

## Application | Trusts & Companies

### WHO SHOULD COMPLETE THIS FORM?

This application form is for domestic and foreign companies investing on their own behalf, and individuals, domestic and foreign companies investing in their capacity as trustee of a trust.

If you are a self-managed super fund (SMSF) please use the stand alone application form for 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 1-14 so that your application can be processed.

**Step 2** **For identification and verification purposes please complete the following sections in accordance with your investment type.**

If you are:

- a regulated trust, complete **sections 1, 2 and 3** (where applicable)
- a regulated custodian, complete **sections 1, 2 and 3**
- an unregulated trust, complete **sections 1, 2, 3** (where applicable) and **4**
- a company acting on your own behalf, please complete **section 3** and **4** (where applicable)
- if you are investing under a margin loan please complete **section C**, and proceed
- all investors must complete **sections A to C and 12**. Review the instructions in **sections 1 to 4** to determine if you need to complete those sections.

**Step 3** **Tell us your foreign tax status**

Please complete the **Global Tax Reporting (FATCA/CRS) information in section 12**.

**Step 4** **Sign and send your documents to our Administrator**

Please ensure you sign **section 14** 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 5** **Make your payment**

Please refer to section 7 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

The following questions may assist Ausbil in meeting its regulatory obligations by determining whether this financial product is being offered to the stated target market. In line with the Design and Distribution Obligations under the Corporations Act, we require the below information if you are a direct retail investor.

### Was this investment made based on personal advice received from you financial adviser?

☐

**Yes** - please ensure the details of your financial adviser are completed in Section 10

☐

**No** - please complete the questions below:

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

Capital growth

☐

Capital preservation

☐

Income distribution

☐

### B. What is your investment timeframe in relation to this investment? (select only one option)

Up to and including 2 years

☐

More than 2 years but less than 5 years

☐

Equal to 5 years but less than 7 years

☐

Equal to 7 years or more

☐

### C. Under normal circumstances, within what period do you expect to be able to access your funds for this investment? (select only one option)

Within one week

☐

Within one month

☐

Within three months

☐

Within one year

☐

More than one year

☐

### D. In relation to this investment, which investment risk and return profile best describes you? (select only one option)

Low

☐

Medium

☐

High

☐

Very High

☐

Extremely High

☐

### E. What percentage of your total investable assets are you directing to this fund - that is the total assets you have available for investment, excluding your residential home? (select only one option)

Solution/Standalone (up to 100%)

☐

Major allocation (up to 75%)

☐

Core component (up to 50%)

☐

Minor allocation (up to 25%)

☐

Satellite allocation (up to 10%)

☐

**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.

**Ausbil Australian Geared Equity Fund investors only - Distribution condition****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"/>

**Ausbil Global Resources Fund investors only - Distribution condition****FOR INVESTORS IN THE AUSBIL GLOBAL RESOURCES FUND ONLY**

There is a distribution condition in place for any prospective investor who applies for units in the Ausbil Global Resources 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 understand that the Fund is a high risk investment and has a Risk Bank of 7 which indicates that there is a very high risk of losing money in any year?	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you understand that there is no assurance that the Fund will achieve its investment objective or that you will get your money back?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you understand that the recommended time frame for investing in the Fund, based on the risks associated with the Fund, is more than 5 years?	<input type="checkbox"/>	<input type="checkbox"/>
4. Do you understand that the Fund is for informed and educated investors who can bear the economic risks of loss of their investment in the Fund?	<input type="checkbox"/>	<input type="checkbox"/>
5. Do you understand that the Fund's target market is investors seeking capital growth and investing a relatively small part of their 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 per the borrower's investor type.

## 1. TRUST

Please complete this section if you are:

- An individual acting in your capacity as trustee of a trust, or
- A company acting in your capacity as a trustee of a trust.

For guidance about when you may be acting as a trustee and for whom, please refer to the FAQs at the back of this form.

### 1.1 Trust details

Full name of trust. If the trust for which you act as a trustee does not have a name, please insert N/A

Type of trust

Business name (if any) of the trustee of the trust

Country in which the trust was established

Nature of business

### 1.2 Type of trust

#### 1.2.1 Custodian

☐ No - go to **1.2.2**.

☐ Yes - please complete the questions below.

	No	Yes
a. Do you provide a custodial or depository service of the kind described in item 46 of table 1 in subsection 6(2) of the AML/CTF Act 2006 (Cth)? (ie to the underlying investor not your related body corporate)	<input type="checkbox"/>	<input type="checkbox"/>
b. Do you hold an AFSL or are you exempt from the requirement to hold such license? If <b>Yes</b> , AFSL Number or specify the grounds for exemption <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Are you enrolled as a reporting entity with AUSTRAC, or do you satisfy one of the 'geographical link' tests in Subsection 6(6) of the Anti-Money Laundering and Counter-Terrorism Financing Act (AML/CTF Act)?	<input type="checkbox"/>	<input type="checkbox"/>
d. Have you carried out all applicable customer identification procedures (ACIP) and ongoing customer due diligence (OCDD) requirements in accordance with chapter 15 of the AML/CTF Rules in relation to your underlying customers? (including where you have relied on a member of your designated business group or an Authorised representative to perform the ACIP and OCDD)	<input type="checkbox"/>	<input type="checkbox"/>

If you have answered **Yes** to all questions in **1.2.1**, go to **section 2**. If not, please complete **1.2.2**.

### Regulated trust

**1.2.2 Registered MIS** - is the trust for which you are the trustee a registered managed investment scheme?

☐ No - go to **1.2.3**

☐ Yes - please tell us the ARSN.

Now go to **section 2**.

**1.2.3 Unregistered MIS** - unregistered managed investment scheme (where the scheme is not registered by ASIC; has only wholesale clients and does not make small scale offering to which section 1012E of the Corporations Act applies)

☐ No - go to **1.2.4**

☐ Yes - please provide the ABN for the unregistered managed investment scheme.

Trust ABN or registration/licence number

Now go to **1.4**, then **section 2**.

**1.2.4 Government superannuation fund** - is the trust for which you are the trustee a government superannuation fund established by legislation?

☐ No - go to **1.2.5**

☐ Yes - please tell us the name of the Act that establishes the fund

Now go to **1.4**, then **section 2**.

**1.2.5 Other regulated trust** (a trust registered and subject to the regulatory oversight of a Commonwealth statutory regulator in relation to its activities as a trust)

**Note:** This includes registered charities with the ACNC, superannuation funds, approved deposit funds, pooled superannuation trusts, public sector superannuation schemes (within the meaning of the Superannuation Industry *(Supervision) Act 1993 (Cth)*). If you are an SMSF, please use the stand alone application form for SMSF.

☐ No - go to **1.3**

☐ Yes - please provide the details below, then go to **section 2**.

Provide name of regulator (eg ASIC, APRA, ATO & ACNC)

Provide the Trust's ABN or registration/licensing details

If you answered NO to any of the questions in **1.2**, then go to **1.3**.

### 1.3 Unregulated trusts

All other unregulated trusts must complete this section. This includes family trusts, testamentary trusts, discretionary trusts, unregistered charitable trusts, nominee and sub-custodian entities that do not qualify as a custodian under **1.2.1**.

Trust ABN (if any)

Trust TFN (if any)

Now go to **1.3.1**.

#### 1.3.1 Beneficiary details (class of beneficiaries)

Do the terms of the trust describe the beneficiaries by reference to members of a class?

☐

No - please go to **1.3.2**

☐

Yes - please provide details of the class to which the beneficiaries belong (e.g. family members, unit holders, un-named charities).  
Then go to Settlor details **1.3.3**.

For a nominee or sub-custodian

The **beneficiary** is the person or entity for whom the applicant holds its interests in the Fund.

#### 1.3.2 Beneficiary details (specified beneficiaries)

Please specify each beneficiary below (using the applicable section for individuals or companies). If there are more beneficiaries than there is space for below, please complete the details in a separate sheet and attach to this application form.

##### Individual beneficiary 1

Title

Given name(s)

Surname

##### Individual beneficiary 2

Title

Given name(s)

Surname

##### Individual beneficiary 3

Title

Given name(s)

Surname

##### Individual beneficiary 4

Title

Given name(s)

Surname

##### Corporate Beneficiary 1

Company name

ACN

##### Corporate Beneficiary 2

Company name

ACN

Corporate Beneficiary 3

Company name

ACN

Corporate Beneficiary 4

Company name

ACN

Now go to 1.3.3.

1.3.3 Settlor details

The **settlor** may be the person or entity that provided the applicant with funds to make the investment and may be specified in the trust or relationship agreement. If not, the settlor may be the person or entity that appointed the applicant as nominee or sub-custodian.

Please provide the name of the settlor of the trust (unless they are deceased or the material asset contribution to the trust by the settlor at the time the trust was established was less than \$10,000).

Title

Given name(s)

Surname

Related body corporate

**Note:** You do not have to complete this section if you are a regulated trust.

1.4 Trust verification procedures

1.4.1 Did you answer yes to all of the questions in 1.2.1 or any of the questions in 1.2.2 - 1.2.5?

☐ No - please go to 1.4.3

☐ Yes - please go to 1.4.2.

1.4.2 Verification procedure for regulated trusts

Please provide a copy of the document(s) as set out below.

**For trustees of unregistered managed investment scheme which only has wholesale clients and does not make small scale offerings to which s1012E of the Corporations Act applies (you answered yes 1.2.3)**

A letter confirming these details from an external lawyer or accountant ☐

The relevant offer document for the scheme in English ☐

**For regulated Government superannuation funds (you answered yes 1.2.4)**

An extract of the establishing legislation, sourced from a government website. ☐

Now go to section 2.

1.4.3 Verification procedure for non-regulated trusts

Trust deed

A certified copy of the trust deed/will or if not reasonably available a certified extract \* of the trust deed that includes the name of the trust, trustees, and settlor(s) where applicable; or ☐

A letter from an accountant or solicitor verifying the name, existence of the trust and the name of the settlor(s) where applicable ☐

### Letter of compliance for nominees and sub-custodians

If you have relied on the ACIP and OCDD performed by a member of your designated Business Group in respect to the underlying investor, please attach a signed AML/CTF compliance letter from the entity that has appointed you

☐

### Margin loan

For Margin Lenders or Nominees of the Margin Lender, please provide a certified copy or certified extract of the Loan Agreement with the Borrower

☐

\*Please see the FAQs at the back of this form for the meaning of certified copy and certified extract.

Now go to **section 2**.

For **Australian regulated trusts**, identification information is required for only **ONE** of the trustees, even if the trust has multiple trustees.

For **unregulated trusts**, please provide:

- Identification information for **ALL** trustees. If there are multiple Trustees, complete **section 2** on another application form and attach it to the main application form.
- If you are an individual trustee, in respect of **ONE** trustee complete **section 4.b** and **5**
- If you are a corporate trustee, in respect of **ONE** trustee complete **section 3** and **4**.

### 2.1 Type of trustee

☐ The trustees are all individuals - go to **2.2**.

☐ The trustees are all companies - go to **2.3**.

### 2.2 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 investor 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	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>
Email	
<input type="text"/>	

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

**2.3 Corporate trustee details**

**Corporate trustee 1**

Company name	ACN
<input type="text"/>	<input type="text"/>
Nature of business	
<input type="text"/>	

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

Property/building name (if applicable)	<input type="text"/>		
Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Corporate trustee 2**

Company name	ACN
<input type="text"/>	<input type="text"/>
Nature of business	
<input type="text"/>	

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

Property/building name (if applicable)	<input type="text"/>		
Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Now go to **section 3**.

### 3. COMPANY DETAILS

Please complete this section if you are:

- A company investing on your own behalf, or
- A corporate trustee.

Full legal name of company as registered by ASIC

ACN

Nature of business

Do you have an authorised signatories list (ASL)?

☐ No☐ Yes

- For the ASL to be valid, please provide all the requirements below

A certified copy of the ASL with the full name, position and signature of each authorised representative

☐

A certified copy of the authorising document (e.g. Power of Attorney)

☐

Please tick to confirm the authorising document or Power of Attorney is still valid and it has not been revoked

☐

Do you have a verifying officer?

☐ No☐ Yes

- Please provide all of the following

Full name of verifying officer

Date of birth (DD/MM/YY)

//

Verifying officer residential address

☐

certified copy of your ID (see **section 5**)

☐

letter of appointment in company's letterhead signed by an authorised person

I confirm I have:

- Identified the authorised representatives or signatories of the above customer in accordance with requirements of the Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) Act and Rules and have provided with this form the full name and signature of each authorised representative or signatory (ASL).
- collected the following details from each authorised representative or signatory:
  - full name of authorised representative/signatory
  - title of the position/role held by the authorised representative/signatory with the customer
  - a copy of the authorised representative/signatory's signature; and
  - evidence of the authorised representative/signatory's authorisation to act on behalf of the customer
- made a record of the above details for each authorised representative/signatory which will be retained by the customer.

Signature of Verifying Officer

Date (DD/MM/YY)

//

If you are an Australian company, go to **3.1**.

If you are a foreign company, go to **3.2**.

### 3.1 Australian company

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

Property/building name (if applicable)					
Unit	Street number	Street name			
Suburb		State	Postcode	Country	

**Principal place of business address** (if different to registered office address) - (A PO Box/RMB/Locked Bag is not acceptable)

Property/building name (if applicable)					
Unit	Street number	Street name			
Suburb		State	Postcode	Country	

**Postal address** (if different to above)

Unit	Street number	Street name			
Suburb		State	Postcode	Country	

ACN	ABN

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

Name	Email
Business number (include country and area code)	Mobile number (include country code)

Now go to **3.3**.

### 3.2 Foreign company

Country of formation	
Registered in Australia?	<input type="checkbox"/> No <input type="checkbox"/> Yes - please provide below the ARBN
Registered in country of formation?	<input type="checkbox"/> No <input type="checkbox"/> Yes - Name of foreign registration body and identification number (if any)

If you are a foreign company registered in Australia, please provide your principal place of business in Australia, or the full name and address of your Australian authorised representative.

If you are not registered in Australia, please provide either the full address of the company as registered by the foreign registration body or the principal place of business in the country of formation.

A PO Box/RMB/Locked Bag is not acceptable.

Unit	Street number	Street name			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
Suburb		State	Postcode	Country	
<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	

Postal address (if different to above)

Unit	Street number	Street name			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
Suburb		State	Postcode	Country	
<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	

Contact details (for company or contact person)

Name	Email
<input type="text"/>	<input type="text"/>
Business number (include country and area code)	Mobile number (include country code)
<input type="text"/>	<input type="text"/>

3.3 Type of company

Are you a public company or a private/proprietary company?

☐ Private/proprietary company – please go to 3.4

☐ Public company – please go to 3.5.

3.4 Private/Proprietary company

Please complete the director details below if you are an Australian proprietary company or a foreign private 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
<input type="text"/>	<input type="text"/>	<input type="text"/>

Director 2

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

Director 3

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

Director 4

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

Now go to 3.6.

### 3.5 Public company

Are you an Australian listed company?

☐ No – please go to 3.6 ☐ Yes – please provide name of the market/exchange on which the company is listed

Listed company name

Market/exchange

Now go to 3.8.

### 3.6 Majority owned subsidiary of an Australian public listed company

Are you a majority-owned subsidiary of an Australian publicly listed company?

☐ No – please go to 3.7  
☐ Yes – please provide name of the parent listed company and the market/exchange on which the company is listed

Listed company name

Market/exchange

Now go to 3.8.

### 3.7 Regulated company

This only includes companies that are licensed by an Australian Commonwealth, State or Territory statutory regulator and are subject to regulatory oversight for example, Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) and Registrable Superannuation Entity (RSE) Licensees.

Are you a regulated company?

☐ No - please go to 3.9 ☐ Yes – please provide details of the regulator and licence number below

Regulator

Licence number

Now go to 3.8.

### 3.8 Verification procedures for regulated companies

If you have answered Yes to 3.6, please provide evidence of being a majority or wholly owned subsidiary of a listed company by providing a copy of one or more of the following:

ASIC company extract	<input type="checkbox"/>
company annual statement	<input type="checkbox"/>
certified company share structure	<input type="checkbox"/>
a public document issued by the relevant company	<input type="checkbox"/>

### 3.9 Verification process for all other company types

Please provide evidence of beneficial ownership by providing a copy of one or more of the following:

ASIC or Foreign Company Extract	<input type="checkbox"/>
company annual statement	<input type="checkbox"/>

certified company share structure

☐

a public document issued by the relevant company

☐

#### 4. BENEFICIAL OWNER

##### 4A Beneficial owner of a company (including a company acting in the capacity of trustee)

You must complete this section if you are an unregulated company and you have answered no to:

- **3.5** (you are an Australian domestic listed company)
- **3.6** (you are a majority-owned subsidiary of an Australian listed company)
- **3.7** (you are a company that is licensed and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator).

You are exempt from completing **section 4** if you are a regulated company or:

- You are a foreign listed company or a wholly owned subsidiary of a listed company in a financial market that is subject to disclosure requirements that ensure transparency of beneficial ownership.

Listed company name

Market/exchange

A beneficial owner is an individual who ultimately owns (directly or indirectly) 25% or more of the customer, or controls (directly or indirectly) the customer (see FAQs). If you cannot identify any beneficial owners, please go to the fallback procedure at **4.2**.

Please provide details of your beneficial owner(s) below (see FAQs for guidance).

##### 4.1 Beneficial owner(s) details

###### Beneficial owner 1

Title

Given name(s)

Surname

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

Date of birth (DD/MM/YYYY)

###### Beneficial owner 2

Title

Given name(s)

Surname

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

Date of birth (DD/MM/YYYY)

###### Beneficial owner 3

Title

Given name(s)

Surname

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

Date of birth (DD/MM/YYYY)

**Beneficial owner 4**

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

**Residential address** - (A PO Box/RMB/Locked Bag is not acceptable)Date of birth (DD/MM/YYYY)  /  / **4.2 Fallback procedure**

If you are a company (investing on your behalf) or corporate trustee and cannot identify any beneficial owner owning 25% or more, please complete **4.2.1**.

**4.2.1 Senior managing official**

Please provide the details of the senior managing official (or equivalent) (please see FAQs for the meaning of 'senior managing official')

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

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

Company Title

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

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**4B BENEFICIAL OWNER OF THE TRUST**

You must complete this section if you are an unregulated trust. The beneficial owner of a trust is an individual who controls (directly or indirectly) the operations of the trust and has power to appoint or remove the trustee(s) of the trust.

You are exempt from completing this section if:

- You are a custodian and the beneficial owner is the underlying investor(s). If not, complete **4.2.2**.

**4.2.2 Beneficial owner of the trust (individual with power to appoint or remove trustees)**

Please provide the details of the individual who directly or indirectly controls the Trust. If this is confirmed to be the same individual as the trustee, he/she must be listed again below to confirm the trust's beneficial owner.

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

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

Company title

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

Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please follow the verification procedure in **section 5**, unless the individual is already providing the ID as a trustee or beneficial owner of the corporate trustee.

**5. VERIFICATION PROCEDURE FOR INDIVIDUAL TRUSTEE, BENEFICIAL OWNER(S), SENIOR MANAGING OFFICIAL AND APPOINTOR**

Please complete the below verification procedure in respect of each individual identified in **section 4**. You may also need to complete the below in respect of an individual trustee if directed to do so under **2.2**. If you cannot meet the requirements of **option A**, please follow the instructions in **option B**.

**OPTION A**

Provide a certified copy* of one of the following:	
Current Australian Driver’s Licence containing a photo of the person (scan the front and back)	<input type="checkbox"/>
Current Australian Passport or an Australian Passport that has expired within the preceding 2 years	<input type="checkbox"/>
Current Australian State or Territory Government Identity Card showing the person’s date of birth, photo and signature	<input type="checkbox"/>
Current Foreign Government Identity Card showing the person’s date of birth, photo and signature**	<input type="checkbox"/>
Current Foreign Driver’s Licence showing the person’s date of birth, photo and signature**	<input type="checkbox"/>
Current Foreign Passport showing the person’s date of birth, photo and signature**	<input type="checkbox"/>

**OPTION B**

If you can’t provide any document from option A, then please provide a certified copy* of one document from group 1 and one document from group 2.	
GROUP 1	
Birth Certificate or Birth Extract issued by an Australian State or Territory	<input type="checkbox"/>
Australian Government issued Citizenship Certificate	<input type="checkbox"/>
Current Concession or Health Care Card issued by Centrelink (scan the front and back)	<input type="checkbox"/>
GROUP 2	
Commonwealth, State or Territory Government Notice within the preceding 12 months and recording the provision of financial benefits	<input type="checkbox"/>
Australian Taxation Office Notice within the preceding 12 months and recording the debt payable to or by the individual by or to (respectively) the ATO	<input type="checkbox"/>
Local Government or Utilities Provider Statement within the preceding 3 months and recording the provision of services	<input type="checkbox"/>

If the investor is below the age of 18, please contact us on 1800 287 245.

\*Please see the FAQs at the end of this form for the meaning of certified copy.

\*\*If the document is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.



## 6. INVESTMENT DETAILS & DISTRIBUTION INSTRUCTIONS

Specify your initial application amount.

There is typically a minimum investment amount of \$20,000 per fund, however, we may waive or vary the investment minimums. Indicate your distribution choice below. If you do not make an election, distributions will be reinvested.

Fund name	APIR	Investment amount AUD\$	Distribution option (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"/>
Other.....	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please indicate the source and origin of funds being invested

Savings	<input type="checkbox"/>
Investment	<input type="checkbox"/>
Superannuation contributions	<input type="checkbox"/>
Commission	<input type="checkbox"/>
Donation/gift	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>
Normal course of business	<input type="checkbox"/>
Sale of assets (e.g. shares, property)	<input type="checkbox"/>
Other <input type="text"/>	<input type="checkbox"/>

## 7. 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

<p>You can make your payment using telephone or internet banking.</p> <p>You will need to quote the biller code and your account number (for reference) when making this payment.</p> <p>If this is a new investment, we will notify you of your account number once this is available. Please make your payment within 14 days of this notification.</p>	Fund	BPAY details
	[Fund name]	 Biller code [insert] Reference number [account number]
	Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account. More info <a href="http://www.bpay.com.au">www.bpay.com.au</a> ®Registered to BPAY Pty Ltd ABN 69 079 137 518	

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

## 8. 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

## 9. 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.

## 10. 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

### Contact details

Business number (include country and area code)

Mobile number (include country code)

Adviser signature

Performance of investor identification & verification procedures

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

**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

11. 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.

11.1 Authorised representative details

Authorised representative 1

Title	Given name(s)	Surname
<div></div>	<div></div>	<div></div>

Authorised representative’s phone number

Email

Authorised representative’s signature

## Authorised representative 2

Title

Given name(s)

Surname

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.

### 11.2 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

☐

All authorised representatives must act jointly to provide instructions in relation to the investment

☐

Other arrangement – please provide details

☐

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

For each authorised representative, please provide verification documents in accordance with the verification procedure in **section 5**. 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 ID as per **section 2**

☐

#### Authorised representative's authority - one of the following (not required for a Financial Adviser listed in **Section 10**)

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.

## 12. TAX INFORMATION - GLOBAL TAX REPORTING REQUIREMENTS (CRS/FATCA)

### 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 in a material particular. 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.

#### HELP

##### Tell me about tax residence

You can be a resident of more than one country for tax purposes. Whether you are tax resident of a particular country for tax purposes is often based on the amount of time you spend in a country and the location of your residence and/or place of work. If you pay tax or have a tax liability somewhere, you are probably a tax resident there. Dual citizenship often brings dual tax residency.

It depends on the country. For the US, tax residency can be as a result of citizenship or residency for tax purposes.

If you are unsure, ask someone who knows, usually your accountant.

### 12.1 Companies and non-superannuation trusts

#### 12.1.1 Are you a specified US person for tax purposes?

☐

No

☐

Yes - please tell us your TIN

#### 12.1.2 Are you a resident of any other country for tax purposes? Other than the US or Australia.

☐

No

☐

Yes - please tell us which ones, using the following table

#### HELP

##### No TIN? Reasons we accept are:

Reason A: The country of tax residency does not issue TINs to its tax residents

Reason B: The entity/individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See above HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

### 12.1.3 Are you a financial institution?

Be careful - financial Institution is broadly defined - see **HELP** box

☐ No☐ Yes - please tell us your **GIIN\*** - see **HELP** box.

#### HELP

##### What is a Financial Institution?

For further details about a Financial Institution, please refer to the ATO's AEOI Guidance [https://www.ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/Automatic-exchange-of-information---CRS-and-FATCA/#BK\\_2Financialinstitutions](https://www.ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/Automatic-exchange-of-information---CRS-and-FATCA/#BK_2Financialinstitutions)

#### HELP

##### What is a GIIN?

This stands for Global Intermediary Identification Number. GIINs are 19 digits long, issued by US tax authorities (the IRS) to non US financial institutions and sponsoring entities for purposes of identifying their registration with the IRS under US tax laws (called FATCA).

For further details about the GIIN please refer to the IRS GIIN Composition Information - Please refer to <https://www.irs.gov/businesses/corporations/fatca-registration-and-ffi-list-giin-composition-information>.

### Where to now?

I ticked yes and completed my **GIIN** - go to **12.1.4**.

I ticked yes and I am a Managed Investment Entity in a non-CRS participating jurisdiction - If no, proceed to question **12.1.4**.

I ticked yes but did not write a **GIIN** – please tick below why you did not write a **GIIN** - then go to **12.1.4**.

Exempted financial institution	<input type="checkbox"/>
Deemed compliant financial institution	<input type="checkbox"/>
Exempt beneficial owner	<input type="checkbox"/>
Non-participating financial institution	<input type="checkbox"/>
Non-reporting IGA financial institution	<input type="checkbox"/>
Sponsored financial institution - their GIIN is	<input type="text"/>
Other	<input type="text"/>

### 12.1.4 Are you a public company listed on a stock exchange or a related entity of a publicly listed company or a governmental entity?

☐ No☐ Yes - then go to **section 13** and **14**.

### 12.1.5 Are you active or passive?

☐ I am an 'active' non financial entity. Please tell us what type of active NFE you are below - then go to **section 13** and **14**.☐ I am a 'passive' non financial entity.



## HELP

### What is active and passive?

A non-financial entity (NFE) is any entity that is not a financial institution as defined above.

You will be a passive NFE if you are not an active NFE.

Generally, you will be an active NFE if:

- ☐ your stock (or a related entity's stock) is regularly traded on established securities market less than 50% of your gross income for the previous reporting period was passive income and less than 50% of your assets during that period produce or were held to produce passive income.
- ☐ you are a Governmental entity, an international organisation, a central bank or an entity wholly owned by one of the above.
- ☐ you are exempt from income tax in your residential jurisdiction and were established and operated exclusively for religious, charitable, scientific, artistic, athletic or educational purposes and meet certain other specific criteria.
- ☐ you have not been a financial institution in the past five years and are in the process of liquidating your assets or reorganising with the intent to recommence operations other than as a financial institution.

If you are unsure whether you are an active or passive NFE, please get advice.

### 12.1.6 Do you have any controlling persons who are resident of another country or jurisdiction of tax residency for tax purposes?

- ☐ I am passive, and **yes** I do have controlling persons who are resident of a country or jurisdiction other than Australia for tax purposes

Complete the **controlling persons details** in the table below - then go to **section 13** and **14**. If there is not enough room in the table, please copy the page and attach it to your completed form.

- ☐ I am passive, but no I do not have controlling persons who are resident of a country or jurisdiction other than Australia for tax purposes.  
Please read the **HELP** box. If you are sure - go to **section 13** and **14**.

## HELP

### Controlling persons

Controlling persons are natural persons who exercise control over an entity.

For trusts, the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the trust for FATCA/CRS purposes.

For companies, controlling persons generally include any person who holds (directly or indirectly) more than 25% of the shares in the company and any person who has the power to influence decisions about the company's financial and operating policies, such as senior managing officials or directors.

Controlling person 1

TitleGiven name(s)Surname

Date of birth (DD/MM/YYYY)City and country of birth

Residential address

UnitStreet numberStreet name

SuburbStatePostcodeCountry

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 12.1.2 HELP box.
1			
2			
3			
4			

Controlling person 2

TitleGiven name(s)Surname

Date of birth (DD/MM/YYYY)City and country of birth

Residential address

UnitStreet numberStreet name

SuburbStatePostcodeCountry

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 12.1.2 HELP box.
1			
2			
3			
4			

Controlling person 3

Title

Given name(s)

Surname

Date of birth (DD/MM/YYYY)

/

/

City and country of birth

Residential address

Unit

Street number

Street name

Suburb

State

Postcode

Country

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 12.1.2 HELP box.
1	<div></div>	<div></div>	<div></div>
2	<div></div>	<div></div>	<div></div>
3	<div></div>	<div></div>	<div></div>
4	<div></div>	<div></div>	<div></div>

Controlling person 4

Title

Given name(s)

Surname

Date of birth (DD/MM/YYYY)

/

/

City and country of birth

Residential address

Unit

Street number

Street name

Suburb

State

Postcode

Country

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 12.1.2 HELP box.
1	<div></div>	<div></div>	<div></div>
2	<div></div>	<div></div>	<div></div>
3	<div></div>	<div></div>	<div></div>
4	<div></div>	<div></div>	<div></div>

### 13. 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" 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 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:
  - required by any third party verification service provider, and/or
  - 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 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.

## 14. SIGNATURE(S)

For individual trustees, all trustees to sign. For companies or 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>What should a trust deed extract include?</b>	<p>An extract of the trust deed should include the following information:</p> <ul style="list-style-type: none"> <li>• the full name (if any) of the trust;</li> <li>• the full name of the trustee(s), and</li> <li>• the full name of the settlor of the trust.</li> </ul>
<b>Who is a senior managing official'?</b>	<p>A senior managing official is an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.</p>
<b>Who is a 'beneficial owner'?</b>	<p>A beneficial owner is an individual who ultimately owns (directly or indirectly) 25% or more of the customer, or controls (directly or indirectly) the Customer. Control includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating policies.</p> <p>Information that may assist you in determining your beneficial owner includes (as relevant):</p> <ul style="list-style-type: none"> <li>• a certificate of incorporation of a company with ASIC/and or an annual statement including the amendments submitted to ASIC</li> <li>• a trust deed</li> <li>• a partnership agreement</li> <li>• the constitution and/or certificate of information for an incorporated association, or</li> <li>• the constitution of a registered co-operative.</li> </ul>
<b>Determining the beneficial owner of a trust</b>	<p>A beneficial owner of a trust may include:</p> <ul style="list-style-type: none"> <li>• any individual shareholder who holds the legal title to 25% or more of the issued shares in the trustee;</li> <li>• directors of the trustee (if they own or control the trustee)</li> <li>• company secretary of the trustee (if they own or control the trustee), and/or</li> <li>• any other individual who has the power to appoint or remove the trustee as the trustee of the trust.</li> </ul> <p>For a nominee that has been appointed by a related body corporate to hold interests in the fund on trust, the nominee agreement may specify the beneficial owner. This may be (but is not necessarily) the person that appointed the nominee.</p> <p>For a foreign company making an investment as a custodian under a single trust with multiple beneficiaries, the trust document under which the custodian is appointed may specify the beneficial owner/s.</p> <p>For a foreign company making an investment acting as a custodian for multiple trusts with multiple underlying investors, each trust document with each underlying investor may specify the beneficial owner/s.</p>
<b>Guidance on types of trusts</b>	<p>You will be the trustee of a trust if you are an individual or a company that will hold interests in the fund on trust for another person or persons (known as the beneficiary). It is important to carefully consider who is the beneficiary of the trust for which you are the trustee, keeping in mind that the beneficiary may hold its interest on trust for someone else (i.e. there may be layers of trust relationships down to the underlying investor).</p> <p>Trustees may include:</p> <ul style="list-style-type: none"> <li>• <b>Trustees of a managed investment scheme:</b> Managed investment schemes are a type of trust. The trustee of a managed investment scheme is generally a company. If the managed investment scheme is registered with ASIC, the trustee is known as the responsible entity.</li> <li>• <b>Custodians or nominees:</b> These are companies that provide custodial or depository services. In the context of managed investment schemes, custodians or nominees may hold interests on trust for the responsible entity of the scheme. The responsible entity for the scheme then holds interests on trust for the investors in that scheme. In the context of margin lending, a nominee may hold interests on trust for the borrower who has borrowed money from the margin lender.</li> <li>• <b>Trustees of self - managed super funds:</b> SMSFs are a type of trust. The trustee of an SMSF may be a company or two to six individuals. If the trustee is a company, there can be one to six members (or beneficiaries) of the SMSF and each member of the SMSF must be a director of the company trustee. If the trustees are individuals, there can be two to six members (or beneficiaries) of the SMSF and each of those members must be a trustee.</li> <li>• <b>Trustees of retail super funds:</b> Retail super funds are a type of trust. The trustee of a retail super fund is a company.</li> <li>• <b>Trustees of family trusts:</b> The trustee of a family trust may be one or more individuals or a company or other type of entity. The trustee holds money or property for the beneficiaries of the family trust.</li> <li>• <b>Trustees of charitable trusts:</b> Some charities are structured as trusts. Trustees of charitable trusts are commonly individuals (for example, a board of trustees) or a company. Other charities may be structured as companies or associations.</li> <li>• <b>Trustees of deceased estates and testamentary trusts:</b> Testamentary trusts are discretionary trusts established in wills, that allow the trustees of each trust to decide, from time to time, which of the nominated beneficiaries (if any) may receive the benefit of the distributions from that trust for any given period.</li> </ul>

<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>
<b>Getting your copies certified</b>	Any document(s) requiring to be certified for verification purposes must be certified by an eligible person to be a true copy of the original document. Documents must be either certified on all pages or certified on the front page with a clear reference to the number of subsequent pages that are included.
<b>Example of certification</b>	<p>I certify that this is a true and correct copy of the original document</p> <p>Signature of Certifier</p> <p>Name of Certifier</p> <p>Capacity of certifier – e.g. Justice of the Peace</p> <p>Date of certification (DD/MM/YYYY)</p>
<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>