

# ACCOUNT APPLICATION FORM

## Section 1 – Know Your Customer Identification Documents

The Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (**AML/CTF Act**) was introduced to protect Australian businesses from being used for money laundering and terrorism financing activity. Under the AML/CTF Act and its associated regulations, StoneBridge is required to collect and verify certain information regarding applicants. This information is known as "Know Your Customer", or KYC information, and will differ depending on the type of legal entity that is making the application. In certain circumstances, StoneBridge may be required to make additional enquiries of an applicant before being able to proceed with their application.

The documents that you must provide in support of your application are listed in Section 1 of this Account Application Form entitled "KYC – Client Identification Documents".

StoneBridge may refuse, or cease to process applications at any time if it forms the view that trading on the account would breach the AML/CTF Act or that the money laundering or terrorism financing risk is unacceptable to StoneBridge. If you do not provide StoneBridge with all of the documents required under the AML/CTF Act, StoneBridge will be unable to process your application.

### INSTRUCTIONS FOR CERTIFICATION

- A clear photocopy of all the relevant pages and the front and back of the document must be certified.
- The certification must be in English.
- The original certified copy must be submitted (photocopies, scanned or faxed copies of the certified copy will not be accepted).

### WHAT IS A CERTIFIED COPY?

A Certified Copy, for the purposes of this application, means a document that has been certified as a true copy of an original document by one of the persons described below.

### WHO CAN CERTIFY DOCUMENTS?

#### The following persons can certify documents in Australia:

- A Lawyer (person enrolled on the roll of the Supreme Court of a State or Territory or High Court of Australia as a legal practitioner)
- A Judge or Magistrate
- A Chief Executive Officer of a Commonwealth court
- A Registrar or Deputy Registrar of a court
- A Justice of the Peace
- A Notary Public
- A Police Officer
- A Managing Agent of Australia Post
- A Permanent Employee of Australia Post (with 2 or more years of continuous service with Australia Post)
- An Australian Consular Officer or an Australian Diplomatic Officer
- An Officer of a financial institution with 2 or more years of continuous service with one or more financial companies
- An Officer with, or an Authorised Representative of, a holder of, an Australian Financial Services Licence (AFSL) having 2 or more continuous years of service with one or more licensees; and
- An Accountant, being either a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

#### The following persons can certify documents overseas:

- An Australian Consular Officer or an Australian Diplomatic Officer
- A Notary Public; and
- Commissioner of Oaths.

### WORDING FOR CERTIFYING SINGLE PAGE DOCUMENTS

"I certify that this is a true and correct copy of the original document sighted on \_\_\_/\_\_\_/\_\_\_"

### WORDING FOR CERTIFYING MULTIPLE PAGE DOCUMENTS

"I certify that this is a true and correct copy of the original \_\_\_ page document sighted on \_\_\_/\_\_\_/\_\_\_"

Beneath the certification wording, the certifier must sign and record their name and registration number (if applicable), including the capacity in which the certifier is authorised to sign. For example, if a Justice of the Peace is certifying, the JP number must be recorded.