Interactive Brokers
The Professional's Gateway to the World's Markets

Certified Copy Certificate – Customer Identification Documents
To be used for Individual Customers.

Part A: Customer Details

Full Name *(Registered name if applicable)* _____

Address *(Registered address if applicable)* _____

Suburb, State Postcode Country _____

Part B: Certifier Details
Please complete Part B to enable us to contact you if necessary to confirm any information provided on this form.

Full Name _____

Occupation _____

Address _____

Suburb, State Postcode Country _____

Category of Certifier
I have examined the originals of all the documents which are set out in Part C of this form. The copy documents attached are true and correct copies of the original documents examined by me.

Privacy Statement: Interactive Brokers is collecting your personal information in order to assist in the identification of the Customer named in Part A.

Date & Signature of Certifier _____

Part C: Details of Document(s) Certified
Please tick (✓) which document(s) are certified. Where more than one document is listed, only one document is required to be certified. Certify the first page of the document(s) with "This is a true copy of the original document" followed by the Certifier's signature and the date. Initial any subsequent pages. If any document is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.

Checklist for Certifier (must be completed in full by the Certifier)

☐ All parts of this form have been completed.

☐ You are a person within a specified class of accepted certifiers defined below in "Category of Certifiers".

☐ All documents are certified as a true copy of the original document.

☐ The certified copies are attached to this form.

Once completed the Certificate and attached documents should be sent

Via mail (not fax or email) addressed to:

Australian Compliance Director, Interactive Brokers LLC
PO Box R229, Royal Exchange,
NSW, 1225, Australia

Or couriered to:

Australian Compliance Director, Interactive Brokers LLC
Level 40 Grosvenor Place
225 George Street Sydney
NSW Australia

Document Certified

1. **Certified Proof of Identity**
   A copy of your Passport, National Identity Card or Drivers License, certified as a true copy of an original document by an Approved Certifier*.

2. **Certified Proof of Address**
   A secondary identification document which must be certified as a true copy of an original document by an Approved Certifier*, e.g.

   a. A notice that was issued to an individual by the Commonwealth of Australia, a State or Territory of Australia within the preceding twelve months; which contains the name of the individual, his or her residential address; and which records the provision of financial benefit to the individual under a law of the Commonwealth of Australia, State or Territory (as the case may be).

   b. Notice of Assessment issued by the Australian Taxation Office within the preceding 12 months.

   c. Utilities or municipal rates notice that was issued to an individual by the provider within the preceding three months which contains the name of the individual and his or her residential address; and which records the provision of services by that local government body or utilities provider to that address or to that person.

Other documents – please specify.

Note: Interactive Brokers reserves the right to reject any document listed here.

Part D: List of Approved Certifiers

- A Justice of The Peace with a registration number

- Accountant

- Barrister, Solicitor or Patent Attorney

- Dentists – registered or licensed under a law providing for that registration or licensing

- Judges or masters of a Federal, State or Territory court

- Legal practitioners of a Federal, State or Territory court

- Manager of a bank or credit union

- Medical practitioners, registered or licensed under a law providing for that registration or licensing

- Police Officer in charge of Police Stations or of the rank of Sergeant and above

- Postal Manager

- Principal of a Secondary College, High School or Primary School

- Any introducing broker or financial adviser (appointed as agent for IB LLC for the purpose of customer identification)