non-commissioned officer within the meaning of the Defence Force Discipline Act 1982 with 2 or more years of continuous service; or
  - (c) a warrant officer within the meaning of that Act
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants
- Member of:
  - (a) the Parliament of the Commonwealth; or
  - (b) the Parliament of a State; or
  - (c) a Territory legislature; or
  - (d) a local government authority of a State or Territory
- Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
- Notary 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 licences
- 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:
  - (a) the Commonwealth or a Commonwealth authority; or
  - (b) a State or Territory or a State or Territory authority; or
  - (c) a local government authority;with 2 or more years of continuous service who is not specified in another item in this list
- Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
- Police officer
- Registrar, or Deputy Registrar, of a court
- Senior Executive Service employee of:
  - (a) the Commonwealth or a Commonwealth authority; or
  - (b) a State or Territory or a State or Territory authority
- Sheriff
- Sheriff's officer
- Teacher employed on a full-time basis at a school or tertiary education institution
- Member of the Australasian Institute of Mining and Metallurgy

**Please note:** If foreign identification is written in a language other than English, please attach a certified copy of the translation prepared by an accredited translator.

### NEED HELP?

If you require assistance in providing the above proof of identity requirements, or if you would like more information, please contact one of our **Client Services Officers** on **1800 002 217**. Alternatively, you can consult your financial adviser, who may be able to help you understand the various proof of identity documents required under AML/CTF Law.