

CERTIFIED COPY CERTIFICATE – IDENTIFICATION FOR INDIVIDUALS

- This certificate may be used to provide certified identification documents for individuals who are direct accounts holders and trustees or authorised persons or beneficial owners (where the applicable account is held by a company or trustee).
- Please ensure to follow the instructions set out in the account application as to what certified documentation we require. We have set out a summary of the certified document requires for direct individual accounts in Part F.

Part A: Individual Details

First name:

Middle Name (*if applicable*):

Last Name:

Applicable Interactive
Brokers Australia Account
Number:

Part B: Certifier details*See Part D for a list of approved certifiers*

Privacy: Interactive Brokers Australia is collecting your personal information in order to assist in the identification of the Client named in Part A pursuant to the requirements of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*. All personal information is handled in accordance with our privacy policy which is available on our website: www.interactivebrokers.com.au

Full Name:

Occupation:

Registration /licensing
body:

Registration/license
number:

Business address:

Date of certification:

Signature:

Part C: Certification instructions

Please follow the below instructions if attaching certified documents to this form.

- *Each page of the document being certified must contain the certifiers signature plus the following statement:*
"I certify this document to be a true and accurate copy of the original as sighted by me"

Part D: Approved Certifiers

- *A authorised/licensed/ registered notary public;*
- *A Justice of the Peace with a registration number*;*
- *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) (e.g. a solicitor or barrister);*
- *Manager of an Australian bank or credit union*;*
- *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 (e.g. an accountant);*
- *an officer of a company which holds an Australian financial services licence or authorised representative of an Australian financial services licensee, having two or more continuous years of service with one or more licensees;*
- *Dentist*;*
- *Judges or masters of an Australian Federal, State or Territory court;*
- *Medical Practitioners*;*
- *Police officer in charge of police stations or of the rank of Sergeant or above*;*
- *an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public*;*
- *an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955) in Australia or overseas.*

*Persons marked with * must be authorised/licensed/registered under Australian law.*

Part E: mailing / delivery instructions

Certified physical copies of documents should be sent by mail or courier (we cannot accept faxes or emails of the certified documents) as follows:

By Mail To:

New Accounts Department
Interactive Brokers Australia Pty Ltd
PO Box R229
Royal Exchange, NSW 1225
Australia

By Courier To:

New Accounts Department
Interactive Brokers Australia Pty Ltd
Level 11, 175 Pitt Street
Sydney, New South Wales 2000
Australia

Part F: Acceptable documents for Individual accounts holders

What documents can we accept for individual accounts holders?

We require certified true copies of EITHER:

One (1) document from Category A

OR

One (1) document from Category B **PLUS One** (1) document from Category C.

ONE DOCUMENT FROM CATEGORY A:

- Certified copy of a driver's licence issued by an Australian State or Territory or a driver's licence of a foreign country (for example, a New Zealand driver's licence). (Important: We can only accept foreign drivers licences which contain the full name, date of birth and current residential address of the relevant person);
- Certified copy of a Passport issued by the Commonwealth of Australia or a foreign government (please include pages which show the full name and date of birth of the relevant person);
- Certified copy of a photographic identification card issued by an Australian Government body or an Australian State or Territory Government body (for example, a NSW photo card issued by the Roads and Maritime Services); or
- Certified copy of a National identification (ID) card issued by the government of a foreign country. (Important: We can only accept foreign national ID cards which contain the full name, date of birth and current residential address of the relevant person)

OR

ONE DOCUMENT FROM CATEGORY B:

- Certified copy of a Birth certificate issued by an Australian State or Territory or foreign government (important: If the relevant person's current name is different to that shown on birth certificate (due to marriage, change of name etc), then please include certified copies of the change of name documentation.)
- Certified copy of a Current Citizenship certificate issued by the Commonwealth of Australia or foreign government (important: If the relevant person's current name is different to that shown on birth certificate (due to marriage, change of name etc), then please include certified copies of the change of name documentation.)
- Certified copy of a Certified Current pension or health card issued to the relevant person by Centrelink (front and back)

PLUS

ONE DOCUMENT FROM CATEGORY C:

- Certified copy of 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) under a Commonwealth law relating to taxation, which contains the individual's name and residential address. Please ensure to block out the TFN.
- Certified copy of a notice issued by the Commonwealth of Australia or State or Territory of Australia within the preceding 12 months that records the provision of financial benefits, which contains the individual's name and residential address.
- Certified copy of a notice issued by a local government body (e.g., local council) or public utilities provider within the preceding 3 months which records the provision of services and contains the individual's name and residential address.