

Identification Requirements and Procedures

Under AML/CTF legislation, Ord Minnett is required to collect identification information from account Applicants, and also to verify certain of that information. Account Applicants will need to provide two forms of identification as set out in the tables below, being:

- Two Primary identification documents or
- One Primary identification document plus one secondary identification document, which in combination show the person's name (inclusive of middle name(s)), their date of birth, and residential address, and at least one of which has a photo and signature.

Where you are unable to provide the relevant documentation, please contact your adviser.

Individuals, beneficial owners, Powers of Attorney and Authorised Persons, Directors and Trustees

You may provide a combination of both primary and secondary ID (as detailed) which shows the person's full name, date of birth and residential address. However:

- at least one form of ID must be photographic ID (i.e. a drivers licence or passport); and
- at least one form of ID must contain your current residential address (as per the address on the Application).

Primary Identification Documents

- Current Australian / Foreign Drivers Licence
- Australian / Foreign Passport (a passport that has expired within the preceding 2 years is acceptable)
- Australian State / Territory or Foreign Government Issued Photo Identity Card
- Birth certificate or extract, or citizenship certificate (Australian or Foreign)
- National Identify card issued by a foreign government or the United Nations
- Government issued Pension, Health or Seniors Health Card
- Other – Licence with Photograph

Secondary Identification Documents

- Medicare Card
- Credit Card with an Australian Financial Institution
- Commonwealth Government letter of financial benefit (issued in the past 12 months)
- ATO Tax Advice (issued in the past 12 months)
- Australian utilities / telecommunication provider bill (issued within the past 3 months) eg electricity bill, rates notice, phone bill

Note: documents in a foreign language should have an accredited translation into English.

Company

The following individuals must provide identification which has been certified by an Acceptable Referee:

- Each Director who has executed the Application;
- Shareholders who hold 25% or more of the equity in the company (each a Beneficial Owner).

Shareholders who hold 25% or more of the equity in the company should be detailed in the Application.

Where one of the Beneficial Owners is a corporate entity, we are required to identify the Directors and Beneficial Owners of that corporate entity.

Companies must provide the name of each Director who is authorised to issue instructions on behalf of the company.

Trusts, Superannuation Fund or other Entity

You must provide identification and a full copy of the Trust Deed (plus any amending deeds) which has been certified by an Acceptable Referee.

We must identify:

- Each trustee (or directors where the trustee is a corporate entity).
- Beneficiaries entitled to 25% or more of trust income or property.
- Persons who control the trust or have power to appoint or remove trustees (including persons named as Appointor, Guarantor or Principal in the trust deed that have these powers).
- Settlers where the settled sum is in excess of \$10,000.

Please detail all beneficiaries (if individually named) or the class of beneficiaries (if a class is detailed).

Beneficial Owners (Trust and Company Accounts).

Identification must be provided as per the requirements for an individual

Certification and Acceptable Referees

If you are providing a copy of these documents to Ord Minnett they must be certified by an Acceptable Referee (refer to the listing of Acceptable Referees). Otherwise, you can take your original identification to an Ord Minnett Branch or office where a copy of these documents will be taken and certified for you. The certification must include that the document is a true and correct copy, the date, the number of pages, the capacity of the certifier (as a referee) and their signature.

Electronic Application

Where we are able to successfully verify individuals and companies through our electronic Application process, you will not be required to provide certified identification documents (but you will need to load these into the Application). However, you will be required to provide certified copies of trust deeds and Powers of Attorney (corporate or individual). Where we cannot successfully verify you through the electronic Application process, or you are a foreign person, company or entity, you will be required to provide certified identification documents as set out.

Categories of Acceptable Referees

Officers or representatives of an Australian Financial Services Licensee with more than 2 years of continuous service with one or more licensee can certify a document for customer verification purposes.

The following table lists persons that can act as a certifier of documents for customer verification purposes if they are licenced or registered to practice in the occupation:

Licensed / Registered Occupation

1. Architect
2. Chiropractor
3. Dentist
4. Financial adviser or financial planner
5. Legal practitioner
6. Medical practitioner
7. Midwife
8. Migration agent registered under Division 3 of Part 3 of the Migration Act 1958
9. Nurse
10. Occupational therapist
11. Optometrist
12. Patent attorney
13. Pharmacist
14. Physiotherapist
15. Psychologist
16. Trade marks attorney
17. Veterinary surgeon

The following table lists of types of person that can act as a certifier of documents for customer verification purposes if they are a member of a professional body or organisation in Australia or they work in the relevant role:

Occupation

1. Accountant who is:
 - (a) a fellow of the National Tax Accountants' Association; or
 - (b) a member of any of the following:
 - (i) Chartered Accountants Australia and New Zealand;
 - (ii) the Association of Taxation and Management Accountants;
 - (iii) CPA Australia;
 - (iv) the Institute of Public Accountants
2. Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
3. APS employee engaged on an ongoing basis with 2 or more years of continuous service who is not specified in another item of this Part
4. Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
5. Bailiff
6. Bank officer with 5 or more continuous years of service
7. Building society officer with 5 or more years of continuous service
8. Chief executive officer of a Commonwealth court
9. Clerk of a court
10. Commissioner for Affidavits
11. Commissioner for Declarations
12. Credit union officer with 2 or more years of continuous service
13. Employee of a Commonwealth authority engaged on a permanent basis with 5 or more years of continuous service who is not specified in another item in this Part
14. Employee of the Australian Trade and Investment 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 the employee's function at that place
15. Employee of the Commonwealth who is:
 - (a) at a place outside Australia; and
 - (b) authorised under paragraph 3(c) of the Consular Fees Act 1955; and
 - (c) exercising the employee's function at that place
16. Engineer who is:
 - (a) a member of Engineers Australia, other than at the grade of student; or
 - (b) a Registered Professional Engineer of Professionals Australia; or
 - (c) registered as an engineer under a law of the Commonwealth, a State or Territory; or
 - (d) registered on the National Engineering Register by Engineers Australia
17. Finance company officer with 2 or more years of continuous service
18. Holder of a statutory office not specified in another item of this Part
19. Judge
20. Justice of the Peace
21. Magistrate
22. Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
23. Master of a court
24. 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
25. Member of the Australasian Institute of Mining and Metallurgy
26. Member of the Governance Institute of Australia Ltd 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
26. Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
27. Notary public, including a notary public (however described) exercising functions at a place outside:
 - (a) the Commonwealth; and
 - (c) the external Territories of the Commonwealth
28. Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office providing postal services to the public
29. Permanent employee of:
 - (a) a State or Territory or a State or Territory authority; or a local government authority; with 5 or more years of continuous service, other than such an employee who is specified in another item of this Part
30. Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
31. Police officer
32. Registrar, or Deputy Registrar, of a court
33. Senior executive employee of a Commonwealth authority
34. Senior executive employee of a State or Territory
35. SES employee of the Commonwealth
36. Sheriff
37. Sheriff's officer
38. Teacher employed on a permanent full-time or part-time basis at a school or tertiary education institution