



Important information

This Attestation form relates to the requirements for customer identification (ID) as governed by the Anti-Money Laundering and Counter Terrorism Financing Act 2006 and related rules and guidance notes issued by AUSTRAC (AML/CTF requirements).

Please note that this Attestation forms part of your application for the product you are investing in.

You must ensure that both completed Application and Attestation forms are forwarded to us to ensure that the application is accepted.

Guide to completing this form

- If you have a financial adviser, please ensure your financial adviser completes Sections 1, 2, 3 and 4 of this form.
- If you do NOT have a financial adviser, please complete Section 1 and Section 5 only.
- Complete all applicable sections of this form in **BLOCK LETTERS**.
- Provide this form and a legible copy of the certified ID document(s), if required, to us with a completed application form.

Section 1: Client details

Client one

Mr Mrs Miss Ms Other (please specify)

Given name(s)

Surname

Client number (if known)

Date of birth

Client two

Mr Mrs Miss Ms Other (please specify)

Given name(s)

Surname

Date of birth

Residential address (PO box is not acceptable)

Street number and name

Town/Suburb

State

Postcode

Country

In addition, if you are a sole trader please complete the section below

Full business name

Australian business number

Principal place of business (PO box is not acceptable)

Street number and name

Town/Suburb

State

Postcode

Country

► **If you are a client please proceed to Section 5 of this form.**

Adviser use only

Section 2: Declaration

- I declare that I have undertaken an applicable customer ID procedure for the above listed client as required under the AML/CTF requirements and that the client details contained in the sighted documents correspond with the client details contained in the application form.

Section 3: Record of identification procedure

Copy of ID document(s):

- Not attached**

Do not tick this box unless you have confirmed with your Licensee that they have entered into a Licensee Agreement with AXA that contains the relevant customer identification obligations.

- Attached**

Please provide either:

- one primary photographic ID document, **OR**
- one primary non-photographic ID document **AND** one secondary ID document.

Section 4: Financial adviser details – identification and verification conducted by:

<input type="text"/>	<input type="text" value="()"/>
Financial adviser's name	Telephone
<input type="text"/>	<input type="text"/>
AFS Licensee name	Adviser number
<input checked="" type="checkbox"/>	<input type="text" value="/ /"/>
Financial adviser signature	Date

Section 5: Customer identification procedure

I/We confirm that I/we have attached certified customer ID documents as requested.

X	
Client one signature	Date

X	
Client two signature	Date

For each client, please provide one document from the list below.

(i) Photographic primary ID documents (Provide ONE valid document from this selection only)

- Current driver's licence/permit issued by a State or Territory containing a photograph of the person.
- Australian passport (a passport that has expired within the preceding two years is acceptable).
- Card issued under a State or Territory for the purpose of providing a person's age containing a photograph of the person (eg proof of age card).
- Current foreign driver's licence, passport or similar travel document containing the photograph and the signature of the person in whose name the document was issued*.
- National identity card issued by a foreign government containing a photograph of the person in whose name the card was issued*.

If you CANNOT provide a document listed above, please provide a document for each client from Part ii (a) AND Part ii (b) below.

(ii) (a) Primary non-photographic ID documents (Provide ONE valid document from this section)

- Birth certificate or birth extract*.
- Citizenship certificate issued by the Commonwealth.
- Citizenship certificate issued by a foreign government*.
- Pension card issued by Centrelink.
- Health card issued by Centrelink.

AND

(b) Secondary ID documents (Provide ONE valid document from this section)

- A notice issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and contains the individual's name and residential address.
- A notice issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address.
- A notice issued by a local government body or utilities provider within the preceding three months, which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).
- If under the age of 18, a notice that:
 - was issued to the customer by a school principal within the preceding three months, and
 - contains the customer's name and residential address, and
 - records the period of time that the customer attended the school.

* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

Please refer overleaf to find out who can certify customer ID documents

Who can certify customer ID documents?

Under the AML/CTF requirements the following 'authorised individuals' are able to certify proof of ID documents:

- 1 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)
- 2 a judge of a court
- 3 a magistrate
- 4 a chief executive officer of a Commonwealth court
- 5 a registrar or deputy registrar of a court
- 6 a Justice of the Peace
- 7 a notary public (for the purposes of the Statutory Declarations Regulations 1993)
- 8 a police officer
- 9 an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- 10 a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
- 11 an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- 12 an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
- 13 a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993)
- 14 an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees, and
- 15 a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.

When certifying documents, the following process must be followed:

- All copied pages of original proof of ID documents must be certified.
- The authorised individual must ensure that the original and the copy are identical; then write or stamp on the copied document 'certified true copy'. This must be followed by the date and signature, printed name and qualification of the authorised individual.
- In cases where an extract of a document is photocopied to verify customer ID, the authorised individual should write or stamp 'certified true extract'.