

# Application | SMSF

## WHO SHOULD COMPLETE THIS FORM?

This application form is for investments made by trustees of Self Managed Superannuation Funds (SMSF).

## HOW TO COMPLETE THIS FORM

- 
- Step 1** Before submitting this form, please read the Product Disclosure Statement (PDS) available [here](#) or if you are unable to access the link or print the document, contact us on 1800 287 245.
- Units in a fund will only be issued following acceptance of an application form issued with the relevant PDS, with all required documents attached.
- Paper-based applications:** Please print, use a black pen and write in BLOCK letters. If you make an error do not use correction fluid, instead, cross out your error and initial your changes.
- Note:** Please complete Sections A-C at the beginning of the form to ensure we can identify you and determine if you are in the target market for the fund(s). Please also complete Sections 1-11 so that your application can be processed.
- 
- Step 2** **Tell us your foreign tax status**
- Please complete the **Global Tax Reporting (FATCA/CRS) information** in **section 9**.
- 
- Step 3** **Sign and send your documents to the below address.**
- Please ensure you sign **section 11** of the form in accordance with the instructions provided.
- You can return your forms by post to:
- Ausbil Investment Management Limited  
GPO Box 804  
Melbourne VIC 3001
- 
- Step 4** **Make your payment**
- Please refer to **section 4** and **5** of the application form and follow the instructions on how to pay the application amount.
- Your application cannot be processed until all relevant identification documents and cleared funds are received.
- 

## IMPORTANT INFORMATION

- Please ensure all fields are completed. If you do not complete all relevant sections your application may be rejected and returned to you for completion, resulting in a delay in processing your application.
- If you have any questions as you complete this form, please refer to the FAQs of this form, or contact us on 1800 287 245.

## Section A: Your investment objectives

In line with the Design and Distribution Obligations (DDO) under the Corporations Act, we require the below information.

### Consumer Attributes

#### A. What is your primary investment objective? (select only one option)

- ☐ **Capital growth** (increased value of your investment over time)
- ☐ **Capital preservation** (preserving the value of your investment and preventing loss)
- ☐ **Capital guaranteed** (shielding your investment from any losses)
- ☐ **Income distribution** (receiving regular income from your investment)

#### B. What is the intended use of this fund in your investment portfolio? (select only one option)

- ☐ **Solution / standalone** (your primary investment - 75% - 100% of portfolio)
- ☐ **Core component** (a large proportion of your investment - 25% - 75% of portfolio)
- ☐ **Satellite / small allocation** (a small part of your investment - less than 25% of portfolio)

#### C. What is the intended investment timeframe? (select only one option)

- ☐ Short term (less than 2 years) ☐ Medium term (more than 2 years) ☐ Long term (more than 8 years)

#### D. What is your tolerance for risk / return? (select only one option)

(How much of a loss you are willing to tolerate within your portfolio when assessed against the possibility of greater returns).

- ☐ Low ☐ Medium ☐ High ☐ Very high

#### E. What is your anticipated frequency of withdrawals? (select only one option)

- ☐ Daily ☐ Weekly ☐ Monthly ☐ Quarterly ☐ Annually or longer

#### F. Have you received advice prior to applying to invest in this fund(s)? (select only one option)

**Yes** - I/We have received personal advice in relation to my investment in this fund (financial product advice provided to you by a person who has considered one or more of your investment objectives). ☐

**No** - I/We have not received personal advice in relation to my investment in this fund. ☐

**Note:** Acceptance of your application should not be taken as a representation or confirmation that an investment in the fund is, or is likely to be, consistent with your intentions, objectives and needs as indicated in your responses to these questions.

#### FOR INVESTORS IN THE AUSBIL AUSTRALIAN GEARED EQUITY FUND ONLY

There is a distribution condition in place for any prospective investor who applies for units in the Ausbil Australian Geared Equity Fund, which requires Ausbil to ask and the prospective investor to answer a range of questions that are designed to verify that the investor is in the target market. If the questions are not answered appropriately, the application will be rejected. Please indicate either YES or NO to each question below.

|  | YES                      | NO                       |
|--|--------------------------|--------------------------|
| 1. Do you intend to invest for at least 5 years and are you aware that the capital value of your investment can fluctuate (including negatively) over that time? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Do you understand that the fund has exposure to share investments and leverage, which can magnify the volatility of your investment significantly?            | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Do you understand that the fund is considered "Very High Risk", which means there is a very high risk of losing money in any year?                            | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Is your investment predominantly seeking capital growth and does it represent a relatively small (i.e. <25%) part of your broader investment portfolio?       | <input type="checkbox"/> | <input type="checkbox"/> |

## Section B: Investor details

What is the full legal name of the entity that will hold title to the units?

Full name of account designation

If you are an existing investor, please provide your account number

☐ I/We confirm there are no changes to our identification documents previously provided and that these remain current and valid.

☐ I/We confirm there are no changes to the information in our previous application provided and that it remains current and valid.

## Section C: Are you investing using funds borrowed under a margin loan?

☐ No - go to **section 1** ☐ Yes - please complete the details below

Name of margin lender

Name of borrower

Borrower's TFN

Loan number

If the person who will hold legal title to the units will be the borrower granting Power of Attorney to the margin lender or its nominee, please complete this form as an SMSF.

## 1. TRUST/FUND DETAILS

Full name of trust/superannuation fund

Full business name (if any) of the trustee in respect of the trust/superannuation fund

Country of establishment

Tax file number or exemption code

Australian Business Number (if any)

## 2. TRUSTEE DETAILS

**Note:** A Self-managed Super Fund (SMSF) must have a minimum of two (2) trustees and a maximum of six (6). The trustee/s can be either individual or corporate. Where the trustee is corporate, all members of the SMSF are directors of the corporate trustee. If there are more than four (4) trustees, please complete **section 2** of another application form and attach it to the main application form.

How many trustees does the SMSF have?

### Type of trustee

☐ Individual trustee (complete **section 2.1**) ☐ Corporate trustee (complete **section 2.2 & 2.3**)

#### 2.1 Individual trustee(s) details

##### Individual trustee 1

Title  Given name(s)  Surname

Date of birth (DD/MM/YYYY)  /  /  Occupation

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

##### Contact details

Home number (including country and area code)  Mobile number (including country code)

Email (default address for all correspondence)

##### Individual trustee 2

Title  Given name(s)  Surname

Date of birth (DD/MM/YYYY)  /  /  Occupation

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

**Contact details**

Home number (including country and area code)

Mobile number (including country code)

Email

All correspondence will be sent to the email address provided by **Individual trustee 1**.**Individual trustee 3**

Title

Given name(s)

Surname

Date of birth (DD/MM/YYYY)   /   /    

Occupation

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Contact details**

Home number (including country and area code)

Mobile number (including country code)

Email

All correspondence will be sent to the email address provided by **Individual trustee 1**.**Individual trustee 4**

Title

Given name(s)

Surname

Date of birth (DD/MM/YYYY)   /   /    

Occupation

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Contact details**

Home number (including country and area code)

Mobile number (including country code)

Email

All correspondence will be sent to the email address provided by **Individual trustee 1**.

## 2.2 Corporate trustee details

Full business name as registered by ASIC

ACN

Nature of business

**Registered Office Address** - (PO Box is not acceptable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Principal place of business** (if any) (PO Box is not acceptable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Contact details** (for company or contact person)

Name

Email

Business number (include country and area code)

Mobile number (include country code)

## 2.3 What type of company is the corporate trustee?

**Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies)

☐

**Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies)

☐

Please complete the director details below if you are an Australian proprietary company. Do not complete for public companies.

### Directors details

How many directors are there?

Please provide below the full name of all the directors. If there are more than four directors, please complete the details on a separate sheet and attach to this application form.

#### Director 1

Title

Given name(s)

Surname

#### Director 2

Title

Given name(s)

Surname

#### Director 3

Title

Given name(s)

Surname

**Director 4**

Title

Given name(s)

Surname

**3. INVESTMENT AND DISTRIBUTION INSTRUCTIONS**

| Fund name  | APIR      | Investment amount AUD\$ | Distribution option<br>(indicate (X) one option per fund) |                          |
|--|-----------|-------------------------|---|--------------------------|
|  |           |                         | Pay to my bank a/c  | Reinvest                 |
| Ausbil Australian Active Equity Fund                   | AAP0103AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Australian Concentrated Equity Fund             | AAP9227AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Active Sustainable Equity Fund                  | AAP3940AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Active Dividend Income Fund                     | AAP3656AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Australian Geared Equity Fund                   | AAP0002AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil 130/30 Focus Fund - Wholesale Class             | AAP0008AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Australian Emerging Leaders Fund                | AAP0104AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil MicroCap Fund (closed to new investors)         | AAP0007AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Australian SmallCap Fund                        | AAP5529AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Long Short Focus Fund                           | AAP8211AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Balanced Fund                                   | AAP0101AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Global Resources Fund                           | AAP5928AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Global SmallCap Fund                            | AAP8285AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Global Essential Infrastructure Fund - Unhedged | AAP3254AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Ausbil Global Essential Infrastructure Fund - Hedged   | AAP3601AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |
| Candriam Sustainable Global Equity Fund                | AAP0001AU | <input type="text"/>    | <input type="checkbox"/>                                  | <input type="checkbox"/> |

**Note:** The minimum investment is \$20,000 per fund. However, we may waive or vary the investment minimums. Please nominate one distribution option for each fund you are investing in. If no selection is made, distributions will be automatically re-invested.

Please indicate the source & origin of funds being invested

|   |                          |
|---|--------------------------|
| Savings                                       | <input type="checkbox"/> |
| Superannuation contributions                  | <input type="checkbox"/> |
| Income from employment - regular and/or bonus | <input type="checkbox"/> |
| Normal course of business                     | <input type="checkbox"/> |
| Investment                                    | <input type="checkbox"/> |
| Donation/gift                                 | <input type="checkbox"/> |
| Inheritance                                   | <input type="checkbox"/> |
| Sale of assets (e.g. shares, property)        | <input type="checkbox"/> |
| Other   | <input type="text"/>     |

#### 4. PAYMENT OF APPLICATION AMOUNT

Select your payment method and complete the relevant section if applicable. All payments must be made in AUD.

☐ EFT ☐ BPAY®


| EFT             | Electronic Funds Transfer                                 |
|-----------------|---|
| Account name:   | AUSBIL INVT MGT LTD - APPLICATION                         |
| BSB:            | 242-000   |
| Account number: | 245491018   |
| Your reference: | [please use the name of the investor and investor number] |

#### BPAY® - Telephone & internet banking

You can make your payment using telephone or internet banking.

You will need to quote the biller code and your investor number (for reference) when making this payment.

If this is a new investment, we will notify you of your investor number once this is available. Please make your payment within 14 days of this notification.

| Fund  | BPAY® details  |
|---|--|
| [Fund name]   |  Biller code [insert]<br>Reference number [Investor number] |
| Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account.<br>More information <a href="http://www.bpay.com.au">www.bpay.com.au</a><br>®Registered to BPAY Pty Ltd ABN 69 079 137 518 |  |



| Fund name  | BPAY® details  |
|--|--|
| Ausbil Australian Active Equity Fund                   | Biller code: 636845<br>Reference number: Investor number |
| Ausbil Australian Concentrated Equity Fund             | Biller code: 636969<br>Reference number: Investor number |
| Ausbil Active Sustainable Equity Fund                  | Biller code: 989111<br>Reference number: Investor number |
| Ausbil Active Dividend Income Fund                     | Biller code: 249623<br>Reference number: Investor number |
| Ausbil Australian Geared Equity Fund                   | Biller code: 636886<br>Reference number: Investor number |
| Ausbil 130/30 Focus Fund - Wholesale Class             | Biller code: 636829<br>Reference number: Investor number |
| Ausbil Australian Emerging Leaders Fund                | Biller code: 636878<br>Reference number: Investor number |
| Ausbil MicroCap Fund (closed to new investors)         | Biller code: 636852<br>Reference number: Investor number |
| Ausbil Australian SmallCap Fund                        | Biller code: 299966<br>Reference number: Investor number |
| Ausbil Long Short Focus Fund                           | Biller code: 338517<br>Reference number: Investor number |
| Ausbil Balanced Fund                                   | Biller code: 636860<br>Reference number: Investor number |
| Ausbil Global Resources Fund                           | Biller code: 306464<br>Reference number: Investor number |
| Ausbil Global SmallCap Fund                            | Biller code: 290056<br>Reference number: Investor number |
| Ausbil Global Essential Infrastructure Fund - Unhedged | Biller code: 299958<br>Reference number: Investor number |
| Ausbil Global Essential Infrastructure Fund - Hedged   | Biller code: 329680<br>Reference number: Investor number |
| Candriam Sustainable Global Equity Fund                | Biller code: 636894<br>Reference number: Investor number |

## 5. FINANCIAL INSTITUTION ACCOUNT DETAILS

### Australian bank account details

Please provide your bank account details if you have selected to take your distribution in cash or wish to provide these details for future redemptions. We will only pay cash proceeds to a bank account in the name(s) of the investor(s). We will not make any payments into third party bank accounts.

Financial institution name

Branch name

Account name

BSB number

Account number

## 6. COMMUNICATION

### Automatic online account access

Online access enables you to view details of your investments (account balance, investment details and account statements). We will send you the necessary registration details by post once your application is processed.

**Note:** You may receive marketing material (e.g. market commentary, event invitations) from us, from time to time. Please indicate if you do not wish to receive these communications.

### Annual & semi-annual report options

The annual and any semi-annual financial statements of the fund are available free on our website. If you would like to receive a copy by post or email, please indicate below. (This refers to annual and semi-annual reports only. This will not affect communication instructions regarding general correspondence for your fund).

☐

By email

☐

By post

### Marketing material opt out

☐

You may receive information from us via mail, telephone, email or other electronic messaging service relating to market commentary, services or information that may be of interest to you. By providing us with your contact details you consent to being contacted by these methods for these purposes. Please indicate if you do not wish to receive marketing information from us or any companies within our group.

## 7. FINANCIAL ADVISER DETAILS

Use this section to tell us about your financial adviser. If you change your financial adviser, it's important to let us know in a timely way. If you would like your financial adviser to receive copies of your statements by email, please enter their email address below.

Adviser email address

**Notice to financial adviser:** by completing this section of the application form, you are confirming that you hold a current Australian Financial Services Licence (AFSL), or are otherwise authorised to advise on and arrange this product.

### Details

AFSL holder name  AFSL number

Adviser name

Advisor code or Authorised representative number  ABN

Property/building name

Unit  Street number  Street name

Suburb  State  Postcode  Country

Phone  Mobile

### Performance of investor identification & verification procedures

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Please indicate below whether client identification and verification procedures have been performed.

☐

No - I have not performed the applicable customer identification procedure on this investor.

☐

Yes - I have completed the applicable customer identification procedure on this investor.

### Financial adviser declaration

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**Notice to financial adviser:** please note that reliance on the KYC performed by the financial advisor is only acceptable if all the criteria below is met.

☐

I hold an AFSL in my own name or have been appointed as an authorised representative by the licensee.

☐

I am a reporting entity for AML/CTF purposes.

☐

The issuer has reasonable grounds to believe that it is appropriate to rely on the KYC procedure I have undertaken.

☐

I have attached the KYC documents to this form.

AFSL full legal entity name

AFSL number

Please print full name

Signature

## 8. AUTHORISED REPRESENTATIVE OF INVESTOR

Please complete this section if you wish to appoint an individual or individuals to act on your behalf in relation to your investment in the fund. If you have appointed an entity as your authorised representative, please contact us on 1800 287 245 to obtain the relevant KYC form.

### 8.1 Authorised representative details

#### Authorised representative 1

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Title                | Given name(s)        | Surname              |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

Authorised representative's phone number

Email

Authorised representative's signature

#### Authorised representative 2

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Title                | Given name(s)        | Surname              |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

Authorised representative's phone number

Email

Authorised representative's signature

If you wish to appoint more than two authorised representatives, please complete the details on a separate sheet and attach to this application form.

### 8.2 How authorised representatives may act in relation to the account?

**Please tick as applicable.** If you do not tick a box, then all authorised representatives will be required to act jointly to provide instructions in relation to the investment.

|  |                          |
|--|--------------------------|
| Each authorised representative listed above may provide instructions in relation to the investment individually without the consent of the other | <input type="checkbox"/> |
| All authorised representatives must act jointly to provide instructions in relation to the investment  | <input type="checkbox"/> |
| Other arrangement - please provide details <input type="text"/>  | <input type="checkbox"/> |

### 8.3 Verification procedure for authorised representatives who are individuals

For each authorised representative, please provide verification documents. In addition, please provide evidence of each authorised representative's authority to act on behalf of the investor. Please tick the document(s) you have provided.

#### Verification documents - mandatory

A certified copy of an Australian Driver's Licence or Australian Passport

☐

#### Authorised representative's authority - one of the following (not required for a Financial Adviser listed in Section 7)

Certified copy of the authorising document (e.g. POA); or

☐

A certified copy of a guardianship order; or

☐

Other arrangement - please provide details

☐

☐ I confirm that the document authorising each authorised representative is still valid and has not been revoked.

**Note:** If any verification documents provided are written in a language other than English, they must be accompanied by an English translation prepared by an accredited translator.

## 9. GLOBAL TAX REPORTING REQUIREMENTS (FATCA/CRS)

### Why you need to complete this section?

The Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and a number of other foreign Governments have an agreement which requires us to obtain certain information from investors, including taxation information. You may be liable to a penalty if you provide information that is false or misleading that is material. We may decide not to open an account without first receiving the required information. For more information, visit [www.ato.gov.au](http://www.ato.gov.au).

If you are unsure of any of the answers, please contact a legal or accounting professional.

### 9.1 Regulated Superannuation Funds

Are you a regulated superannuation fund?

☐ I am the trustee of a regulated superannuation fund (this includes a self-managed superannuation fund)

#### HELP

**Regulated superannuation fund** means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled super trusts.

## 10. DECLARATIONS & ACKNOWLEDGMENTS

Please read the declarations below before signing this form. The required signature(s) are detailed at the bottom of this form.

When you apply to invest, you (the applicant) are declaring that:

- I/we have received and accepted this offer in Australia;
- I/we have legal power to invest in accordance with this application and have complied with all applicable laws in making this application;
- I/we are not bankrupt or a minor, and are authorised to sign this form;
- I/we have read and understood this form, and the Target Market Determination for the Fund(s) to which this application applies;
- all details in this application (including all related documents provided) are true and correct and I/we release and indemnify Ausbil against any liabilities arising from acting on any of the details or any future details provided by me/us in connection with this application which are untrue, incorrect, false or misleading;
- I/we have received a copy of the current PDS, Additional Information Guide and all information incorporated into the PDS to which this application applies (collectively referred to in these declarations as 'PDS'). I/we have read and understood the terms contained in the PDS and agree to be bound by the provisions of the PDS (including the incorporated information) and current constitution (each as amended from time to time);
- the details of my/our investment can be provided to the adviser group and/or adviser named in this form or nominated by them by the means and in the format that they direct;
- if this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of that power (an original certified copy of the Power of Attorney should be submitted with this application unless we have already sighted it);
- unless alternative authority for signature is notified to and accepted by Ausbil, the person/persons that signs/sign this form is/are able to operate the account on behalf of the company and bind the company for future transactions, including in respect of additional deposits and withdrawals;
- if investing as trustee, on behalf of a superannuation fund or trust I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed. In the case of superannuation funds, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993;
- in the case of superannuation funds with two or more trustees, the trustees agree that unless otherwise expressly indicated on this application form, each trustee is able to operate the account and bind the other trustee/s for future transactions, including additional deposits and withdrawals;
- sole signatories signing on behalf of a company confirm that they are signing as sole director and sole secretary of the company;
- I/we have read and understood the information in and relating to "Instructions by email and fax" in the relevant PDS and release and indemnify Ausbil from and against any liabilities whatsoever arising out of it acting on any communications received by email and/or fax under those terms;
- I/we acknowledge that neither Ausbil nor any custodian, registry or investment manager, guarantees the performance of the Fund(s) or the repayment of capital or any particular rate of return or any distributions;
- I/we acknowledge that Ausbil accepts no responsibility for any failure to receive application amounts or payments before or after the transaction date arising as a result of, among other things, processing of payments by financial institutions;
- I/we agree that any notice, document or other information required to be given to me/us under law (or by agreement with you), including but not limited to Product Disclosure Statements, Financial Services Guides, periodic statements, confirmations of transactions and ongoing disclosures, may be given in one of the following ways (where permitted by law): (i) by sending it to an email address and/or mobile number I/we have provided for me/us or my/our adviser; (ii) by sending me/us or my/our adviser an email, SMS or other electronic communication providing a website reference or hypertext link to the notice, document or information; or (iii) by making the notice, document or information available on the website or an application or other online facilities as notified to me/us or my/our adviser from time to time;
- I/we acknowledge that I/we have read and understood the information relating to privacy and personal information contained in the relevant PDS;
- I am/we are aware that until I/we inform Ausbil otherwise, I/we will be taken to have consented to all the uses of my/our personal information (including marketing) as described in the PDS and as otherwise disclosed to me;
- I/we have consented to my/our financial adviser providing such further personal information to Ausbil as is required or reasonably deemed necessary by Ausbil under applicable law. Any personal information provided about a third party (if any) in connection with this application has been provided with their knowledge and informed consent;
- I/we understand that if I/we fail to provide any information requested in this application form or do not agree to any of the possible uses or disclosures of my/our information as detailed in the PDS (except in relation to direct marketing), my/our application may not be accepted by Ausbil and I/we agree to release and indemnify Ausbil in respect of any loss or liability arising from its inability to accept an application due to inadequate or incorrect details having been provided;



- I/we consent to the Ausbil disclosing my/our personal information to its service providers, in relation to any identification and verification that Ausbil is required to undertake regarding me, as required under the AML/CTF Act. This includes but is not limited to any information:
  - o required by any third party verification service provider, and/or
  - o provided to any third party verification service provider.

**By completing and signing this form, you acknowledge and agree with the following:**

- nothing in this form is advice and 'help' is general guidance only. Seek professional advice to be sure of your answers;
- it is a condition of investing that you keep your details (including tax details) with us, up to date. We recommend that you review this tax information form at the end of the financial year and update your details if required. You must contact us when you learn new things about the matters in this form. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form and emailing, faxing or posting it to our Administrator;
- if you have applied for but not received your TIN or GIIN, you undertake to inform us within 30 days of receiving it;
- you undertake that if information in this form changes, you will tell us within 30 days;
- you declare that to the best of your knowledge and belief the information provided in the Global Tax Reporting section is true and correct;
- you agree to notify Ausbil of any changes to your tax residency and/or that of any beneficial owners or controlling persons;
- monies deposited are not associated with crime, money laundering and/or financing terrorism. We may decide to delay or refuse any request or transaction, including by suspending the issue or redemption of units. If we are concerned that the request or transaction may breach any obligation of, or cause us to commit or participate in an offence under any AML/CTF and Sanctions Law and FATCA/CRS obligations, we will incur no liability to you if we do so;
- we may take other action we reasonably believe is necessary to comply with AML/CTF and Sanctions Law and FATCA/CRS obligations, including disclosing any information held about you to any of our related bodies corporate or service providers whether in Australia or outside Australia, or to any relevant Australian or foreign regulator; and
- we collect additional information about you from time to time, from you or from third parties, for the purposes of satisfying AML/CTF and Sanctions Law and FATCA/CRS obligations, and that any such information may be used and disclosed as described in the Ausbil Investment Management privacy policy available online at [www.ausbil.com.au](http://www.ausbil.com.au) or by contacting us.

## 11. SIGNATURE(S)

For individual trustees, all trustees to sign. For Australian corporate trustee, the signature(s) of either a sole director, or two directors, or one director and the company secretary.

### Signature 1

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 1 ☐

Director ☐

Company Secretary ☐

Authorised Representative ☐

### Signature 2

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 2 ☐

Director ☐

Company Secretary ☐

Authorised Representative ☐

### Signature 3

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 3 ☐

Director ☐

Company Secretary ☐

Authorised Representative ☐

### Signature 4

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 4 ☐

Director ☐

Company Secretary ☐

Authorised Representative ☐

|   |  |
|---|--|
| <b>Translating documents by an accredited translator</b>                                      | <p>In Australia an accredited translator means a professional translator accredited by the National Accreditation Authority for Translators and Interpreters at or above professional level.</p> <ul style="list-style-type: none"> <li>• NAATI (<a href="https://www.naati.com.au/">https://www.naati.com.au/</a>)</li> </ul> <p>In an overseas country, an accredited translator is a professional translator accredited by a NAATI equivalent authority. For these, escalate to the AML Compliance Officer for assistance.</p>  |
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| <b>List of occupations that can certify (from the Statutory Declaration Regulations 2018)</b> | <ul style="list-style-type: none"> <li>• Architect</li> <li>• Chiropractor</li> <li>• Dentist</li> <li>• Financial adviser or financial planner</li> <li>• Legal practitioner</li> <li>• Medical practitioner</li> <li>• Midwife</li> <li>• Migration authorised representative registered under Division 3 of Part 3 of the Migration Act 1958</li> <li>• Nurse</li> <li>• Occupational therapist</li> <li>• Optometrist</li> <li>• Patent attorney</li> <li>• Pharmacist</li> <li>• Physiotherapist</li> <li>• Psychologist</li> <li>• Trade marks attorney</li> <li>• Veterinary surgeon.</li> </ul>  |
| <b>List of persons who can certify</b>  | <ul style="list-style-type: none"> <li>• 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)</li> <li>• a judge of a court</li> <li>• a magistrate</li> <li>• a chief executive officer of a Commonwealth court</li> <li>• a registrar or deputy registrar of a court</li> <li>• a Justice of the Peace</li> <li>• a notary public (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• a police officer</li> <li>• an authorised representative of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li> <li>• a 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</li> <li>• an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)</li> <li>• an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• a finance company officer with 2 or more continuous years of service with one or more financial companies (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees</li> <li>• a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.</li> </ul> |