Ausbil Investment Management Limited

Client Services contact details
Phone
1800 287 245 or 02 9259 0200
Email
ausbil_transactions@unitregistry.com.au
Website
www.ausbil.com.au

Transfer Request

Use this form if you are an existing investor and wish to transfer units to another investor.

Please complete all sections in BLOCK letters using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

1. **Instructions if you are transferring units to an existing investor.**
   If you are transferring units to an existing investor, the following needs to be completed:

   - ☐ the transferor needs to write their investor number and investor name as it appears on their latest periodic or transaction statement.
   - ☐ the transferee needs to write their investor number and investor name in section 2 as it appears on their latest periodic or transaction statement.
   - ☐ the transferee needs to complete the Target Market Determination information in section 5 for each Fund, and the additional questions if the transferee is investing in the Ausbil Australian Geared Equity Fund and/or Ausbil Global Resources Fund.
   - ☐ both the transferor and transferee need to sign this form as per the 'Acknowledgements and signatures' in section 6.

2. **Instructions if you are transferring units to a new investor.**
   If you are transferring units to a new investor, the transferor needs to complete the following:

   - ☐ write their investor number and investor name as it appears on their latest periodic or transaction statement.
   - ☐ sign this form as per the 'Acknowledgements and signatures' in section 6.

   The transferee needs to:

   - ☐ complete the Fund(s) Application form and provide all required documents (available at www.ausbil.com.au).
   - ☐ the transferee needs to complete the Target Market Determination information in section 5 for each Fund, and the additional questions if the transferee is investing in the Ausbil Australian Geared Equity Fund and/or Ausbil Global Resources Fund.
   - ☐ write their name in section 4 of this form and then sign the form as per the 'Acknowledgments and signatures' in section 6.

3. **Send your documents to us**
   Before you submit your transfer form, please check that:

   - ☐ both the transferor and transferee have signed the transfer form.
   - ☐ the transferee has completed the application process (if a new investor).

   You can return your form by post or email according to the details below:

   Send by post: Ausbil Investment Management Limited
   GPO Box 804
   Melbourne VIC 3001

   Scan and email to: ausbil_transactions@unitregistry.com.au
   Please include your investor number in the subject line of your email.

1 Transfer details

Please indicate if you are making a full transfer or a partial transfer. If you are making a partial transfer please specify the number of units or dollar amount you wish to transfer.

FUND NAME	APIR CODE	FULL TRANSFER (to transfer your entire holding)	PARTIAL TRANSFER (nominate dollars or units)		
			PARTIAL TRANSFER IN DOLLARS	OR	PARTIAL TRANSFER IN UNITS
Ausbil Australian Active Equity Fund – Wholesale Class	AAP0103AU	☐	$		
Ausbil High Conviction Equity Fund	AAP9227AU	☐	$		
Ausbil Active Sustainable Equity Fund – Active ETF	AAP3940AU	☐	$		
Ausbil Active Dividend Income Fund – Active ETF	AAP3656AU	☐	$		
Ausbil Australian Geared Equity Fund	AAP0002AU	☐	$		
Ausbil 130/30 Focus Fund – Wholesale Class	AAP0008AU	☐	$		
Ausbil Australian Emerging Leaders Fund – Wholesale Class	AAP0104AU	☐	$		
Ausbil MicroCap Fund	AAP0007AU	☐	$		
Ausbil Australian SmallCap Fund	AAP5529AU	☐	$		
Ausbil Balanced Fund	AAP0101AU	☐	$		
Ausbil Global Resources Fund	AAP5928AU	☐	$		
Ausbil Global SmallCap Fund – Active ETF	AAP8285AU	☐	$		
Ausbil Global Essential Infrastructure Fund – Unhedged	AAP3254AU	☐	$		
Ausbil Global Essential Infrastructure Fund (Hedged) – Active ETF	AAP3601AU	☐	$		
Candriam Sustainable Global Equity Fund – Active ETF	AAP0001AU	☐	$		
Ausbil CORE Global Listed Infrastructure Fund – Unhedged	AAP0147AU	☐	$		
Ausbil CORE Global Listed Infrastructure Fund – Hedged	AAP8831AU	☐	$		
Other _____		☐	$		

☐ No change of beneficial ownership

Minimum balances apply. Please refer to the Fund(s)'s Product Disclosure Statement (PDS).

2 Transferor/Seller details

Investor number

Investor name

3 Transferee/Buyer details – existing investors only

If you are transferring units to an existing investor, please complete the details below. The Buyer must read the Product Disclosure Statement, Additional Information Guide (for relevant funds) and the Target Market Determination for the Fund(s) and complete the Target Market Determination information in section 5 for each Fund, including the additional questions if the Buyer is investing in the **Ausbil Australian Geared Equity Fund** and/or **Ausbil Global Resources Fund**.

Investor number

Investor name

Buyer details

Unit

Street number

Suburb

State

Street name

Postcode

Country

Other relevant information (if any)

4 Transferee/Buyer – new investors

If you are transferring units to a new investor, please complete the details in this section 4. The new investor must also complete the following three steps:

1. Read the Product Disclosure Statement, Additional Information Guide (for relevant funds) and the Target Market Determination for the Fund(s).
2. Complete the Target Market Determination information in section 5 for each Fund, including the additional questions if the transferee is investing in the **Ausbil Australian Geared Equity Fund** and/or **Ausbil Global Resources Fund**.
3. Complete the Application Form(s) and provide all required documents (available at www.ausbil.com.au).

New investor details

Title

Full given names

Surname

Company/Trust/Superannuation fund

☐ Please mark this box to indicate that an Application Form has been submitted with this Transfer Form

☐ Please mark this box to indicate that this transfer relates to a deceased estate

Other relevant information (if any) *eg a list of the additional documents provided with this form*

5 Target Market Determination

This section of the form must be completed by the Transferee/Buyer for each Fund. Please print additional copies of this page for transfers into more than one Fund and submit each additional page with this form.

For transfers into the **Ausbil Australian Geared Equity Fund** and/or **Ausbil Global Resources Fund**, there are additional questions that we require to be completed.

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, which are available from www.ausbil.com.au/invest-with-us/fund-tmds.

Please indicate the Fund(s) you are investing and answer (**X**) the Consumer Attribute questions below.

Fund Name:

Consumer Attributes	
Investment Objective Which of the following options best describes your investment objective?	Select **One** Only
Capital Growth	☐
Capital Preservation	☐
Income Distribution	☐
Intended Product Use Which of the following options best describes your intended product use for the Fund in terms of portfolio diversification?	Select **One** Only
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%)	☐
Investment Timeframe Which of the following options best describes the length of time you wish to hold your investment?	Select **One** Only
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	☐
Risk/Return Which of the following options best describes your tolerance and capacity to bear risk?	Select **One** Only
Low	☐
Medium	☐
High	☐
Very High	☐
Extremely High	☐
Need to access capital Which of the following options best describes your need to access capital from the Fund?	Select **One** Only
Within one week of request	☐
Within one month of request	☐
Within three months of request	☐
Within one year of request	☐
More than one year of request	☐

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?	☐	☐
2. Do you understand that the fund has exposure to share investments and leverage, which can magnify the volatility of your investment significantly?	☐	☐
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?	☐	☐
4. Is your investment predominantly seeking capital growth and does it represent a relatively small (ie <25%) part of your broader investment portfolio?	☐	☐

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?	☐	☐
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?	☐	☐
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?	☐	☐
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?	☐	☐
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?	☐	☐

6 Acknowledgements and signatures

This form must be signed by all authorised signatories (eg. For a joint account, both signatories must sign this form).

By executing this Form I/we agree with, and represent and warrant to Ausbil that:

- 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 relevant Fund(s);
- 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 form 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 transfer 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);
- 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 form 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 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 or fax" in the relevant PDS and release and indemnify Ausbil from and against any liabilities whatsoever arising out of it acting on any communications received by email and/or fax under those terms;
- I/we acknowledge that neither Ausbil nor any custodian, registry or investment manager, guarantees the performance of the Fund(s) or the repayment of capital or any particular rate of return or any distributions;
- I/we acknowledge that Ausbil accepts no responsibility for any failure to receive application amounts or payments before or after the transaction date arising as a result of, among other things, processing of payments by financial institutions;
- I/we agree that any notice, document or other information required to be given to me/us under law (or by agreement with you), including but not limited to Product Disclosure Statements, Financial Services Guides, periodic statements, confirmations of transactions and ongoing disclosures, may be given in one of the following ways (where permitted by law): (i) by sending it to an email address and/or mobile number I/we have provided for me/us or my/our adviser; (ii) by sending me/us or my/our adviser an email, SMS or other electronic communication providing a website reference or hypertext link to the notice, document or information; or (iii) by making the notice, document or information available on the website or an application or other online facilities as notified to me/us or my/our adviser from time to time;
- I/we acknowledge that I/we have read and understood the information relating to privacy and personal information contained in the relevant PDS;
- I am/we are aware that until I/we inform Ausbil otherwise, I/we will be taken to have consented to all the uses of my/our personal information (including marketing) as described in the PDS and as otherwise disclosed to me;
- I/we have consented to my/our financial adviser providing such further personal information to Ausbil as is required or reasonably deemed necessary by Ausbil under applicable law. Any personal information provided about a third party (if any) in connection with this form has been provided with their knowledge and informed consent;
- I/we understand that if I/we fail to provide any information requested in this 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 or transfer 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 or transfer 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 the 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 agree to notify Ausbil of any changes to your tax residency and/or that of any beneficial owners or controlling persons;
- monies transferred or 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.

Who needs to sign this form

Individual – where the investment is in one name, the account holder must sign.

Joint Holding – where the investment is in more than one name, all of the account holders must sign.

Companies – where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Trust – the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

Power of Attorney – if you have not already lodged the Power of Attorney with us, please attach an original certified copy of the Power of Attorney document that includes Certificate of Witness and Statement of Acceptance and original Certified Identification Document of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

- I/We the registered holder(s) and undersigned Seller(s) do hereby transfer the above name(s) hereafter, called the Buyer(s) or to the several buyers named in section 3/4 of the Transfer Form units as specified above and I/We the Buyer(s) do hereby agree to accept the said securities subject to the same conditions.
- I/We the registered holder(s) and undersigned Seller(s) hereby transfer the above units to the several transferees named in section 3/4 of the Transfer Form.
- I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which the transfer is signed.
- I/We the registered holder(s) and undersigned Seller(s) do hereby transfer the above name(s) hereafter, called the Buyer(s) or to the several buyers named in section 3/4 of the Transfer Form units as specified above and I/We the Buyer(s) do hereby agree to accept the said securities subject to the same conditions.
- I/We the registered holder(s) and undersigned Seller(s) hereby transfer the above units to the several transferees name in section 3/4 of the Transfer Form.
- I/We have not received any notice of revocation of the Power of Attorney by death of the grantor or otherwise, under which the transfer is signed.

Transferor/Seller Signature(s)

Signature of investor 1, director/company secretary or authorised signatory

Please print full name

Date of signature (DD/MM/YYYY)

/ /

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Sole director and company secretary
- ☐ Authorised signatory

Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date of signature (DD/MM/YYYY)

/ /

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Company secretary
- ☐ Authorised signatory

Transferee/Buyer Signature(s)

Signature of investor 1, director/company secretary or authorised signatory

Please print full name

Date of signature (DD/MM/YYYY)

/ /

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Sole director and company secretary
- ☐ Authorised signatory

Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date of signature (DD/MM/YYYY)

/ /

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Company secretary
- ☐ Authorised signatory