



THE
PERTH MINT
AUSTRALIA

DEPOSITORY REFERENCE GUIDE

REQUIRED SUPPORTING DOCUMENTATION
FOR PMD APPLICATIONS



THE PERTH MINT DEPOSITORY

GOLD CORPORATION

ABN 98 838 298 431

A STATUTORY AUTHORITY OF
THE GOVERNMENT OF WESTERN AUSTRALIA

March 2018

INTRODUCTION

This information contained in this reference booklet serves as a guide to determine which documents are required to open an account with The Perth Mint's Depository Service.

Under Australian legislation The Perth Mint is required to identify clients before transacting.

Please refer to page 9 for information regarding Certification or Notarisation of documents.

If an account application is not completed correctly, or does not include the required documentation, the account cannot be opened.

Clients should identify their application with one of the following seven categories. The required documentation will be determined by the applicable category.

1. INDIVIDUALS
2. COMPANIES
3. TRUSTS
4. PARTNERSHIPS
5. ASSOCIATIONS
6. CO-OPERATIVES
7. GOVERNMENT BODIES

Please refer to the following sections for further information regarding the applicable category. Clients who wish to use the services of a Financial Advisor should refer to page 9 of this document.

If providing Certified/Notarised documents for an account application, the Depository Department will allow an Initial purchase of metal to be conducted after which the account **will be blocked for all subsequent transactions** until the original certified documents have been received.

INDIVIDUAL / JOINT / SOLE TRADER

The Perth Mint Depository requires the following documents to open the account in the name of an individual or individuals:

- Passport – Photo and Signature pages required (does not need to be certified/notarised)
- Bank Statement or Bank Confirmation Letter* (does not need to be certified/notarised)

*If you provide a joint bank account as your nominated account, please provide a copy of Photo ID for the joint bank account holder.

If the Passport is not available then, along with the bank statement we will require original certified photocopies of TWO of the following documents:

- Driver's Licence
- National Identity card - with photo and signature
- Proof of Age Card - with photo and signature
- Birth Certificate

NOTE: A certified copy of a marriage certificate or change of name certificate is required if two forms of ID with differing names are provided. Please refer to page 9 for information regarding Certification or Notarisation of documents

IMPORTANT CONSIDERATIONS

- The Perth Mint Depository must be able to verify the residential address provided on the application form. If your Bank Account Statement, Driver's Licence or National Identity Card does not display your current residential address, a recent utility bill (no older than 3 months) must be used in conjunction with the above requested documentation. The utility bill does not need to be certified.
- If using a driver's licence as proof of address only, it does not need to be certified.
- The Bank Account Statement or Bank Confirmation Letter will need to show the Account Name, Account Number (in full), BSB Number (if applicable) & your residential address
- It is a requirement that all persons named in a bank account even if they are not listed as an operating authority are to be identified. One form of uncertified ID will be accepted – passport or driver's licence.
- At least one document must be photographic ID and contains your signature.
- The passport must contain the signature page. Some passports contain the signature on a different page.
- Some new passports no longer contain a section for the bearer's signature. **If the provided passport that does not contain a signature then please provide a CERTIFIED copy of the driver's licence that contains a signature.**
- A PO Box is not acceptable unless it is in addition to a residential / business address. There may be some circumstances where this may not apply
- Each person listed as an Operating Authority is required to provide ID and proof of address.
- Please ensure that ID provided matches names on the application form.
- If the names do not match, a linking document is then required i.e. Change of Name Certificate or Marriage Certificate.
- Selecting "Joint Access" on the Application Form will require TWO operating authorities to be present or provide written instruction for any account transaction or account changes.

MINOR

For accounts in the name of a **MINOR** we require the following documentation:

- Passport (or certified copies of 2 forms of ID) for Parent/Guardian operating the account
- Bank Statement that contains the name of the minor
- Proof of address document for the Parent/Guardian
- Passport or Birth Certificate for the minor (Passport does not need to be certified. Birth Certificate must be supplied as an original certified copy)

The minor will not be permitted to be an operating authority on the account. The account will have to be operated by a parent or guardian. The parent or guardian will need to complete the Application Form and provide all the necessary identification documentation. When the child turns 18 the parent or guardian can make a written request for the account operation to be transferred to the now of age minor.

COMPANIES

The following information is required to open an account in the name of a company.

AUSTRALIAN COMPANY

- ASIC Company Statement or ASIC Company Extract (for new companies). This document does not need to be certified.
- A Board Resolution/Minutes of Meeting approving the opening of a Perth Mint account by the company. The Resolution/Minutes should be signed in accordance to the authorised signing protocol for that particular company.
- Bank Statement in the name of the company
- All relevant ID documents for the Operating Authorities as per **Individual requirements**
- Proof of address for all operating authorities

INTERNATIONAL COMPANY

Documentation will vary from country to country. Ensure that the documentation provided shows us the following information:

- Full registered name of the company
- All relevant ID documents for the Operating Authorities as per **Individual requirements**
- The country in which the company was formed, incorporated or registered
- Whether the company is registered by the relevant registration body and if so, any identification number issued to the company by the relevant registration body upon the company's formation, incorporation or registration
- The full address of the company in its country of formation, incorporation or registration as registered by the relevant registration body.
- Whether it is registered as a private or public company or some other type of company by the relevant foreign registration body
- List of current company directors/managers
- In some circumstances a list of Shareholders/Members will be required (This most often applies to LLC's)

Examples of documents that may include this information:

- Certificate of Registration/Incorporation
- Certificate of Formation
- Operating Agreement
- Company Statement
- Articles of Incorporation/Memorandum of Association

LIMITED LIABILITY COMPANY (LLC)

The following documentation is required for a Limited Liability Company (LLC):

- An original certified/notarised copy of the LLC Operating Agreement.
- An original certified/notarised copy of the Certificate of Filing or Certificate of Formation.

- A minutes of a meeting from the Manager advising that they wish to open a Perth Mint Depository account in the name of the LLC
- Bank Statement in the name of the LLC
- All relevant ID documents for the Operating Authorities as per **Individual requirements**
- Proof of address for all operating authorities

**Please note: For LLC's registered in USA, each State may have different names for the LLC documentation.*

PLEASE NOTE:

- Documentation for International Companies and LLC's must be provided as original certified or notarised copies.
- If another company is the director of the company opening the Depository/Certificate account then we must also obtain a list of directors for the other company and proof of its registration

In addition to the company documents, the following is required:

- A Board Resolution/Minutes of Meeting approving the opening of a Perth Mint account by the company. The Resolution/Minutes should be signed in accordance to the authorised signing protocol for that particular company.
- Bank Statement in the name of the Company

TRUSTS

The following applies to Australian Self-Managed Superannuation Funds, Pension Schemes, Foundations and Trusts (Family, Revocable, Irrevocable, Discretionary and Testamentary etc.)

Typically information regarding the Trust is provided in a Trust Deed. The information we require is as follows:

- Full name of the trust
- The type of the trust
- The country in which the trust was established
- The name of the trustee/s
- The name of the beneficiary/beneficiaries.
- The signature and date page of the Trust

IMPORTANT CONSIDERATIONS

Trust Accounts must reflect the name that is on the Trust deed i.e. The Tom Jones Trust. We do not include the Trustee/s name within the account name.

AUSTRALIAN SELF MANAGED SUPER FUNDS

Documents required for an Australian Self-managed Superannuation Fund are as follows:

- All relevant ID documents for the Operating Authorities as per **Individual requirements**
- Bank Statement in the name of the Super Fund
- Proof of address for the trustees (if not displayed on the bank statement)
- ABN for the Superannuation Fund
- Copy of the full Super Fund Deed (does not need to be certified)

- All trustees (individuals or directors of the trustee company) must be listed as operating authorities on the account unless a letter or minutes of meeting is provided that advises that only one trustee will operate the account and that all trustees agree to this.
- If there is a corporate trustee then we require a copy of the ASIC Company Statement or Extract and a Minutes of Meeting whereby the directors of the trustee company agree to open a Perth Mint account in the name of the Super Fund

OTHER TRUSTS (Family, Discretionary, Revocable, Irrevocable)

Documents required for a Trust are as follows:

- All relevant ID documents for the Operating Authorities as per **Individual requirements**
- Bank Statement in the name of the Trust
- Proof of address for the trustees (if not displayed on the bank statement)
- Original Certified/Notarised copy of the full Trust Deed
- Australian Business Number (if applicable)
- All trustees (individuals or directors of the trustee company) must be listed as operating authorities on the account unless we receive a letter or minutes of meeting advising that only one trustee will operate the account and that all trustees agree to this.
- If the trustee is a Corporate Entity, a copy of the ASIC Company Statement or Extract and a Minutes of Meeting whereby the directors of the trustee company agree to open a Perth Mint account in the name of the Trust

TESTAMENTARY TRUST

A Testamentary Trust is created in a person's Last Will and Testament. The Last Will and Testament often times becomes the Trust Deed and will contain information regarding the Trustee, the Beneficiaries and the rules of the Trust. We will require:

- An original certified/notarised copy of the Death Certificate
- An original certified/notarised copy of the Probate and Last Will and Testament
- All relevant ID documents for the Operating Authorities as per the **Individual requirements**
- Bank Statement in the name of the Estate or Testamentary Trust

FOUNDATION

Documents required for a Foundation are:

- An original certified/notarised copy of the Foundation Document
- If the foundation does not advise who the beneficiaries are then an original certified/notarised copy of a separate document listing the specific beneficiaries will need to be provided
- An original certified/notarised copy of the document that confirms the Registration of the Foundation
- All relevant ID documents for the Operating Authorities as per the **Individual requirements**
- Bank Statement in the name of the Foundation

PARTNERSHIPS, ASSOCIATIONS, CO-OPERATIVES, GOVERNMENT BODIES

The documentation to open an account for these entities will vary, however, it should provide evidence that the entity is legitimate and current.

All Operating Authorities for the account must provide information as per **INDIVIDUAL** requirements.

PARTNERSHIPS

- The full name of the partnership / ABN
- The country in which the partnership was established
- All relevant ID documents for the Operating Authorities as per **Individual Requirements**
- An original certified or notarised copy of the Executed Partnership Agreement

ASSOCIATIONS

- The full name of the association
- Any unique identifying number issued to the association upon its incorporation by the State, Territory or overseas body
- All relevant ID documents for the Operating Authorities as per **Individual Requirements**

CO-OPERATIVES

- The full name of the co-operative
- All relevant ID documents for the Operating Authorities as per **Individual requirements**
- Any unique identifying number issued to the co-operative upon its registration by the State, Territory or overseas body responsible for the registration of the co-operative

GOVERNMENT BODIES

- The full name of the government body
- Whether the government body is an entity or emanation, or is established under legislation, of the Commonwealth
- All relevant ID documents for the Operating Authorities as per **Individual requirements**

FINANCIAL ADVISORS

If a financial advisor is to operate on a Depository Program account on behalf of the account owner, we require an **original** signed letter from the owner of the account specifying the name of the advisor and stating that the nominated Financial Advisor has the ability to transact on the account and that they understand what this entails. If the financial advisor is to be listed as an operating authority on the account then they must sign the application form and provide a copy of their passport and proof of address. The bank account must be in the account owner's name. Financial Advisors are not permitted to collect physical metal on behalf of their client or update banking details or account passwords on behalf of the client. Financial Advisors may audit a metal holding upon written permission by the account holder.

Financial advisors may be added to an account but limited to administrative information only. In this case the client can complete Section Five of the application form.

CERTIFICATION AND NOTARISATION

IMPORTANT INFORMATION

In some circumstances the Perth Mint Depository department will require certified or notarised copies of Identification. Certification or Notarisation will depend upon the geographic location of the client. For Australian residents, or residents in countries in which certification is applicable, a Certified copy is a document that has been certified as a true copy of an original document by an authorised person.

The Certifying person must include:

- Their full name, signed and printed
- The date of the Certification (please note that the certification must be within 3 months of the application)
- The Certifier should write: "This is a true and exact copy of the original document as sighted by me".
- Position held – including the Certifier's registration number or stamp (if applicable)
- If possible their address and contact phone number should also be included.
- All documentation not in English must be translated by an accredited translating service.
- Documents can only be certified once

For clients residing within Australia, the following occupations are currently licensed or registered to certify documentation:

Legal practitioner
Medical practitioner
Pharmacist
Justice of the Peace
Commissioner for Declarations
Commissioner for Affidavits
Police officer
Member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants
Australian Consular Officer or Australian Diplomatic Officer (*within the meaning of the Consular Fees Act 1955*)

For persons not residing in Australia, the certification/notarisation requirements may be different. The Perth Mint Depository Services office are able to provide guidance if required.

Clients that reside outside Australia have the following options:

- Australian Consular Officer or Australian Diplomatic Officer (*within the meaning of the Consular Fees Act 1955*)
- Alternatively, documents should be Notarised or certified by an acceptable authority in the country in which the client resides. For example: A Notary Public. Details of the certifier/notary as outlined above must be included.

All documents requiring certification should be certified/notarised by an independent person not connected to the account in any way.

If providing Certified/Notarised documents for an account application, the Depository Department will allow an Initial purchase of metal to be conducted after which the account **will be blocked for all subsequent transactions** until the original certified documents have been received.