

IMPORTANT NOTE:

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

1. IDENTIFICATION REQUIREMENTS

Originally certified documents

An **originally certified copy** is a copy of a document that has been certified as a true copy of an original document 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. Each page must be certified if the document consists of more than one page. 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 **7**)

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

Persons authorised to certify documents

- | | |
|---|---|
| <p>1 the client's Adviser, - where the Adviser has 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);</p> <p>2 Australia Post employee - a permanent employee of the Australia Post with 2 or more years of continuous service;</p> <p>3 Australia Post agent - an agent of the Australia Post who is in charge of an office supplying postal services to the public;</p> <p>4 Officer of a financial institution (e.g. a bank) - an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);</p> <p>5 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 2 or more continuous years of service with one or more licensees;</p> <p>6 Finance company employee - a finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993);</p> | <p>7 Accountant - a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership;</p> <p>8 a Justice of the Peace;</p> <p>9 a Police Officer;</p> <p>10 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>11 a Judge of a court;</p> <p>12 a Magistrate;</p> <p>13 a Chief Executive Officer of a Commonwealth court;</p> <p>14 a Registrar or Deputy Registrar of a court;</p> <p>15 a Notary public (for the purposes of the Statutory Declaration Regulations 1993); or</p> <p>16 an Australian Consular Officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).</p> |
|---|---|

Each applicant and any authorised agent on the account must provide an originally 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.

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

Account Applicants:

	Account Applicant # 1	Account Applicant # 2	Account Applicant # 3	Authorised Agent # 1
Title				
Given name(s) (do not use initials)				
Surname				

New client or existing client who has not previously provided identification:				
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

OR Existing client				
Existing Patersons account number (on which identification requirements have previously been met)				

Beneficial Owners (private company 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).

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):		

Signatures – Company Accounts

Please confirm the following

- Originally certified identification has been included with this application for each account applicant and for each authorised agent to the account.

Signature - Applicants

Account Applicant #1	Date Signed
SIGN HERE	/ /
Account Applicant #2	Date Signed
SIGN HERE	/ /
Account Applicant #3	Date Signed
SIGN HERE	/ /

3. COMPANY ACCOUNTS – UNREGISTERED FOREIGN COMPANIES

An unregistered foreign company means a foreign company that is not registered with the Australian Securities and Investments Commission to carry on business in Australia.

Country of formation, incorporation or registration	
---	--

You must include an originally certified English language copy of the certificate of incorporation for the company.

Please refer to section 1 for instructions on how the certificate of incorporation must be originally certified.

Is the company registered by a foreign registration body?

Yes No

e.g. Companies House in the UK, the Hong Kong Companies Registry, the Singapore Registry of Companies and Businesses.

If Yes, please complete the following questions

Is the company registered as a public or private company?

Private Company Public Company

Registration body:	
The identification number of the company	

The full registered address

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:	
Suburb:	
State:	Postcode:
Country (if not Australia):	

List of Directors (private company only)

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

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

The address of the 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:	
Suburb:	
State:	Postcode:
Country (if not Australia):	

Beneficial Owners (private company 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.

In the case of a private company, please list the name and address of each beneficial owner. This information is not required in the case of foreign public companies.

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):		

Signatures – Company Accounts

Please confirm the following

- Originally certified identification has been included with this application for each account applicant and for each authorised agent to the account.

In the case of registered and unregistered foreign companies:

- A copy of the English language version of the certificate of incorporation for the company has been included with this application.
- Each page of the certificate of incorporation has been certified in accordance with the procedure detailed in section 1.

Signature - Applicants

Account Applicant #1	Date Signed
SIGN HERE	/ /
Account Applicant #2	Date Signed
SIGN HERE	/ /
Account Applicant #3	Date Signed
SIGN HERE	/ /

