

Know Your Customer | Individual

WHO SHOULD COMPLETE THIS FORM?

This form is for individuals or sole traders, investing on their own behalf and who would like to provide or update their Customer Verification Documents and/or their FATCA/CRS status. Typically, this form will be used by investors who are transferring from a HIN holding to a direct holding with Ausbil, or for any investor wanting to update the identification or tax status details that are held by Ausbil.

HOW TO COMPLETE THIS FORM

Step 1

Online Form: Please complete online and then print to sign using a black pen.

Manual Form: Please print, use 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.

Documents: Provide the required Customer Identification Verification documents as outlined in the form

Note: Please ensure all relevant fields are completed.

If you have any questions as you complete this form, please refer to the FAQs at the end of this form, or contact us on 1800 287 245.

Step 2

Tell us your foreign tax status

Please complete the **Global Tax Reporting (FATCA/CRS)** information in **section 3**.

Step 3

Sign and send your documents to the below address.

Please ensure you sign **section 5** 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

IMPORTANT INFORMATION

- Please ensure all relevant fields are completed. If you do not complete all relevant sections your application, processing delays may occur.
- 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.

1. INVESTOR DETAILS

Complete all details below in respect of the individual(s) or sole trader(s) that will hold legal title to the units.

Account Name

Account number

HIN

Only listed Investors should provide the HIN

Investor 1

Title

Given name(s)

Surname

Are you known by any other name?

No

Yes, please state:

Business name (if sole trader)

ABN (if any, for sole trader)

Date of birth

Occupation

Residential address (or, if you are a sole trader, principal place of business) - (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 residential address) - (RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

Contact details

Home number (including country and area code)

Mobile number (including country code)

Email (default address for all correspondence)

Tax details – Australian residents If you are an Australian resident for tax purposes, please provide your tax file number (TFN) or a reason for exemption. If you are an Australian resident and do not provide your TFN, or a reason for exemption, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN

Reason for exemption

Investor 2

Title Given name(s) Surname

Are you known by any other name?

No

Yes, please state:

Business name (if sole trader)

ABN (if any, for sole trader)

Date of birth

Occupation

 / /

Residential address (or, if you are a sole trader, principal place of business) - (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 residential address) - (RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

Unit Street number Street name

Suburb State Postcode Country

Contact details

Home number (including country and area code)

Mobile number (including country code)

Email

All correspondence will be sent to the email address provided by Investor 1.

Tax details – Australian residents If you are an Australian resident for tax purposes, please provide your tax file number (TFN) or a reason for exemption. If you are an Australian resident and do not provide your TFN, or a reason for exemption, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN

Reason for exemption

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)
- Current Australian Passport** or an Australian Passport that has expired within the preceding 2 years
- Current Australian State or Territory Government Identity Card** showing the person's date of birth, photo and signature
- Current Foreign Government Identity Card** showing the person's date of birth, photo and signature**
- Current Foreign Driver's Licence** showing the person's date of birth, photo and signature**
- Current Foreign Passport** showing the person's date of birth, photo and signature**

OPTION B

If you cannot 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
- Australian Government issued Citizenship Certificate**
- Current Concession or Health Care Card** issued by Centrelink (scan the front and back)

GROUP 2

- Commonwealth, State or Territory Government Notice** within the preceding 12 months and recording the provision of financial benefits
- 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
- Local Government or Utilities Provider Statement** within the preceding 3 months and recording the provision of services

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.

3. GLOBAL TAX REPORTING REQUIREMENTS (FATCA/CRS)

Why you need to complete this section?

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

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

3.1 Tax Residence – Individual/Sole Trader

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're unsure, ask someone who knows, usually your accountant.

3.1.1 Individual - Investor 1

Are you a US resident for tax purposes?

No

Yes - please tell us your TIN

HELP

What is a TIN?

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

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			
2			
3			
4			

3.1.2 Individual - Investor 2

Are you a US resident for tax purposes?

No

Yes - please tell us your TIN

HELP

What is a TIN?

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

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			
2			
3			
4			

Please read the declarations below before signing this form. The required signature(s) are detailed at the bottom of this form. By signing the form, the signatories are declaring that:

- I/we have complied with all applicable laws in completing the form;
- I/we are not bankrupt or a minor, and are authorised to sign this form
- I/we have read and understood this form
- all details in this form (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;
- if this form 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);
- 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 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 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 (ii) by sending me/us 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 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 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 or by contacting us.

5. SIGNATURE(S)

All Investors must sign.

Signature 1

Signature

Date signed

 / /

Full name

Capacity

Investor 1

Signature 2

Signature

Date signed

 / /

Full name

Capacity

Investor 2

Translating documents by an accredited translator	<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"> • NAATI (https://www.naati.com.au/) <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>
Getting your copies certified	<p>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.</p>
Example of certification	<p>I certify that this is a true and correct copy of the original document Signature of Certifier Name of Certifier Capacity of certifier – e.g. Justice of the Peace Date of certification (DD/MM/YYYY)</p>
List of occupations that can certify (from the Statutory Declaration Regulations 2018)	<ul style="list-style-type: none"> • Architect • Chiropractor • Dentist • Financial adviser or financial planner • Legal practitioner • Medical practitioner • Midwife • Migration authorised representative registered under Division 3 of Part 3 of the Migration Act 1958 • Nurse • Occupational therapist • Optometrist • Patent attorney • Pharmacist • Physiotherapist • Psychologist • Trade marks attorney • Veterinary surgeon.
List of persons who can certify	<ul style="list-style-type: none"> • 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) • a judge of a court • a magistrate • a chief executive officer of a Commonwealth court • a registrar or deputy registrar of a court • a Justice of the Peace • a notary public (for the purposes of the Statutory Declaration Regulations 2018) • a police officer • an authorised representative of the Australian Postal Corporation who is in charge of an office supplying postal services to the public • 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 • an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955) • 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) • 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) • 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 • a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants.