

# Document Certification Guide

NOVEMBER 2025

Trilogy Funds will request certified copies of documentation when we are not able to verify the required information electronically.

There is no electronic database for unregulated trusts and as such a certified copy of the Original Trust Deed as well as any subsequent Amendment/Variation Deeds is required when opening an investment account in the name of a Trust.

Associations (Charities) cannot be verified electronically, and requirements are bespoke and often depend on the associations constitution.

Companies/Corporate Trustee existence can be verified electronically, however we are required to collect beneficial owner information, which is not publicly available, as such we may require a copy of the company extract.

Estate accounts - limited information is available electronically, as such we will require a certified copy of the Probate/ Letter of Administration.

We may also ask for a certified copy of your Driver's License or Passport in the event that our electronic verification is inconclusive.

In the event that we require a certified copy there are specific requirements for certification which are detailed below.

## Certification Requirements

Please see our Certifier List, which details which individuals are authorised to certify documents.

### Single page document

Endorse the copy with the following certification:

*This is to certify this is a true and complete copy of the original, which I have sighted.*

Date:

Signed:

Name:

In addition, the certifier must apply the seal of office and registration number OR detail their qualification, address, registration number and, if applicable, years of service.

**Please note: Certification date must be within the last 12 months to be valid.**

### Multi-page document

Some documents are many pages in length and it may not be possible to certify each page. In such cases, the certifier must number and sign or initial every page and then amend the certification on the first or last page to read as follows.

*This is to certify this <note the number of pages> page document (each page of which I have numbered and signed) is a true and complete copy of the original <note the number of pages> page document, which I have sighted.*

Date:

Signed:

Name:

In addition, the certifier must apply the seal of office and registration number or detail their qualification, address, registration number and, if applicable, years of service.

**Please note: Certification date must be within the last 12 months to be valid.**

## Minimum information requirements

Please see below the information that we are looking for as a minimum for each document type. In the event the certified copy does not contain all the required information we may ask for additional information/certified copies.

### Trust Deed

We require a certified copy of the Original Trust Deed as well as any amendment/variation Deeds (if any).

The Deed/s must contain the following information at minimum:

- Full name of the trust
- Full name of the trustee/s
- Full name of the settlor
- Type of trust
- Full name of each beneficiary or details of the beneficiary class
- Country in which the trust was established
- Certification date must be within the last 12 months to be valid

### Association Constitution

The Constitution must contain the following information at minimum:

- Full name of the association
- Association's principal place of business
- Unique identifying number issued to the association upon its incorporation
- Full name/s of the Chairman, Secretary and Treasurer (or an equivalent officer) of the association
- Certification date must be within the last 12 months to be valid

If all this information is not included in the Association Constitution it may be supplemented with certified copies of other relevant documentation such as AGM minutes.

### Company Extract

We require a copy of the company extract where the investing entity or corporate trustee is a Company.

The Company Extract must contain the following information at a minimum:

- Full name of the company
- Full address of the company's registered office
- Full address of the company's principal place of business
- ACN issued to the company
- Name, DOB and residential address of each director and beneficial owner (a beneficial owner is any entity with >25% shareholding)

### Probate/Letter of administration

The Probate/Letter of administration must contain the following information at a minimum:

- Full name and residential address of Executor
- Full name and address of the deceased individual
- Certification date must be within the last 12 months to be valid

### Driver's License

- The certified copy must include both the front and back of the driver's license
- The original document must be valid (i.e. driver's license not expired)
- Certification date must be within the last 12 months to be valid

### Passport

- The original document must be valid (i.e. passport not expired)
- Certification date must be within the last 12 months to be valid

## Certifier List

The following is a complete list of who can certify your identification documents when you apply for units in one of Trilogy Funds' Trusts or Syndicates.

Paragraph 1.2.1 of the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1) (AML/CTF Rules) contains a definition of 'certified copy' which sets out a list of persons who may certify a document as a true copy of an original. These people are as follows:

**1. A person who, under a law in force in a State or Territory, is currently licensed or registered to practise in an occupation listed in Part 1 of Schedule 1 of the Statutory Declarations Regulation 2023:**

- Architect
- Chiropractor
- Dentist
- Financial adviser or financial planner
- Legal practitioner
- Medical practitioner
- Midwife
- Migration agent registered under Division 3 of Part 3 of the Migration Act 1958
- Nurse
- Occupational therapist
- Optometrist
- Patent attorney
- Pharmacist
- Physiotherapist
- Psychologist
- Trade marks attorney
- Veterinary surgeon.

**2. A person listed in Part 2 of Schedule 1 of the Statutory Declarations Regulation 2023. For the purposes of these rules, where Part 2 uses the term '5 or more years of continuous service', this should read as '2 or more years of continuous service.'**

- Accountant who is:
  - a fellow of the National Tax Accountants' Association; or
  - a member of any of the following:
    - Chartered Accountants Australia and New Zealand;
    - the Association of Taxation and Management Accountants;
    - CPA Australia;
    - the Institute of Public Accountants
- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- APS employee engaged on an ongoing basis with 2 or more years of continuous service who is not specified in another item of this Part.

- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)
- Bailiff
- Bank officer with 2 or more continuous years of service
- Building society officer with 2 or more years of continuous service
- Chief executive officer of a Commonwealth court
- Clerk of a court
- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with 2 or more years of continuous service
- Employee of a Commonwealth authority engaged on a permanent basis with 2 or more years of continuous service who is not specified in another item in this Part.
- Employee of the Australian Trade Commission who is:
  - in a country or place outside Australia; and
  - authorised under paragraph 3 (d) of the Consular Fees Act 1955; and
  - exercising his or her function in that place.
- Employee of the Commonwealth who is:
  - in a country or place outside Australia; and
  - authorised under paragraph 3 (c) of the Consular Fees Act 1955; and
  - exercising his or her function in that place.
- Engineer who is:
  - a member of Engineers Australia, other than at the grade of student; or
  - a Registered Professional Engineer of Professionals Australia; or
  - registered as an engineer under a law of the Commonwealth, a State or Territory; or
  - registered on the National Engineering Register by Engineers Australia
- Finance company officer with 2 or more years of continuous service
- Holder of a statutory office not specified in another item of this Part.
- Judge of a court
- Justice of the Peace
- Magistrate
- Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961

- Master of a court
  - Member of the Australian Defence Force who is:
    - an officer; or
    - a non-commissioned officer within the meaning of the Defence Force Discipline Act 1982 with 2 or more years of continuous service; or
    - a warrant officer within the meaning of that Act.
  - Member of the Australasian Institute of Mining and Metallurgy
  - Member of the Governance Institute of Australia
  - Member of:
    - the Parliament of the Commonwealth; or
    - the Parliament of a State; or
    - a Territory legislature; or
    - a local government authority.
  - Minister of religion registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
  - Notary public, including a notary public (however described) exercising functions at a place outside:
    - the Commonwealth; and
    - the external Territories of the Commonwealth
  - Permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
  - Permanent employee of:
    - a State or Territory or a State or Territory authority; or
    - a local government authority with 2 or more years of continuous service, other than such an employee who is specified in another item of this Part
  - Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
  - Police officer
  - Registrar, or Deputy Registrar, of a court
  - Senior Executive employee of:
    - Commonwealth authority; or
    - a State or Territory.
  - Sheriff
  - Sheriff's officer
  - Teacher employed on a full-time basis at a school or tertiary education institution
- 3. 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 describer) meaning a solicitor or barrister.**
  - 4. An officer with, or authorised representative of, a holder of an Australian Financial Services Licence, having 2 or more years of continuous service with one or more licensees.**
  - 5. An officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees.**