

All identification documents supplied must be a **valid original certified copy** and certified in accordance with the requirements set out on page 2 of this document.

## IDENTIFICATION OF INDIVIDUALS

### THE FOLLOWING PERSONS MUST SUPPLY ID:

- Each Individual Applicant; **AND**
- Each officer of a Company or other Entity; **AND**
- Any Authorised Agent.

### THESE DOCUMENTS MUST CONTAIN THE FOLLOWING:

- The Applicant's FULL name; **AND**
- The Applicant's Signature; **AND**
- The Applicant's FULL residential address; **OR**
- The Applicant's Date of Birth.

As described below please supply one or two identification documents according to the prescribed lists.

- **ONE** document from **SECTION A:** Primary Photographic Identification; **OR**
- **ONE** document from **SECTION B:** Primary NON Photographic Identification; **AND**
- **ONE** document from **SECTION C:** Secondary Identification.

### SECTION A: PRIMARY PHOTOGRAPHIC IDENTIFICATION

- Passport issued by the Commonwealth that contains a photograph and the signature of the person whose name the document is issued; and has not expired in the preceding two years.
- Valid passport for the purposes of international travel that: contains a photograph; is issued by a foreign government or the United Nations; and is in English or is accompanied by an English translation prepared by an accredited translator (refer page 3 Translation of documents).
- Valid driver's licence that contains a photograph.
- Valid proof of age card that contains a photograph.
- Valid national identity card that: contains a photograph; is issued by a foreign government or the United Nations; and is in English or is accompanied by an English translation prepared by an accredited translator (refer page 3 Translation of documents).

### SECTION B: PRIMARY NON-PHOTOGRAPHIC IDENTIFICATION

- Birth certificate or birth extract issued by a State or Territory.
  - Accompanied by a Marriage Certificate or Name Change Certificate if the first name or surname has been changed.
- Birth certificate issued by a foreign government or the United Nations that is in English or is accompanied by an English translation prepared by an accredited translator (refer page 3 Translation of documents).
- Citizenship certificate issued by the Commonwealth.
- Citizenship certificate issued by a foreign government that is in English or is accompanied by an English translation prepared by an accredited translator.
- Valid pension card issued by Centrelink.

### SECTION C: SECONDARY IDENTIFICATION

- Australian Taxation Office notice issued within the preceding 12 months (must show full name AND residential address).
- Financial benefits notice issued by Commonwealth, State or Territory issued within the preceding 12 months (must show full name AND residential address).
- Council rates invoice issued by local government body within the preceding 3 months (must show full name AND residential address).
- Utilities invoice issued by utilities provider (e.g. gas, electricity, water, phone) within the preceding 3 months (must show full name AND residential address).
- Letter from a registered aged care facility issued within the preceding 3 months, which, carries the name of the client, the address of the facility and the registration number of the facility confirming they are a registered aged care provider.

## IDENTIFICATION OF SUPERANNUATION FUNDS & TRUSTS

In order to confirm: the Name of the **Trust**; the **Trustee's Names** and the **Trust's** signatories please provide an original certified copy of one of the following document types:

- The Trust Deed; OR
- An Extract of the Trust Deed.

## IDENTIFICATION OF ASSOCIATIONS & CO-OPERATIVES

Please supply **one of the following types of ORIGINAL CERTIFIED documents** which will identify the Association or Co-operative. The following information must be supplied on the document/s:

- The full name of the Association or Co-operative;
- The full address of the Association's principal place of administration or registered address;
- Any unique indentifying number issued to the Association or Co-operative upon it's registration; AND
- A list of names of the office bearers (Chairperson/s, Treasurer and Secretary or equivalent officers).

### ASSOCIATION: ACCEPTABLE DOCUMENTS

- Full copy or extract of any constitution or rules maintained by the Association; OR
- Minutes of a meeting of the association; OR
- The Articles of Association.

### CO-OPERATIVE: ACCEPTABLE DOCUMENTS

- A register maintained by the Co-operative; OR
- Minutes of a meeting of the Co-operative; OR
- Information provided by a government organisation responsible for the registration of the Co-operative.

## CERTIFICATION

### WHAT IS A CERTIFIED COPY?

**Original Certified Copy: 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.**

The person must sight both the original and the copy that they are certifying. Photocopies or facsimiles of original 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. Note: an applicant, authorised agent or power of attorney on this account may not certify documents for the account.

### HOW TO CERTIFY A DOCUMENT

We can only accept the certification of a document when it is set out as below with the following information:

- Name of the Certifier;
- Signature of Certifier;
- Qualification of Certifier; and
- Date of Certification.

Example:

I certify that this is a true copy of the original, which I have sighted Signed: _____ Date: ____/____/____ Full Name: _____ Qualification: _____
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### AUSTRALIA: PERSONS AUTHORISED TO CERTIFY DOCUMENTS

NB: This list only applies to domestic clients. For a list of certifiers applicable to overseas clients, please refer below.

1. The client's Private Client Adviser – where the Private Client Adviser has two (2) or more continuous years of service with one or more financial institutions as set out in the Statutory Declarations Regulations;
2. Chiropractor;
3. Dentist;
4. Legal practitioner;
5. Medical practitioner;
6. Nurse;
7. Optometrist;
8. Pharmacist;
9. Physiotherapist;
10. Veterinary surgeon;
11. Bank officer with 2 or more continuous years of service;
12. Justice of the Peace;
13. Magistrate;
14. Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants;
15. Notary Public;
16. 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;
17. 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 Part
18. Police Officer;
19. Teacher employed on a full-time basis at a school or tertiary education institution;
20. Member of the Australasian Institute of Mining and Metallurgy.

## IDENTIFICATION OF FOREIGN ENTITIES & INDIVIDUALS

If your account has one or more of the following your account will be considered to be an Overseas Account:

- an Overseas Registration, Postal, Residential address or Principal Place of Business;
- one or more overseas contact telephone numbers;
- one or more overseas email addresses;
- an overseas bank account;
- a Beneficial Owner with an overseas address; or
- an overseas Country of Incorporation (company accounts only).

## TRANSLATION OF DOCUMENTS

All identification documents and their certification must be in English or be accompanied by an English Translation that has been translated by a person currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd. (NAATI) at the level of Professional Translator or above.

## COMPANIES

Please supply an original certified copy of the Certificate of Incorporation. The certificate of incorporation must contain:

- The name of the Company;
- The state and country of registration; AND
- The identification number issued to the Company by the relevant foreign registration body.

## OVERSEAS: PERSONS AUTHORISED TO CERTIFY DOCUMENTS

1. The client's Private Client Adviser – where the Private Client Adviser has two (2) or more continuous years of service with one or more financial institutions as set out in the Statutory Declarations Regulations;
2. Australian Consular Officer of Australian Diplomatic Officer;
3. Bank officer or employee of a branch of an Australian licensed financial services provider (e.g. bank, finance company, stockbroker) with 2 or more continuous years of service who is authorised by their institution to open accounts, where the international financial services provider is acceptable to Patersons;
4. 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 1995; and
  - c. Exercising his or her function in that place;
5. Employee of the Commonwealth who is:
  - a. In a country or place outside Australia; and
  - b. Authorised under paragraph 3(d) of the Consular Fees Act 1995; and
  - c. Exercising his or her function in that place;
6. Judge of a court\*;
7. Magistrate\*;
8. Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants, the National Institute of Accountants, The American Institute of Certified Public Accountants, Association of Certified Chartered Accountants (United Kingdom), Canadian Institute of Chartered Accountants, Institute of Chartered Accountants of New Zealand, The Institute of Chartered Accountants in England and Wales, The Institute of Chartered Accountants in Ireland, or The Institute of Chartered Accountants of Scotland;
9. Notary Public\*;
10. Police Officer\*; or
11. Lawyer or barrister\*.

*\* licensed or registered in a Financial Action Task Force member country (please refer to the FATF web site for a list of member countries)*