



### Operating Authority:

Use this form to appoint an individual with the legal capacity to act as your authorised representative (agent) to operate your ABC Bullion account on your behalf. For information on what this appointment means, please refer to ABC Bullion Terms of Business available on our website.

### 1. Trading Account Details

Account Name (in full) \_\_\_\_\_

Client code: \_\_\_\_\_

### 2. Individual Representative

Australia's Anti-Money Laundering and Counter-Terrorism Financing ("AML/CTF") legislation obliges us to collect identification information and documentation about your authorised representative (agent). ABC Bullion may be prevented by AML/CTF legislation to process your representative's investment instructions without the required information and documentation.

Title \_\_\_\_\_ DOB \_\_\_\_\_

Given names (in full) \_\_\_\_\_

Surname \_\_\_\_\_

Citizenship \_\_\_\_\_

Residential address (not a PO Box) \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_

Country \_\_\_\_\_ Postcode \_\_\_\_\_

Drivers Licence No \_\_\_\_\_ State \_\_\_\_\_

Expiry date \_\_\_\_\_

Tick if a politically-exposed person  Refer to definition on page 4.<sup>1</sup>

### 3. Declaration and Signatures - Representatives

I declare I am the authorised representative (agent) named above and confirm the details in Section 2 are true and correct.

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Witness to Representative's Signature** (must be a third party, i.e. not account holder or authorised representative)

Signature \_\_\_\_\_ Date \_\_\_\_\_

Print name \_\_\_\_\_

### 4. Declaration and Signatures - Client

I/We being the Account holder(s) appoint the individual nominated in Section 2 as my/our authorised representative (agent) and agree to be bound by the following terms and conditions:

- I/We warrant that my/our nominated authorised representative (agent) is older than 18 years of age and is not a Financial Advisor.
- I/We acknowledge and agree that I/we am/are bound by all acts of my/our authorised representative (agent) including:
  - Signing or otherwise authorising an application to purchase;
  - Preparing, signing and lodging or otherwise communicating a request to transfer, store, purchase or sell metal;
  - Directing payment of any amount representing the sale or purchase of my/our metal or otherwise a request to cancel my/our account;
  - Obtaining information about my/our investment;
  - Directing ABC Bullion to send all notices, cheques, reports, metal and other material to the authorised representative (agent) on my/our behalf; or/and
  - Changing my/our account details.
- I/We understand that the exercise of any of the powers by my/our authorised representative (agent), or a person reasonably believed by ABC Bullion to be my/our authorised representative (agent), will be treated as if I/we (account holder) had personally exercised those powers.
- I/We understand that my/our authorised representative (agent) does not have the power to appoint another or different authorised representative (agent) to act on my/our behalf.
- I/we indemnify ABC Bullion from and against all losses, liabilities, actions, proceedings, claims and demands arising from instructions that ABC Bullion receives from my/our authorised representative (agent) whether or not my/our authorised representative (agent) was acting as authorised by me/us.
- I/We agree to provide ABC Bullion with an original signed instruction to cancel my/our appointment of an authorised representative (agent).
- I/We understand that an additional appointment by me/us will void any previously authorised representative (agent).
- ABC Bullion reserves the right not to accept an instruction from my/our authorised representative (agent).

**Joint clients must all sign.**

**In the case of company signatories**, two directors (or a director and company secretary) must sign (unless a sole director and company secretary).

**In the case of Trust's**, all trustees must sign.

\_\_\_\_\_  
**Signatory 1**

\_\_\_\_\_  
 Print name (in full)

\_\_\_\_\_  
 Signing capacity

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Contact number

\_\_\_\_\_  
**Signatory 2**

\_\_\_\_\_  
 Print name (in full)

\_\_\_\_\_  
 Signing capacity

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Contact number



## 5. Identification Documents

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from a representative (agent) acting on behalf of a Client.

Please provide all identification documents in the proper form otherwise we will not be able to process your request.

Please do not send original documents as we cannot guarantee their return and do not accept any responsibility for lost documents.

An Individual Representative (agent) must provide **one** Primary Document **OR two** Secondary Documents (being one from Group A and one from Group B) in a **CERTIFIED COPY FORMAT** (refer definition on page 4).<sup>2</sup> Non-English identification documents require a **translation** from an accredited Translator.

### Primary Documents

- AUS Passport – current or recently expired (within the last 6 months);
- Passport issued by a foreign Government, the United Nations ('UN') or an agency of the UN – current and provides your photograph and signature;
- AUS Drivers License or permit (or equivalent issued by a foreign Government) – current and provides your photograph and signature;
- Identity or Proof of Age Card issued by AUS Government (Cth, State or Territory) – current and provides your photograph and signature.

### Secondary Documents – Group A

- AUS Birth certificate (or extract thereof);
- Citizenship certificate (issued by AUS or foreign Government);
- Birth certificate (issued by AUS or foreign Government, the UN or agency of the UN);
- Card issued by Centrelink (e.g. Health Care Card, Pensioner Concession Card).

### Secondary Documents – Group B

- AUS Government (Cth, State or Territory) notice – stating your name, residential address, and financial benefits being received under Australian Law (dated within the last 12 months);
- ATO notice – stating your name, residential address, and taxation debt owing/payable (dated within the last 12 months);
- Notice issued by a local government body or utilities provider – stating your name, residential address, and the services being received (e.g. rates notice, electricity or water – dated within the last 3 months).

<sup>1</sup> AUSTRAC defines 'Politically-Exposed Persons' in Chapter 1 of the AML/CTF Rules as an individual:

- (1) who holds a prominent public position or function in a government body or an international organisation, including:
- (a) Head of State or head of a country or government; or
  - (b) government minister or equivalent senior politician; or
  - (c) senior government official; or
  - (d) Judge of the High Court of Australia, the Federal Court of Australia or a Supreme Court of a State or Territory, or a Judge of a court of equivalent seniority in a foreign country or international organisation; or
  - (e) governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia; or
  - (f) senior foreign representative, ambassador, or high commissioner; or
  - (g) high-ranking member of the armed forces; or board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and
- (2) who is an immediate family member of a person referred to in paragraph (1), including:
- (a) a spouse; or
  - (b) a de facto partner; or
  - (c) a child and a child's spouse or de facto partner; or
  - (d) a parent; and
- (3) who is a close associate of a person referred to in paragraph (1), which means any individual who is known (having regard to information that is public or readily available) to have:

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- (a) joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph (1); or
  - (b) sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph (1).
- (4) In these Rules:
- (a) domestic politically exposed person means a politically exposed person of an Australian government body;
  - (b) foreign politically exposed person means a politically exposed person of a government body of a foreign country;
  - (c) international organisation politically exposed person means a politically exposed person of an international organisation.
- (5) In this definition international organisation means an organisation:
- (a) established by formal political agreement by two or more countries and that agreement has the status of an international treaty; and
  - (b) recognised in the law of the countries which are members of the organisation.
- Note: The term de facto partner is defined in the Acts Interpretation Act 1901 and the terms 'foreign country' and 'government body' are defined in the AML/CTF Act.*

<sup>2</sup> All documents must be provided in certified copy format. This means a copy of the original document that has been certified by an eligible officer.

When having documents certified, you should show the original document and copy to the eligible certifier.

Each certified copy must include the statement "I certify this is a true copy of the original document" (or similar wording) and must be signed by an eligible officer. The certifier must state his/her qualification or occupation, which makes them eligible and must also date the document.

Please note we require the copy that was actually signed by the certifier.