

Instructions

This form is provided to assist you to meet the identification requirements that are needed pursuant to our Know Your Client ("KYC") obligations under Anti-Money Laundering ("AML") and Counter Terrorism Financing ("CTF") laws.

Specific identification documentation is required for every applicant. If the applicant is not an individual (i.e. company, SMSF, trust, etc.) then additional identification documentation will be required for the beneficial owners or key decision makers as outlined in the Fund's application form and in the text below.

The identification requirements outlined below tie in with Part 4 - Investor Details of the offline application form. You may also find the diagram on page 3 helpful.

Please ensure that all documentation is appropriately certified, and that the original certified document (i.e. not photocopies of certified documents) is mailed, along with your offline application form, to:

PLANTATION CAPITAL LIMITED
PO BOX 532
CANTERBURY VIC. 3126

If you have any questions or need assistance please email admin@sogif.au or call (03) 8592 0270 during business hours.

Verification / Certification

Where the identification detail needs to be verified either an original document must be provided, or else a print out or photocopy of an original that has been certified as a true copy of the original in wet ink by a person qualified to do so.

Certified copies are true copies of original documents with an original certification from the certifier. A certified copy is a document that has been certified as a true copy of the original document by one of the following persons:

- › an officer with, or authorised representative of, a holder of an AFSL, having two or more continuous years of service with one or more licensees;
- › a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declarations Regulations 2018 (Cth));
- › a Justice of the Peace;
- › a notary public (for the purposes of the Statutory Declarations Regulations 2018 (Cth))
- › an agent of Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- › a permanent employee of Australian Postal Corporation with two or more continuous years of service who is employed in an office supplying postal services to the public;
- › an accountant who is a fellow of the National Tax Accountants' Association or a member of Chartered Accountants Australia and New Zealand, CPA Australia, Association of Taxation and Management Accountants or the Institute of Public Accountants;
- › 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 chief executive officer of a Commonwealth court; a registrar or deputy registrar of a court;
- › a person authorised as a notary public in a foreign country;
- › a police officer; or
- › an Australian Consular Officer or an Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955 (Cth))

What must the certifier do?

The certifier must confirm the copy is certified as a true copy of the original documentation and clearly state their name, category and date of certification. An example of appropriate certification wording is:

"I certify this (and the following pages each of which I have signed/initialled) to be a true copy of the document shown and reported to me as the original."

Please note certification is only accepted if it is dated within two years of date of application.

Electronic Only Documents

If the identification is a print out of a document that was only provided electronically (such as an Annual Company Statement issued by ASIC) then print it out and attest to the certifier that it is an original print out of an electronic-only document. They will then be able to certify it as such.

Sections A, B and E or F

We are required to collect and verify documentary evidence about an **INDIVIDUAL'S** identification as follows:

Details	Collect	Verify
Full name	✓	✓
Residential address (not a PO Box)	✓	✓*
Date of Birth	✓	✓*

* Either residential address or date of birth needs to be verified.

And if investing as a sole trader, the following is also required:

Main place of business (not a PO Box)	✓	×
Business name	✓	×
Australian Business Number	✓	×

This obligation can be satisfied for **INDIVIDUALS** who are required to complete any of Sections A, B, E (or F) of Part 4 the Fund's offline application form by providing one of the following identification documents (certified as required if it needs to be verified):

- › Valid Australian state or territory driver's licence containing a photograph of the person; OR
- › Australian passport (a passport expired within the preceding two years is acceptable); OR
- › Card issued by a state or territory for the purposes of providing a person's age containing a photograph of the person; OR
- › Valid foreign passport or similar travel document containing a photograph and the signature of the person (and if applicable, an English translation by an accredited translator); OR
- › Australian birth certificate, birth extract, marriage certificate or citizenship certificate; OR
- › A foreign birth certificate or citizenship certificate; OR
- › A government issued concession card, such as a pensioner concession card, a health care card, or a seniors health care card.

Section C

We are required to collect and verify documentary evidence about a **COMPANY** as follows:

Details	Collect	Verify
Company Name	✓	✓
Registered office address (not a PO Box)	✓	✗
Main place of business (not a PO Box)	✓	✗
Australian Company Number	✓	✓
Whether a public or private company	✓	✓

And if the investor is a private company:

The name of each director	✓	✗
The company's beneficial owners	✓	✓

This obligation can be satisfied for **COMPANIES** who are required to complete Section C of Part 4 of the Fund's offline application form by providing one of the following identification documents (certified as required if it needs to be verified):

- › The company's latest Annual Company Statement issued by ASIC; OR
- › The company's Certificate of Incorporation; OR
- › A Company Extract from the ASIC Connect website.

Important: Please also note that a private company's directors and beneficial owners must also be verified according to the requirements of an individual.

Section D

You will need to determine whether the trust is regulated or unregulated. Use the table below as a guide and check with your accountant or legal adviser to be sure.

Type of Trust	Regulated	Unregulated
Self Managed Superannuation Fund (SMSF)	✓	
Family Trust		✓
Private Unit Trust		✓
Hybrid Trust		✓
ASIC Registered Managed Investment Scheme	✓	

We are required to collect and verify documentary evidence about a **REGULATED TRUST (including SMSFs)** as follows:

Details	Collect	Verify
Trust Name	✓	✗
Full Business Name	✓	✗
Trustee(s) Name	✓	✗
Trustee(s) Address	✓	✗
Settlor's Name	✓	✗
Type of Trust	✓	✗
Country Established	✓	✗

And either:

Details	Collect	Verify
Full name of each beneficiary; OR	✓	✗
Details of each class of beneficiary	✓	✗

This obligation can be satisfied for **REGULATED TRUSTS (including SMSFs)** who are required to complete Section D of Part 4 the Fund's offline application form by providing one of the following identification documents (which does not need to be certified):

- › A search extract from the ASIC, ATO or relevant regulator's website (e.g. "Super Fund Lookup" at superfundlookup.gov.au); OR
- › An original copy or extract of the trust deed (see below for extract requirements).

We are required to collect and verify documentary evidence about an **UNREGULATED TRUST (including family trusts and private unit trusts)** as follows:

Details	Collect	Verify
Trust Name	✓	✓
Full Business Name	✓	✗
Trustee(s) Name	✓	✓
Trustee(s) Address [^]	✓	✓
Settlor's Name [*]	✓	✓
Type of Trust	✓	✗
Country Established	✓	✓
Beneficial owners	✓	✓

[^] Only needs to be verified if the trustee is an individual

^{*} The Settlor must also be verified unless the Settlor's material asset contribution at the time the trust is established is less than \$10,000; or the Settlor is deceased

And either:

Full name of each beneficiary; OR	✓	✗
Details of each class of beneficiary	✓	✓

This obligation can be satisfied for **UNREGULATED TRUSTS** (including family trusts and private unit trusts) who are required to complete Section D of Part 4 the Fund's offline application form by providing one of the following identification documents (which does not need to be certified):

- › A letter from a solicitor or qualified accountant that confirms:
 - The full name of the trust;
 - The full business name (if any) of the trustee;
 - The full names of the trustees of the trust;
 - The address of each trustee (cannot be a PO Box);
 - The full name of the settlor of the trust;
 - The type of the trust;
 - The country in which the trust was established; and
 - The name's of the beneficiaries or class of beneficiaries of the trust.

OR

- › An original copy or extract of the trust deed (see below for extract requirements).

Trust Extract

Instead of providing the whole trust deed, you can elect to provide an extract of the trust deed that provides the following information.

- › the full name of the trust;
- › the full name of the settlor of the trust
- › the full business name (if any) of the trustee
- › the type of the trust;
- › the country in which the trust was established; AND
- › the beneficiaries or class of beneficiaries of the trust.

This is normally accomplished by providing a certified copy of the title page of the trust, and the trust particulars pages. Remember that the trust deed or extract of trust deed must be certified if the trust is an unregulated trust.

Beneficial Owners & Key Decision Makers

We are also required to identify and verify the beneficial owners of companies and unregulated trusts.

For instance, if the investor is a family trust with a corporate trustee, then we will need to collect and verify information about:

- › the trust, its trustee(s) and beneficiaries
- › the beneficial owners of the trust
- › the corporate trustee
- › the beneficial owners of the corporate trustee

The diagram in Appendix One will help you to understand what information we will need for which investor type.

A beneficial owner is an individual who ultimately owns or controls an entity such as a company, trust or partnership.

'Owns' in this case means owning 25% or more of the entity. This can be directly (such as through shareholdings) or indirectly (such as through another company's ownership or through a bank or broker).

'Controls' in this case means having the power to make decisions about the entity's finances and operations. They may exert control through trusts, agreements, arrangements, understandings, policies or practices.

Note that a customer may have more than one beneficial owner.

Where we are required to identify beneficial owners, our AML / CTF obligations include:

- › determining who the beneficial owners are;
- › assessing the level of money laundering/terrorism financing risk the beneficial owners pose;
- › verifying the identity of the beneficial owners; and
- › keeping records of how you identified each beneficial owner and verified their identity.

In some instances it may not be possible to identify the beneficial owner or owners of an investing entity. For example, there might not be a single individual who owns 25% or more of the entity or there might not be a single individual in control. In these cases we are required to take reasonable steps to identify and verify an alternative individual. 'Reasonable' means what is practical, necessary and appropriate in line with your identified money laundering/terrorism financing risk.

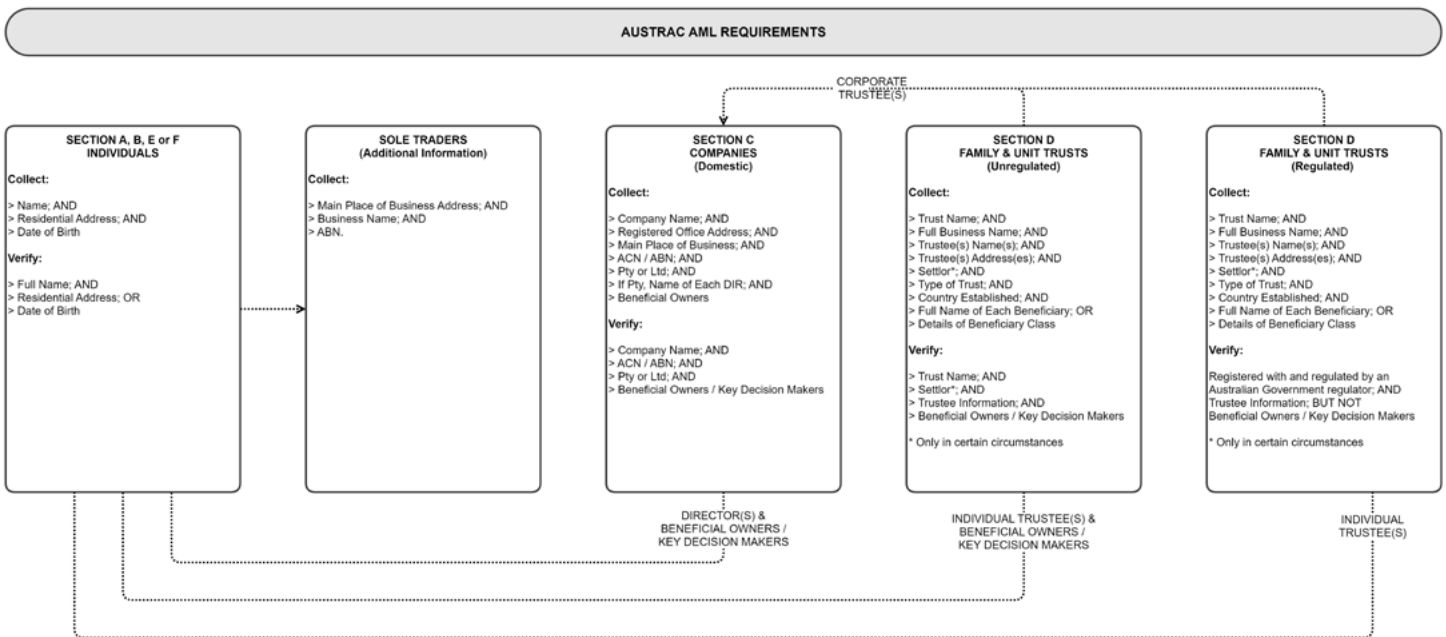
Alternative individual for a company

If you are a company who cannot identify the beneficial owners by ownership interest, the best reasonable alternative individual is someone who can exercise 25% or more of the company's voting rights, including the power of veto. Their voting rights may be direct, or they may be indirect in that they have significant influence over voting rights.

If you can't identify an alternative individual who fits this criteria, a reasonable alternative is an executive or senior managing official.

Alternative individual for a trust

If you are a trustee who cannot identify the beneficial owners by ownership interest, a reasonable alternative individual is any person who can appoint or remove the trustees. The person in this role is usually called the 'appointor', but may also be called the 'custodian' or 'principal' and should be noted in the trust deed.



Certified Documents

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- › a Justice of the Peace;
- › a notary public (for the purposes of the Statutory Declarations Regulations 2018 (Cth));
- › an agent of Australian Postal Corporation who is in charge of an office supplying postal services to the public;
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- › 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);
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Need assistance?

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