

**Phone**

1800 287 245  
+61 2 9259 0200

**Email**

[ausbil\\_transactions@unitregistry.com.au](mailto:ausbil_transactions@unitregistry.com.au)

**Website**

[www.ausbil.com.au](http://www.ausbil.com.au)

Issued by Ausbil Investment Management Limited (ABN 26 076 316 473 AFSL 229722) (Ausbil).

**Please use this form if you are a new investor and wish to invest in an Ausbil fund by making an initial application.**

This Application form can only be used by the following types of investors:

- Individual
- Joint Investor
- Sole Trader

**PLEASE NOTE:** Self-Managed Superannuation Funds (SMSFs) should use the Australian Company/Trust/Superannuation Fund/Custodian/Margin Lending application which is available on the Ausbil website ([www.ausbil.com.au](http://www.ausbil.com.au)).

**Read and ensure you understand the Product Disclosure Statement (PDS) and the Additional Information Guide.**

Before completing this Application Form, please ensure you have read the current PDS, any information incorporated into the PDS and any updates on the Ausbil website ([www.ausbil.com.au](http://www.ausbil.com.au)). Ausbil or your financial adviser will send you a paper copy of the current PDS, any information incorporated into the PDS and any updates and application form free of charge if you so request.

Information in a PDS may change from time to time. Where information that changes is not materially adverse to investors, we may update this information by updating the relevant document or by publishing an update at [www.ausbil.com.au](http://www.ausbil.com.au).

### Checklist

Before sending us your application, please ensure you have:

- ✓ Completed this Application Form in full.
- ✓ Provided required Customer Identity Verification documents as outlined in Section 13.
- ✓ If paying by electronic funds transfer, ensure funds are transferred at the same time as lodging your Application Form and using your investor name as a reference.
- ✓ Read the declaration and provided all relevant signatures.

**For frequently asked questions about investing and the type of identification documents required, please see our [Frequently Ask Questions](#) section of our website.**

### Contact details

You can return your forms by post to:

Ausbil Investment Management Limited  
GPO Box 804  
Melbourne VIC 3001

### Make your payment.

Please refer to section 6 'Payment of application amount'. Your application cannot be processed until all relevant identification documents and cleared funds are received.

If you have any questions regarding this form please contact our Client Services team on 1800 287 245 or +61 2 9259 0200, during Sydney business hours.

## Application Form Individual/Joint Investors/Sole Trader

PLEASE USE BLOCK LETTERS AND BLACK INK TO COMPLETE THIS APPLICATION FORM

### 1 Investment details

Please indicate (X) if you are new investment or an existing investor.

- New investment, please [GO] to section 2.  
 Existing investor.

Account/Investor number

If any of your information has changed since your prior investment, please [GO] complete sections 2-4 with your updated details.  
If you details remain unchanged, please [GO] to section 5. Alternatively, you can complete Ausbil's Additional Application form, available at [www.ausbil.com.au](http://www.ausbil.com.au).

### 2 Australian investor type

Please indicate (X) the investor type.

- Individual Investor  
 Joint Investors  
 Sole Trader

### 3 Investor details

#### 3A Investor 1

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms)  Date of birth

What other names are you known by?

Business name of Sole Trader  ABN

TFN  Tax exemption

If you choose not to provide your TFN, ABN or specific exemption, then tax will be deducted from your distributions at the highest marginal tax rate (plus the Medicare levy, and any other levies we are required to deduct from time to time).

Non-residents If you are an overseas investor, please provide your country of residence for tax purposes.

Country

### 3 Investor details (continued)

#### 3A Investor 1 (continued)

##### Residential address for Investor 1 (PO Box/RMB/Locked Bag is not acceptable)

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

If your country of residence is not Australia, please ensure that you also complete section 12.

##### Postal address

Is the postal address the same as the residential address?

- Yes, please **[GO]** to contact details (below).
- No, please provide below.

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

##### Contact Details

Phone (after hours)	<input type="text"/>	Phone (business hours)	<input type="text"/>
Mobile	<input type="text"/>		
Email address	<input type="text"/>		

##### Principal place of business of Sole Trader (PO Box/RMB/Locked Bag is not acceptable)

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

#### 3B Investor 2

Surname	<input type="text"/>		
Full given name(s)	<input type="text"/>		
Title (Mr/Mrs/Miss/Ms)	<input type="text"/>	Date of birth	<input type="text"/>
What other names are you known by?	<input type="text"/>		
TFN	<input type="text"/>	Tax exemption	<input type="text"/>

### 3 Investor details (continued)

#### 3B Investor 2 (continued)

If you choose not to provide your TFN, ABN or specific exemption, then tax will be deducted from your distributions at the highest marginal tax rate (plus the Medicare levy, and any other levies we are required to deduct from time to time).

Non-residents If you are an overseas investor, please provide your country of residence for tax purposes.

Country

#### Residential address for Investor 2 (PO Box/RMB/Locked Bag is not acceptable)

C/- (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

If your country of residence is not Australia, please ensure that you also complete section 12.

#### Postal address

Is the postal address the same as the residential address?

Yes, please **[GO]** to contact details (below).

No, please provide below.

Unit

Street number

PO Box

Street name

Suburb

State

Postcode

Country

#### Contact Details

Phone (after hours)

Phone (business hours)

Mobile

Email address

### 4 Account designation (if applicable)

Provide the name of the person for whom the investment is being made (if applicable). Please note we do not accept investments from people under 18 years of age; however, investments may be designated on their behalf.

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms)

We are only required to act on instructions from the investors listed in sections 3A and 3B. Ausbil is not bound to take any notice of any interest of any person listed in section 4.

## 5 Source of funds (Required)


Please indicate (X) the origin and source of funds being invested.

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

## 6 Payment of initial investment amount

Please indicate (X) how you will make your payment of the initial investment amount by selecting one of the following:

- EFT**                      **Electronic Funds Transfer**
- Account name:              NNLACF – Ausbil Application Account
- BSB:                              083 043
- Account number:            718512670
- Your reference:              [please use the name of the investor and Ausbil account/investor number]

- BPAY**                      **Telephone and internet banking**
-  BPAY®
- You can make your payment using telephone or internet banking. You will need to quote the biller code and your account/investor number (for reference) when making this payment. Biller codes are listed below.

### Fund BPAY biller codes

Fund	Your BPAY biller code	Reference number
Ausbil Australian Active Equity Fund	636845	Your account/investor number
Ausbil Australian Concentrated Equity Fund	636969	Your account/investor number
Ausbil Active Sustainable Equity Fund	989111	Your account/investor number
Ausbil Active Dividend Income Fund	249623	Your account/investor number
Ausbil Australian Geared Equity Fund	636886	Your account/investor number
Ausbil 130/30 Focus Fund - Wholesale Class	636829	Your account/investor number
Ausbil Australian Emerging Leaders Fund	636878	Your account/investor number
Ausbil MicroCap Fund	636852	Your account/investor number
Ausbil Australian SmallCap Fund	299966	Your account/investor number
Ausbil Long Short Focus Fund	338517	Your account/investor number
Ausbil Balanced Fund	636860	Your account/investor number
Ausbil Global Resources Fund	306464	Your account/investor number
Ausbil Global SmallCap Fund	290056	Your account/investor number
Ausbil Global Essential Infrastructure Fund - Unhedged	299958	Your account/investor number
Ausbil Global Essential Infrastructure Fund - Hedged	329680	Your account/investor number
Candriam Sustainable Global Equity Fund	636894	Your account/investor number
MacKay Shields Multi-Sector Bond Fund	636902	Your account/investor number

## 7 Financial institution account details – withdrawals and distributions

Unless requested otherwise, the bank account below will be used to credit any withdrawal proceeds and/or distributions if you requested these to be paid to you and not reinvested. The nominated account must be in the name of the investor and all investors must sign this section. **Please note:** We will not make any payments into third party bank accounts nor issue cheques for income distribution or redemption payments.

Financial institution name	<input type="text"/>
Branch name	<input type="text"/>
BSB	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>
Account number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Full account Name	<input type="text"/>

## 8 Investment and distribution method

Please indicate (X) which fund(s) the investment will be made into, the investment amount, and distribution options.

Fund	APIR Code	Investment amount <sup>1</sup>	Distribution Option (indicate (X) one option per fund) <sup>2</sup>	
			Pay to my bank a/c	Reinvest
<input type="radio"/> Ausbil Australian Active Equity Fund	AAP0103AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Australian Concentrated Equity Fund	AAP9227AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Active Sustainable Equity Fund	AAP3940AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Active Dividend Income Fund	AAP3656AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Australian Geared Equity Fund	AAP0002AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil 130/30 Focus Fund - Wholesale Class	AAP0008AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Australian Emerging Leaders Fund	AAP0104AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil MicroCap Fund	AAP0007AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Australian SmallCap Fund	AAP5529AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Long Short Focus Fund	AAP8211AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Balanced Fund	AAP0101AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Global Resources Fund	AAP5928AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Global SmallCap Fund	AAP8285AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Global Essential Infrastructure Fund - Unhedged	AAP3254AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Ausbil Global Essential Infrastructure Fund - Hedged	AAP3601AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Candriam Sustainable Global Equity Fund	AAP0001AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> MacKay Shields Multi-Sector Bond Fund	AAP0020AU	\$	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Other		\$	<input type="radio"/>	<input type="radio"/>

1 The minimum initial investment is \$20,000.

2 Nominate one distribution option per Fund if applicable. If no nomination is made, distributions will be automatically re-invested.

Ausbil may, in its absolute discretion, refuse any application for units. Persons external to Ausbil or other entities who market Ausbil products are not agents of Ausbil but are independent investment advisers. Ausbil will not be bound by representations or statements which are not contained in information disseminated by Ausbil.

## 9 Target Market Determination

From 5 October 2021, before investing in a Fund, you should ensure that you meet the description of the Fund's Target Market as outlined in its Target Market Determination (TMD). TMDs for each Fund are available from [www.ausbil.com.au/invest-with-us/fund-tmds](http://www.ausbil.com.au/invest-with-us/fund-tmds). If you do not have an adviser and answered NO to any of the questions below, we may call you to confirm additional details before deciding whether to process your investment. Capitalised terms used but not defined in this section 9 will have the meanings given to them in the TMD for each Fund.

### 9A Adviser Use Only

**This question is for financial advisers only. If you do not have an adviser, please complete Section 9B.**

	YES	NO
This application is necessary to implement the personal advice I have given to the applicant in relation to the acquisition of units in the Fund. I have considered the TMD for the Fund and consider that the applicant is within the Fund's Target Market.	<input type="radio"/>	<input type="radio"/>
If you answered <b>YES</b> , please <b>[GO]</b> to section 10 of this form.		
If you answered <b>NO</b> , please <b>[GO]</b> complete section 9B, below.		

### 9B Investor

Please indicate the Fund(s) you are investing and answer (X) the Consumer Attribute questions below. If you are investing in more than two Ausbil funds, please print this section and indicate the Fund you are investing and answer the Consumer Attribute questions

#### Fund no. 1

Fund name

#### Consumer Attributes

##### Investment Objective

Which of the following options best describes your investment objective?

<b>Capital Growth</b> (increased value of your investment over time)	<input type="radio"/>
<b>Capital Preservation</b> (preserving the value of your investment and preventing loss)	<input type="radio"/>
<b>Capital Guaranteed</b> (shielding your investment from any losses)	<input type="radio"/>
<b>Income Distribution</b> (receiving regular income from your investment)	<input type="radio"/>

##### Intended Product Use

Which of the following options best describes your intended product use for the Fund in terms of portfolio diversification?

<b>Solution/Standalone</b> (your primary investment 75-100% of portfolio)	<input type="radio"/>
<b>Core Component</b> (a large proportion of your investment 25-75% of portfolio)	<input type="radio"/>
<b>Satellite/small allocation</b> (a small part of your investment - less than 25% of portfolio)	<input type="radio"/>

##### Investment Timeframe

Which of the following options best describes the length of time you wish to hold your investment?

<b>Short</b> (2 years or less)	<input type="radio"/>
<b>Medium</b> (more than 2 years)	<input type="radio"/>
<b>Long</b> (more than 8 years)	<input type="radio"/>

##### Risk/Return

Which of the following options best describes your tolerance and capacity to bear risk?

<b>Low</b>	<input type="radio"/>
<b>Medium</b>	<input type="radio"/>
<b>High</b>	<input type="radio"/>
<b>Very High</b>	<input type="radio"/>

##### Need to withdraw

Which of the following options best describes how often you may wish to withdraw money from the Fund?

<b>Daily</b>	<input type="radio"/>
<b>Weekly</b>	<input type="radio"/>
<b>Monthly</b>	<input type="radio"/>
<b>Quarterly</b>	<input type="radio"/>
<b>Annually or longer</b>	<input type="radio"/>

**9B Investor (continued)**

**Fund no. 2**

Fund name

**Consumer Attributes**

**Investment Objective**

Which of the following options best describes your investment objective?

<b>Capital Growth</b> (increased value of your investment over time)	<input type="radio"/>
<b>Capital Preservation</b> (preserving the value of your investment and preventing loss)	<input type="radio"/>
<b>Capital Guaranteed</b> (shielding your investment from any losses)	<input type="radio"/>
<b>Income Distribution</b> (receiving regular income from your investment)	<input type="radio"/>

**Intended Product Use**

Which of the following options best describes your intended product use for the Fund in terms of portfolio diversification?

<b>Solution/Standalone</b> (your primary investment 75-100% of portfolio)	<input type="radio"/>
<b>Core Component</b> (a large proportion of your investment 25-75% of portfolio)	<input type="radio"/>
<b>Satellite/small allocation</b> (a small part of your investment - less than 25% of portfolio)	<input type="radio"/>

**Investment Timeframe**

Which of the following options best describes the length of time you wish to hold your investment?

<b>Short</b> (2 years or less)	<input type="radio"/>
<b>Medium</b> (more than 2 years)	<input type="radio"/>
<b>Long</b> (more than 8 years)	<input type="radio"/>

**Risk/Return**

Which of the following options best describes your tolerance and capacity to bear risk?

<b>Low</b>	<input type="radio"/>
<b>Medium</b>	<input type="radio"/>
<b>High</b>	<input type="radio"/>
<b>Very High</b>	<input type="radio"/>

**Need to withdraw**

Which of the following options best describes how often you may wish to withdraw money from the Fund?

<b>Daily</b>	<input type="radio"/>
<b>Weekly</b>	<input type="radio"/>
<b>Monthly</b>	<input type="radio"/>
<b>Quarterly</b>	<input type="radio"/>
<b>Annually or longer</b>	<input type="radio"/>



## 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 name

Adviser name

AFSL No

Authorised rep number

ABN

### Address

Property/Building name

Unit

Street number

Street name

Suburb

State

Postcode

Country

Phone (business hours)

Mobile

### Performance of client identification and verification procedures

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

NO Financial adviser **has NOT performed** identification and verification procedures

YES Financial adviser **has performed** the required identification and verification procedures for the client and has provided duly completed Client ID Form(s) with this application.

### Adviser Declaration

#### I represent and warrant to Ausbil that:

- I have undertaken the applicable identification and verification procedure in relation to the client;
- I have considered the TMD for the Fund(s) and the applicants attributes;
- I will make available to Ausbil, on request, original certified verification and identification records in respect to the client and will keep those records for a period of seven years after my relationship with the client has ended;
- I will use reasonable efforts to obtain additional information from the client if Ausbil requests me to do so;
- I will not knowingly do anything to put Ausbil in potential breach of Anti-Money Laundering and Counter-Terrorism Act 2006 (Cth) (**AML/CTF Act**) and Rule 4.4.19 of the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No 1) (Cth) (**AML/CTF Rules**); and
- I will notify Ausbil immediately if I become aware of anything that would put Ausbil in potential breach of AML/CTF Act and AML/CTF Rules.

AFSL name

Representative name

AFSL No

Phone (business hours)

Adviser name

Adviser signature

## 11 Communications

Please indicate (x) below your preferred method of communication for investment materials and marketing information. If no nomination is made, communications will be automatically sent via email.

- Email  
 Mail

### Adviser copies

Please indicate (x) below if you would like your adviser (if any) to receive copies of all communications regarding your account such as distribution statements, transaction advices, etc. If no nomination is made, communications will be automatically sent to your adviser.

- Yes  
 No

Please [\[GO\]](#) to section 14.

## 12 Global Tax Reporting Requirements (CRS/FATCA)

Information about investors that are foreign tax residents must be reported to the Australian Taxation Office (ATO) in accordance with international tax reporting standards and laws to which Australia is subject. These include the OECD Common Reporting Standard (CRS) and United States Foreign Account Tax Compliance Act (FATCA). If you require further information on Australia's obligations under CRS or FATCA, please visit the ATO website [www.ato.gov.au](http://www.ato.gov.au).

Tax Residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

### Investor 1 – Tax information – please answer **BOTH** tax residency questions

1. Are you an Australian resident for tax purposes?  Yes  No
2. Are you a tax resident of another country?  Yes  No

If you are a tax resident of a country other than Australia, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

**Reason A** – The country of tax residency does not issue TINs to tax residents.

**Reason B** – I have not been issued with a TIN.

**Reason C** – The country of tax residency does not require the TIN to be disclosed.

Country 1	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
Country 2	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
Country 3	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
Country 4	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>

### Investor 2 – Tax information – please answer **BOTH** tax residency questions

1. Are you an Australian resident for tax purposes?  Yes  No
2. Are you a tax resident of another country?  Yes  No

If you are a tax resident of a country other than Australia, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

**Reason A** – The country of tax residency does not issue TINs to tax residents.

**Reason B** – I have not been issued with a TIN.

**Reason C** – The country of tax residency does not require the TIN to be disclosed.

Country 1	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
Country 2	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
Country 3	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
Country 4	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>

## 13 Customer identity verification

If you do not have an existing investment with Ausbil, you must complete this section. If you are lodging this application through a financial adviser, they are required to provide us with certified copies of the identity verification documents. If you are not lodging this application through a financial adviser, you are required to provide us directly with certified copies of the identity verification documents. Please see below for a list of who can certify the documents.

### Please provide EITHER A or B.

**A.** A valid copy of one of the following documents:

- Australian driver's licence containing your photograph; or
- Australian passport containing your photograph and signature; or
- A card issued under an Australian State or Territory law containing your photograph and proof of age.

**B.** If one of the above cannot be provided, please provide one document from Group 1 and one document from Group 2 below:

Group 1	Group 2
<p>A <b>certified copy</b> of one of the following documents:</p> <ul style="list-style-type: none"><li><input type="radio"/> Australian birth certificate or birth extract; or</li><li><input type="radio"/> Australian citizenship certificate; or</li><li><input type="radio"/> Pension or Health care card issued by Centrelink or Department of Veterans' Affairs.</li></ul>	<p>(The document must contain your full name and current residential address as provided in this application form)</p> <p>A <b>certified copy</b> of one of the following documents issued to you:</p> <ul style="list-style-type: none"><li><input type="radio"/> a notice or bill issued within the preceding three months from a local government body or utilities provider that records the provision of services to you, eg:<ul style="list-style-type: none"><li>• council rates notice</li><li>• electricity bill</li><li>• gas bill</li><li>• water rates notice</li><li>• telephone bill</li><li>• internet services bill</li></ul></li><li><input type="radio"/> a letter or notice issued within the preceding 12 months from a Commonwealth or State/Territory government department that records the provision of financial benefits to you, eg:<ul style="list-style-type: none"><li>• pension statement</li><li>• rent assistance statement</li><li>• mobility allowance statement</li><li>• utilities allowance statement</li></ul></li><li><input type="radio"/> a letter or notice issued to you within the preceding 12 months from the ATO that records a debt or refund payable by or to you, eg:<ul style="list-style-type: none"><li>• notice of assessment</li><li>• payment reminder</li></ul></li></ul>

**If you are a non-Australian resident and cannot provide A or B, please provide a valid copy of ONE of the following:**

- foreign passport, or similar travel document bearing your signature and photograph; or
- foreign driver's license that contains your photograph.
- national identity card issued by a foreign government that contains your photograph, and either your signature or your unique identifier; or

#### Please note:

- documents are required to be certified copies of the original;
- documents such as passports, driver's licences and other cards that have not expired or have an expiry date of not less than 6 months from the date of signing this application;
- if any document is in a language other than English, then it must be accompanied by an English translation prepared by an accredited translator; and
- if any document is in a previous name, then it must be accompanied by evidence of the change of name (eg a marriage certificate).

## 13 Customer identity verification (continued)

### How to certify your documents

A certified copy is a document that has been certified as a true copy of an original document. To certify a document, take the original document and a photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document. That person will need to print their name, date and the capacity in which they are signing (eg postal agent, Justice of the Peace).

"I **[name]** of **[address]** being **[capacity e.g. Justice of the Peace]** certify this and the following **[x]** pages as a true copy of the original document."

#### [Signature and date]

Each page should be initialled by the person certifying your documents.

Documents not in English must be accompanied by an English translation prepared by an accredited translator.

### Who can certify documents?

<b>JP</b>	<ul style="list-style-type: none"> <li>Justice of the Peace</li> </ul>
<b>Post office</b>	<ul style="list-style-type: none"> <li>Permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public</li> <li>Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li> </ul>
<b>Legal</b>	<ul style="list-style-type: none"> <li>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>Judge of a court</li> <li>Magistrate</li> <li>Chief executive officer of a Commonwealth court</li> <li>Registrar or deputy registrar of a court</li> <li>Notary public (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li> </ul>
<b>Accountant</b>	<ul style="list-style-type: none"> <li>Member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants (CPA) Australia or the National Institute of Accountants with two or more years of continuous membership</li> </ul>
<b>Financial corporations (bank, building society, credit union)</b>	<ul style="list-style-type: none"> <li>Officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li> <li>Finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li> <li>Officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees</li> </ul>
<b>Police</b>	<ul style="list-style-type: none"> <li>Australian police officer</li> </ul>
<b>Diplomatic service</b>	<ul style="list-style-type: none"> <li>Australian consular officer</li> <li>Australian diplomatic officer (within the meaning of the Consular Fees Act 1955 (Cth))</li> </ul>

## 14 Declaration and applicant(s) signature(s)

Please read the declarations below before signing this form. The signatures required are detailed at the bottom of this form.

I/We declare that:

- all details in this application (including all related documents provided) are true and correct and I/we indemnify the responsible entity of the fund(s) I/we am/are investing in 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 deliberately false or misleading;
- I/we have received a copy of the current PDS and all information incorporated into the PDS to which this application applies and have read them and agree to the terms contained in them and to be bound by the provisions of the current PDS (including the incorporated information) and current constitution (each as amended from time to time);
- 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 have received and accepted this offer in Australia;
- I/we have read and understood the TMD for the Fund(s) to which this application applies;
- the details of my/our investment can be provided to the adviser group 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);
- sole signatories signing on behalf of a company confirm that they are signing as sole director and sole secretary of the company;
- unless alternative authority for signature is notified to and accepted by Ausbil Investment Management Limited (ABN 26 076 316 473 AFSL 229722) (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, including withdrawals by telephone and fax;
- 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, either investor is able to operate the account and bind the other investor/s for future transactions, including additional deposits and withdrawals (including withdrawals by fax);
- I/we have read and understood the terms and conditions for the use of telephone and fax and release and indemnify Ausbil from and against any liabilities whatsoever arising out of it acting on any communications received by telephone and fax under those terms; and
- I/we acknowledge that Ausbil or any custodian or investment manager, guarantees the performance of the Fund(s) or the repayment of capital or any particular rate of return or any distribution.

In relation to my/our personal information:

- 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 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 consent; and
- 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 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.

## 15 Signature(s)

Refer to list of signatories in Section 16

### Signature 1

Signature	<input type="text"/>
Date	<input type="text"/>
Surname	<input type="text"/>
Given name(s)	<input type="text"/>
Capacity	<input type="radio"/> Director <input type="radio"/> Company Secretary <input type="radio"/> Primary Trustee (Individual)

### Signature 2

Signature	<input type="text"/>
Date	<input type="text"/>
Surname	<input type="text"/>
Given name(s)	<input type="text"/>
Capacity	<input type="radio"/> Director <input type="radio"/> Company Secretary <input type="radio"/> Primary Trustee (Individual)

**Joint investors** - If you are investing jointly or are a joint trustee, please indicate whether a single investor can operate your account.

Single investor can operate your account?     Yes     No

Each Fund's Product Disclosure Statement (PDS) includes information about purchasing units in the relevant fund. Any person who gives another person access to the application form must also give the person access to the PDS and any incorporated information. You should read the PDS and any incorporated information before completing this application form. The responsible entity of each Fund is Ausbil Investment Management Limited (ABN 26 076 316 473 AFSL 229722) (Ausbil). Ausbil or a financial adviser who has provided an electronic copy of the PDS and any incorporated information, will send you a paper copy of the PDS and any incorporated information and application form free of charge if you so request

## 16 Signatories

### Who should sign the Form?

The table below provides guidance on completing the 'Declaration and applicant(s) signature's section of the application form. Before signing the application form please ensure you have read the declaration.

Type of investor	Names required	Signature required	TFN/ABN or exemption to be provided
<b>Individual and/or Joint Investors</b>	i. Full name of each Investor (please do not use initials).	Individual Investor; or each Joint Investor	Individual Investor; or each Joint Investor
<b>Sole Trader</b>	i. Full name of Sole Trader; and ii. Full business name.	Sole Trader	Sole Trader
<b>If the investment is being made on behalf of other person</b>	i. Name(s) of the responsible adult(s), as the Investor.	Adult(s) investing on behalf of the person/minor	Adult(s)
<b>If the investment is being made under Power of Attorney (POA)</b>  Please ensure an original certified copy of the POA is attached to the application form. Each page of the POA must be certified.	i. Full name of each Investor(s) (as listed in section 3); and ii. Full name of person holding POA (underneath signature).	Person holding Power of Attorney In the case that the POA document does not contain a sample of the POA's (ie Attorney's) signature, please provide a certified copy of either the POA's driver's licence or passport containing a sample of their signature.	Individual Investor; or each Joint Investor.

## Appendix A - Global Tax Reporting Requirements (CRS/FATCA)

### Definitions of Selected Terms

Please note: These definitions rely on the most common standards and definitions for the general application for FATCA and CRS. However, local rules may differ. Please consult the applicable local laws and any accompanying guidance in order to ensure that you apply the proper version of any of these terms.

#### **Active Non-Financial Entity (NFE) - Government Entity or Central Bank (CRS-relevant only)**

The term "Government Entity" means the government of a jurisdiction, any political subdivision of a jurisdiction (which, for the avoidance of doubt, includes a state, province, county, or municipality), or any wholly owned agency or instrumentality of a jurisdiction or of any one or more of the foregoing. This category is comprised of the integral parts, controlled entities, and political subdivisions of a jurisdiction.

The term "Central Bank" means an institution that is by law or government sanction the principal authority, other than the government of the jurisdiction itself, issuing instruments intended to circulate as currency. Such an institution may include an instrumentality that is separate from the government of the jurisdiction, whether or not owned in whole or in part by the jurisdiction.

#### **Active Non-Financial Entity (NFE) - International Organisation (CRS-relevant only)**

The term "International Organisation" means any international organisation or wholly owned agency or instrumentality thereof. This category includes any intergovernmental organisation (including a supranational organisation) (1) that is comprised primarily of governments; (2) that has in effect a headquarters or substantially similar agreement with the jurisdiction; and (3) the income of which does not inure to the benefit of private persons.

#### **Active Non-Financial Entity (NFE) – Other (CRS-relevant only)**

The term "Active NFE – Other" means an NFE that meets any of the following criteria:

- Active NFEs by reason of income and assets: Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is Passive Income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of Passive Income;
- Holding NFEs of non-financial group: Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- Start-up NFEs: The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- NFEs that are liquidating or emerging from bankruptcy: The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- Treasury centres of non-financial groups: The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- Non-profit NFEs: The NFE is a Non-Profit Organisation.

#### **Active Non-Financial Entity (NFE) - Publicly Traded Non-Financial Corporation and Related Corporation (CRS-relevant only)**

The term "Publicly traded Non-Financial Corporation and Related Corporation" means an NFE:

- The stock of which is regularly traded on an established securities market; or
- That is a Related Entity of an Entity the stock of which is regularly traded on an established securities market (the Related Entity must also be a corporation).

An "established securities market" means an exchange that is officially recognized and supervised by a governmental authority in which the market is located and that has an annual value of shares traded on the exchange (or a predecessor exchange) exceeding USD 1 000 000 000 during each of the three calendar years immediately preceding the calendar year in which the determination is being made.

#### **Active Non-Financial Foreign Entity (NFFE) (FATCA-relevant only)**

The term "Active NFFE" means an NFFE that meets any of the following criteria:

- Less than 50% of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is Passive Income and less than 50% of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of Passive Income;
- The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market.
- The NFFE is organized in a US Territory and all of the owners of the payee are bona fide residents of that US Territory;
- The NFFE is a non-US government, a government of a US Territory, an international organisation, a non-US central bank of issue, or an Entity wholly owned by one or more of the foregoing;
- Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;
- The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;

The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

- The NFFE is a Non-Profit Organisation; or
- The NFFE is an Excepted NFFE as described in relevant US Treasury Regulations



## Appendix A - Global Tax Reporting Requirements (CRS/FATCA) (continued)

### Definitions of Selected Terms (continued)

#### Deemed-Compliant Foreign Financial Institution (FATCA-relevant only)

The term "Deemed-Compliant FFI" includes Registered Deemed Compliant FFIs as well as Certified Deemed-Complaint FFIs and means an FFI that qualifies for such status based on relevant US Treasury Regulations or an applicable Model 1 or 2 IGA. For the purpose of this form Owner-Documented FFIs are also considered Deemed-Compliant FFIs.

#### Distinction between Financial Institution and Professionally Managed Investment Entity (CRS-relevant only)

Under CRS Financial Institutions and Professionally Managed Investment Entities are treated differently depending on whether the entity is domiciled in a Participating or Non-Participating Jurisdiction:

- A Financial Institution other than a Professionally Managed Investment Entity will always be treated as a Financial Institution independent whether the entity is domiciled in a Participating or Non-Participating Jurisdiction;
- A Professionally Managed Investment Entity will only be treated as a Financial Institution if the entity is domiciled in a Participating Jurisdiction. If the Professionally Managed Investment Entity is domiciled in a Non-Participating Jurisdiction the entity will be treated as Passive NFE and will therefore need to disclose its Controlling Persons. If any of its Controlling Persons is a Reportable Person, the account will be reported as a Reportable Account.

#### Exempt Beneficial Owner (FATCA-relevant only)

The term "Exempt Beneficial Owner" means an entity that qualifies for such status based on relevant US Treasury Regulations or an applicable Model 1 or 2 IGA. Financial Institution / Foreign Financial Institution The terms "Financial Institution" (under CRS) or "Foreign Financial Institution" (under FATCA) mean an Entity (under FATCA: a non-US Entity) that is a:

- Depository Institution;
- Custodial Institution;
- Investment Entity;
- Holding Company or Treasury Center (only relevant for entities located outside an IGA jurisdiction); or
- Specified Insurance Company.

Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions. Typical examples of Foreign Financial Institutions are banks, funds, broker-dealers, custodians, trust companies, and life insurance companies.

#### Foreign Account Tax Compliance Act (FATCA)

The term "FATCA" stands for Foreign Account Tax Compliance Act. The FATCA provisions were enacted into US law as part of the Hiring Incentives to Restore Employment (HIRE) Act on 18 March 2010. Based on FATCA, Foreign Financial Institutions are required to identify US Accounts and report them, directly or indirectly through their domestic tax authorities, to the US Internal Revenue Service (IRS). Foreign Financial Institutions and their clients that do not comply with the FATCA requirements are subject to a 30 percent withholding tax on payments from US Securities.

#### Non-Financial Entity (NFE) / Non-Financial Foreign Entity (NFFE)

The terms "NFE" (under CRS) or "NFFE" (under FATCA) mean an Entity (under FATCA: a non-US Entity) that is not a Financial Institution / Foreign Financial Institution.

#### Non-Participating Foreign Financial Institution (FATCA relevant only)

The term "Non-Participating Foreign Financial Institution" means any Foreign Financial Institution other than a:

- Participating FFI;
- Reporting Model 1 FFI;
- Reporting Model 2 FFI;
- Deemed-Compliant FFI;
- Non-reporting IGA FFI; or
- Exempt Beneficial Owner.

#### Non-Participating Jurisdiction (CRS-relevant only)

From the perspective of a jurisdiction that has implemented CRS, the term "Non-Participating Jurisdiction" means another jurisdiction that is not a Participating Jurisdiction.

#### Participating Jurisdiction (CRS-relevant only)

The Participating Jurisdictions for CRS purposes can be found on the OECD Portal (<http://www.oecd.org/tax/automatic-exchange/>).

#### Passive Income

Subject to certain limitations based on commercial operations (eg for specified dealers), "Passive Income" (under CRS and FATCA) would generally be considered to include the portion of gross income that consists of:

- Dividends (including substitute dividends);
- Interest (including income equivalent to interest);
- Rents and royalties;
- Annuities;
- The excess of gains over losses from the sale or exchange of Financial Assets that gives rise to the passive income described above;
- The excess of gains over losses from transactions (including futures, forwards, options, and similar transactions) in any Financial Assets;
- The excess of foreign currency gains over foreign currency losses;
- Net income from swaps or notional principal contracts; or
- Amounts received under Cash Value Insurance Contracts

## Appendix A - Global Tax Reporting Requirements (CRS/FATCA) (continued)

### Definitions of Selected Terms (continued)

#### Passive Non-Financial Entity (Passive NFE) / Passive Non-Financial Foreign Entity (Passive NFFE)

The terms "Passive NFE" (under CRS) and "Passive" NFFE (under FATCA) mean an NFE / NFFE that is not an Active NFE / Active NFFE.

**Professionally Managed Investment Entity** The term "Professionally Managed Investment Entity" (under CRS and FATCA) means an Entity (under FATCA: a non-US Entity) that:

- Is Professionally Managed; and
- The Entity's gross income attributable to investing, reinvesting, or trading in Financial Assets equals or exceeds 50% of the Entity's gross income during the shorter of (i) the three three-year period ending on 31 December of the year preceding the year in which the determination is made; or (ii) the period during which the Entity has been in existence. Although meeting the above requirements, Entities might be exempted from the Professionally Managed Investment Entity definition based on a specific exemption under the laws of their jurisdiction of residence.

An Entity is considered to be Professionally Managed if another Financial Institution performs, either directly or through another service provider, any of the following activities or operations on behalf of the managed Entity: (i) trading in financial instruments; (ii) individual or collective portfolio management; or (iii) otherwise investing, administering, or managing funds, money, or Financial Assets. However, an Entity is not Professionally Managed if the managing Financial Institution does not have discretionary authority to manage the Entity's assets (in whole or part). Where an Entity is managed by a mix of Financial Institutions and other persons, the Entity is considered to be Professionally Managed. The term "Reportable Account" means an account held by:

- One or more Reportable Persons; or
- A Passive NFE or a Professionally Managed Investment Entity with one or more Controlling Persons that is a Reportable Person.

#### Tax Residence

The determination of a person's tax residence is based on the tax laws of any relevant jurisdictions. The domestic tax laws of any relevant jurisdictions define the conditions under which an Entity has to be treated as fiscally resident and consequently is subject to full tax liability. In general, an Entity should be treated as tax resident in any jurisdiction in which he/she is subject to tax by reason of its domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes.

Under CRS, special rules apply to:

- Fiscally transparent Entities (i.e. partnerships, limited liability partnerships or similar legal arrangements that have no residence for tax purposes), which are resident for CRS purposes in the jurisdiction in which their place of effective management or control is situated;
- Trusts that are Financial Institutions, which are resident for CRS purposes in the residence of their trustee(s), unless they are tax resident under the laws of any jurisdiction that has implemented CRS and report all the information required to be reported pursuant to the CRS with respect to the Reportable Account they maintain to the tax authorities of such jurisdiction;
- Trusts that are NFEs, which do not have a residence for CRS purposes, unless they are tax resident under the laws of any jurisdiction; and
- Branches, which are resident for CRS purposes in the jurisdiction of Tax Residence of the headquarter Entity of which they are a branch.

The information above is of a general nature and is not intended as advice in any particular case. If you have any questions on how to determine your tax residence status, please contact your tax adviser or relevant tax authorities. The fund/Management Company does not provide legal or tax advice.

#### US resident for tax purposes

An individual is considered a US resident for US tax purposes if an individual meets the substantial physical presence test. The individual meets this test if the individual was present in the US on at least (i) 31 days during the current calendar year, and (ii) 183 days cumulatively during the current and two preceding calendar years, according to the following formula:  $[\text{number of days in the current year}] + [\text{number of days in the first preceding year} \times 1/3] + [\text{number of days in the second preceding year} \times 1/6] \geq 183$  days.

#### US Person (FATCA-relevant only)

The term "US Person" means an entity that is a US corporation, a US partnership or a US trust. A corporation or partnership is generally considered a US corporation or US partnership if it is created or organized in the United States or under the law of the United States or of any State. A trust is considered to be a US trust if (i) a court within the United States is able to exercise primary supervision over the administration of the trust, and (ii) one or more US Persons have the authority to control all substantial decisions of the trust. In general, an entity that is a US Person is also a Specified US Person, unless a specific exemption applies.

A natural person is considered a US Person, if he/she: Is a US citizen (including dual or multiple citizen); Is in possession of a US Green Card (irrespective of expiry date); Meets the Substantial Presence Test (i.e. physical presence in the United States on at least 31 days during the current calendar year and 183 days during the three year period that includes the current calendar year and the two calendar years immediately before; to satisfy the 183 days requirement, count (i) all of the days of presence in the current year, (ii) one-third of the days of presence in the first year before the current year, and (iii) one sixth of the days of presence in the second year before the current year); or

Is a US resident because of any other reason (eg being a non US spouse filing jointly a US tax return with a US spouse or relinquishing US citizenship or long-term permanent residence in the US