

DDH Managed Funds AML/CTF Checklist

Australian anti-money laundering and counter-terrorism financing laws oblige DDH to ask for supporting identification documents from prospective investors in order to meet our obligations under Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) laws (AML/CTF). These laws apply to all fund managers in Australia.

The following outlines the types of documents that you will need to provide. We will collect these documents before processing your application, but may request additional information at a later date. If you do not provide the documents we request, we will not be able to process your application.

Please read the sections applicable to you and **ATTACH AN ORIGINALLY CERTIFIED COPY OF THE DOCUMENT TO YOUR APPLICATION FORM.**

Account type:	Certified copies of documentation required:*	Account must be in the name of:	Sections to complete on Application form:
An Individual	<ul style="list-style-type: none"> Australian drivers licence; or Australian Passport; or Card issued under a law of a State or Territory containing a photo and date of birth <p>If you cannot satisfy the above, then:</p> <ul style="list-style-type: none"> Australian Birth Certificate; or Australian citizenship certificate; or Pension card issued by Centrelink; or Health card issued by Centrelink; AND An original notice issued by Commonwealth, State, Territory or a Local Government Body containing your name and residential address. 	<p>Your full name</p> <p>Your full name</p>	<p>Individual/Joint accounts: 1.1 Applicant A 1.2 Applicant B</p> <p>Individual as Trustee: 1.1 Applicant A 1.2 Applicant B</p>
A Soletrader	<p>Information required as for:</p> <ul style="list-style-type: none"> Individual; AND The full address of the principal place of business (if any); AND A copy of the ABN of the business 	<p>Your full name</p> <p>Full name of business</p>	<p>1.1 Applicant A 1.2 Applicant B</p> <p>1.3 Business name</p>
A Minor (less than 18 years old)	<ul style="list-style-type: none"> Copy of the minor's birth certificate, or A notice that: <ul style="list-style-type: none"> Was issued by a school principal within the preceding three months; Contains your name and residential address; AND Records the period of time you attended the school; AND Identification as required for 'An Individual' for all account signatories 	<p>The minor or trustees for the minor</p>	<p>Either: 1.4 Minor Name AND 1.1 Applicant A and/or 1.2 Applicant B</p>
A Company	<ul style="list-style-type: none"> A copy of the ASIC database search showing full name of company, full company registered office address and place of business address (if any), ACN, public or proprietary company status, company directors and if company is an unlisted public or proprietary company full name of shareholders; AND Identification as required for 'An Individual' for all account signatories 	<p>The name of the company</p>	<p>Company Director Details</p>
Trusts & Trustees (e.g. Superannuation fund)	<ul style="list-style-type: none"> A copy of the Trust Deed; AND Identification as required for: <ul style="list-style-type: none"> Individual Trustee/s (refer to 'An Individual' above); or Corporate Trustee (refer to 'A Company' above) 	<p>The trustees of the trust</p>	<p>Individuals: 3. Trust Name 1. Individual Details</p> <p>Companies: 3. Trust Name 2. Company Details</p>
A Partnership	<ul style="list-style-type: none"> Partnership Agreement; OR Minutes of a Partnership Agreement; or Membership details of a relevant professional association; or A search of the relevant ASIC or other regulators database; or A notice issued by the ATO within the last 12 months; AND Identification as required for 'An Individual' for all account signatories 	<p>The principals of the partnership</p>	<p>4. Partnership Name 4. Partner Details</p>
An Incorporated Association	<ul style="list-style-type: none"> An original or certified copy of the Constitution or Rules of the association; OR Information provided by ASIC or the government body responsible for the incorporation of the association; AND Signed meeting minutes showing which officers can operate the account; AND Identification as required for 'An Individual' for all account signatories 	<p>The name of the incorporated body</p>	<p>5. Association 1. Individual Details</p>
An Unincorporated Association	<ul style="list-style-type: none"> An original or certified copy of the Constitution or Rules of the association; AND Signed meeting minutes showing which officers can operate the account; AND Identification as required for 'An Individual' for all account signatories 	<p>Officers on behalf of the unincorporated body</p>	<p>5. Association 1. Individual Details</p>
Government Bodies	<ul style="list-style-type: none"> Search on the relevant Commonwealth, State or Territory website for confirmation of the government body's existence; or Review of the relevant register of government bodies; or Extract of the relevant legislation as obtained from a government website 	<p>The name of the Government Body</p>	<p>6. Government Bodies</p>

*Additional documentation may be required in some circumstances. We reserve the right to vary these requirements at any time.

Beneficial owner information

In accordance with AML/CTF laws DDH must collect additional information on for the following investor types:

- Companies where individual shareholders control or own 25% or more of the issued capital; and
- Trusts where individual beneficiaries control or are entitled to a 25% or more interest by membership class in the Trust.

Certifying copies of supporting identification and documents

An originally certified document is a document that has been certified as a true copy of the original document by an eligible certifier. To certify a document, take the original document and the photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document.

Originally certified identification documentation must have been certified within the last 12 months.

Sample wording or similar to be used by the certifier is provided below.

I, [full name], certify that this is a true and correct copy of the original [name, occupation, licence number (if any), signature and date].

If there are multiple pages each page is required to be certified, or you may state:

I, [full name], certify that this page and the following 'x pages' are a true and correct copy of the original [name, occupation, licence number (if any), signature and date].

The person providing the certification must date and sign the identification documents and clearly write information about their name, occupation and licence number (if any). Alternatively, if they have a stamp that includes this information they may stamp the document.

ALL identification documentation provided must be in the name of the investor.

Non-English documents must be accompanied with a translation prepared by an accredited translator.

An accredited translator is a person currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator, or above, to translate from a language other than English into English; or a person who currently holds an accreditation that is consistent with this standard.

Eligible certifiers: who can certify copies of documents?

When having copies of documents certified, you should show both the original document and a copy to the eligible certifier.

Legal

- 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)
- a judge of a court
- a Magistrate
- a Public Notary
- a Justice of the Peace (please include registration number (or equivalent))
- a Commissioner of Declarations (please include registration number (or equivalent))

Police

- a police officer (please include registration number (or equivalent))

Post Office

- an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- a 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

Finance corporations (bank, building society, credit union)

- a bank / building society / credit union / finance company officer with 2 or more continuous years of service
- an officer with, or authorised representative of a holder of an Australian Financial Services Licence, having 2 or more continuous years of service with one or more licensees

Pharmacist

- a pharmacist (please include registration number (or equivalent))

Accountant

- a member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants

Please contact us on 1800 226 174 if you have any queries in regards to this checklist.