

# INITIAL APPLICATION FORM

**PERPETUAL TRUST SERVICES LIMITED ABN 48 000 142 049**  
**TRIUM MORPHIC ESG L/S GLOBAL FUND ARSN 626 053 398**

This Initial Application Form relates to a Product Disclosure Statement dated 15 August 2018 ("PDS") issued by Perpetual Trust Services Limited ABN 48 000 142 049, AFSL 236648, for the offer of units in the Trium Morphic ESG L/S Global Fund ("Fund"). Terms defined in the PDS have the same meaning in this Initial Application Form. The PDS contains important information about investing in the Fund, and you are advised to read the PDS before completing this Initial Application Form.

If you are an existing Unitholder(s) and this is an additional investment, please use the Additional Investment Form.

If you are a new investor, or if you are an existing Unitholder(s) and this investment is NOT in the same name(s) and fund as your existing account, please complete the sections of this Initial Application Form and the identification Forms noted below in Section 1. If you have not been provided with the identification form with this application you can obtain this at [www.morphicasset.com](http://www.morphicasset.com)

## 1. INVESTOR TYPE

Investor Type		Complete Sections	Please complete the required Identification Form and provide certified copies of the identification requested on the Identification Form
<input type="checkbox"/> Individual and Joint investors	A natural person or persons.	2,4,5,6,7, &8	Form A- Individuals
<input type="checkbox"/> Sole trader	A natural person operating a business under their own name with a registered business name.	3,4, 5,6,7, &8	Form A- Individuals
<input type="checkbox"/> Companies	A company registered as an Australian public company or an Australian proprietary company, or a foreign company.	3,4, 5,6,7, &8	For a Company complete the relevant form based on company type either Forms B or C.  All Beneficial Owners named on Form B or C must complete Form A.
<input type="checkbox"/> Trusts	Types of trusts include self-managed superannuation funds, registered managed investment schemes, unregistered	3,4, 5,6,7, &8	For the Trust complete either Form D or E; and

	wholesale managed investment schemes, government superannuation funds or other trusts (such as family trusts and charitable trusts).		For an Individual Trustee complete Form A; or For a Company Trustee complete Form B or C All Beneficial Owners named on Form D or E must complete Form A
<input type="checkbox"/> Partnership	A partnership created under a partnership agreement.	3,4, 5,6,7, &8	For the Partnership please complete Form F All Beneficial Owners named on Form F must complete Form A.
<input type="checkbox"/> Associations	Incorporated associations are associations registered under State or Territory based incorporated association statutes. Unincorporated associations are those of persons who are not registered under an incorporated associations statute and thus do not have the legal capacity to enter into agreements.	3,4, 5,6,7, &8	For the Association please complete Form G. All Beneficial Owners named on Form G must complete Form A.
<input type="checkbox"/> Registered co-operative	An autonomous association of persons united voluntarily to meet common economic, social and cultural needs and aspirations through a jointly-owned and democratically-controlled enterprise registered under a registry system maintained by a State or Territory. This investor type can include agricultural businesses such as a dairy co-operative.	3,4, 5,6,7, &8	For the Registered co-operative please complete Form H. All Beneficial Owners named on Form H must complete Form A.
<input type="checkbox"/> Government body	The government of a country, an agency or authority of the government of a country, the government of part of a country or an agency or authority of the government of part of a country.	3,4, 5,6,7, &8	For a Government body please complete Form I. All Beneficial Owners named on Form I must complete Form A.

## 2. INDIVIDUALS AND JOINT ACCOUNT HOLDERS INVESTOR DETAILS

	Applicant 1	Applicant 2 (if applicable)
<b>Investor Type</b>	<input type="checkbox"/> Individual	<input type="checkbox"/> Individual
<b>Title:</b>		
<b>Given Name:</b> <b>Surname:</b>		

<b>Occupation:</b>		
<b>Australian Tax File Number:</b>		
<b>Residential Address:</b> <b>Street address 1:</b> <b>Street Address 2:</b> <b>Suburb:</b> <b>State:</b> <b>Postcode:</b> <b>Country:</b>		
<b>Postal Address if different to Residential Address:</b> <b>Street address 1:</b> <b>Street Address 2:</b> <b>Suburb:</b> <b>State:</b> <b>Postcode:</b> <b>Country:</b>		
<b>Phone Number (business hours):</b>		
<b>Phone Number (non-business hours):</b>		
<b>Mobile Number:</b>		
<b>Email Address:</b>		
<b>Preferred contact method:</b>	<input type="checkbox"/> I consent to receive all investor correspondence from you by email to the email address provided. <input type="checkbox"/> I wish to receive all investor correspondence by post to the address provided in on this Application Form.	<input type="checkbox"/> I consent to receive all investor correspondence from you by email to the email address provided <input type="checkbox"/> I wish to receive all investor correspondence by post to the address provided in on this Application Form.

	<input type="checkbox"/> I nominate my financial advisor as noted in section 6 to receive all investor correspondence.	<input type="checkbox"/> I nominate my financial advisor as noted in section 6 to receive all investor correspondence.
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### 3. ALL OTHER ACCOUNT HOLDERS INVESTOR DETAILS

<b>Investor Type/Capacity:</b>	<input type="checkbox"/> Company <input type="checkbox"/> Sole Trader <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Association <input type="checkbox"/> Co-operative <input type="checkbox"/> Government Body <input type="checkbox"/> Other
<b>Full Name of Company/ Business if Sole Trader/ Trust (including Trustee details) / Partnership/Association/ Cooperative/ Government Body:</b>	
<b>Tax File Number:</b>	
<b>ABN (if applicable):</b>	
<b>Principle Business Activity:</b>	
<b>Address:</b> <b>Street address 1:</b> <b>Street Address 2:</b> <b>Suburb:</b> <b>State:</b> <b>Postcode:</b> <b>Country:</b>	
<b>Phone Number (business hours):</b>	
<b>Mobile Number:</b>	
<b>Fax Number:</b>	
<b>Email address:</b>	
<b>Preferred contact method:</b>	<input type="checkbox"/> I consent to receive all investor correspondence from you by email to the email address provided

- |  |   |
|--|---|
|  | <input type="checkbox"/> I wish to receive all investor correspondence by post to the address provided in on this Application Form. |
|--|---|

## 4. AUTHORISED REPRESENTATIVE DETAILS

Complete this section if you wish to appoint a person to act in a legal capacity as your authorised representative and to operate your investment in the Fund on your behalf. In general, an authorised representative can do everything you can do with your investment, except appoint another authorised representative.

We may act on the sole instructions of the authorised representative until you advise us in writing that the appointment of your authorised representative has terminated. We may also terminate or vary an appointment of an authorised representative by giving you 14 days prior notice.

If an authorised representative is a partnership or a company, any one of the partners or any Director of the company is individually deemed to have the powers of the authorised representative.

**Please attach a certified copy of your Power of Attorney.**

**For information on how to certify your document please refer to the Certification Information Sheet**

Given Name:	
Surname:	
Signature of Authorised Representative:	
Date:	

## 5. INVESTMENT DETAILS

Please specify a class if applying into a specific class (if applicable):	
Investment Amount: (Subject to minimums)	
Source of funds being invested (choose most relevant) <ul style="list-style-type: none"> <li><input type="checkbox"/> Retirement income</li> <li><input type="checkbox"/> Employment income</li> <li><input type="checkbox"/> Business activities</li> <li><input type="checkbox"/> Sale of assets</li> <li><input type="checkbox"/> Inheritance/gifts</li> <li><input type="checkbox"/> Financial investments</li> <li><input type="checkbox"/> Other</li> </ul>	

<p><b>Payment Method:</b></p> <p><input type="checkbox"/> <b>Cheque</b>  <b>PTSL as RE of Trium Morphic ESG L/S Global Fund</b></p> <p><input type="checkbox"/> <b>Direct Debit (See form attached if applicable)</b></p> <p><input type="checkbox"/> <b>Direct Credit/Electronic Funds Transfer</b>  <b>Account Name: Mainstream Fund Services As Custodian For Trium Morphic ESG LS Global Application Account</b>  <b>BSB: 082-401</b>  <b>Account Number: 195808818</b>  <b>Bank: National Australia Bank</b>  <b>Address: 105 Miller Street, North Sydney, NSW 2000</b>  <b>SWIFT: NATAAU3302S</b></p>	
<p><b>Distribution payment instructions (choose one payment instruction):</b></p> <p><input type="checkbox"/> <b>Please reinvest my distributions in the relevant Fund</b></p> <p><input type="checkbox"/> <b>Please pay my distributions directly to my nominated bank account</b></p>	
<p><b>Your Distribution Bank Account Details:</b></p> <p><b>Bank:</b></p> <p><b>Account Name:</b></p> <p><b>BSB:</b></p> <p><b>Account Number:</b></p>	
<p><b>If you wish to have a separate bank account for redemption payments please fill the below:</b></p> <p><b>Your Redemption Bank Account Details:</b></p> <p><b>Bank:</b></p> <p><b>Account Name:</b></p> <p><b>BSB:</b></p> <p><b>Account Number:</b></p>	

## 6. FINANCIAL ADVISOR DETAILS

**By filling out this section you nominate and consent the named Financial Advisor access to your information.**

<b>Advisor Name (full name):</b>	
<b>Name of Advisory Firm:</b>	
<b>Name of Dealer Group:</b>	
<b>AFSL or AFSL Representative Number:</b>	
<b>Address:</b> <b>Suburb:</b> <b>State:</b> <b>Postcode:</b> <b>Country:</b>	
<b>Phone Number (business hours):</b>	
<b>Mobile Number:</b>	
<b>Fax Number:</b>	
<b>Email address:</b>	
<b>If you have elected your financial advisor to receive all investor correspondence, please confirm the financial advisors preferred contact method:</b>	<input type="checkbox"/> I consent to receive all investor correspondence from you by email to the email address provided in section 6. <input type="checkbox"/> I wish to receive all investor correspondence by post to the address provided in section 6.
<b>By filling out this section you are providing consent for us to redeem a sufficient number of units from your net investment value, deducted quarterly, to pay the Financial Advisor the following fees:</b>	
<b>Flat % of remuneration per annum of:</b>	% (0-1.1% including GST)
<b>Dollar remuneration per annum of:</b>	\$ (including GST)

## 7. DECLARATION

I/we declare and agree each of the following:

- I/we have read the current PDS to which this application applies and have received and accepted the offer in it.
- My/our application is true and correct.
- I am/we are bound by any terms and conditions contained in the current PDS and the provisions of the constitution of the Fund as amended from time to time.
- I/we have legal power to invest.
- If this is a joint application, each of us agrees that our investment is as joint tenants. Each of us is able to operate the account and bind the other to any transaction including investments or withdrawals by any available method.
- If investing as trustee on behalf of a super fund or trust, I/we confirm that I am/we are acting in accordance with my/our designated powers and authority under the relevant trust deed. In the case of a super fund, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993.
- I/we acknowledge that none of Perpetual Trust Services Limited ABN 48 000 142 049 or any of their related entities, officers or employees or any related company or any of the appointed service providers including the investment manager and custodian guarantee the repayment of capital or the performance of the Fund or of any particular rate of return by the Fund.
- I/we agree to the anti-money laundering and counter-terrorism financing statements contained in the PDS. I/we agree to provide further information or personal details to Perpetual Trust Services Limited and the custodian if required to meet their obligations under any anti- money laundering and counter-terrorism law and regulations, and acknowledge that processing of my/our application may be delayed and will be processed at the unit price applicable for the business day on which all required information has been received and verified.
- I/we have read and understood the privacy disclosure as detailed in the PDS. I/we consent to my/our personal information being collected, held, used and disclosed in accordance with the privacy disclosure. I/we consent to Perpetual Trust Services Limited disclosing this information to my/our financial adviser (named in this form) for units in the Fund. Where the financial adviser no longer acts on my/our behalf, I/we will notify Perpetual Trust Services Limited of the change.
- If I/we have appointed an authorised representative, I/we release, discharge and indemnify Perpetual Trust Services Limited from any loss, expense, action or other liability which may be suffered by, brought against me/us or Perpetual Trust Services Limited for any action or omissions by the authorised representative whether authorised by me/us or not.
- If I/we have appointed a financial adviser, payment to the financial adviser of the amount stated in section 6, which includes any amounts invested under the Savings Plan.
- I/we certify that the information provided in the separate ID forms, including information relating to tax-related requirements, is reasonable based on verifiable documentation.

I/we acknowledge and agree that:

- Perpetual Trust Services Limited may be required to pass on my/our personal information or information about my/our investment to the relevant regulatory authorities, including for compliance with anti-Money laundering and counter-terrorism law and regulations as well as any tax-related requirements for tax residents of other countries.

Additional declaration and agreement for New Zealand investors:

- I/we received and accepted this offer in Australia or New Zealand.
- I/we understand that the PDS is not an investment statement under New Zealand law and that there are likely to be differences between the information provided in a PDS compared to an investment statement under New Zealand law.



## 8. SIGNATURES

Joint applicants must both sign. For Individual Trustee Trust/Superannuation Funds each individual Trustee must sign. For Corporate Trustee Trust/Superannuation Funds 2 Directors, a Director and Secretary or Sole Director must sign.

### Applicant 1

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Signature

Full Name

Date

Tick capacity (mandatory for companies):

- |  |  |
|--|--|
| <input type="checkbox"/> Sole Director and Company Secretary | <input type="checkbox"/> Non-corporate trustee |
| <input type="checkbox"/> Director                            | <input type="checkbox"/> Partner               |
| <input type="checkbox"/> Secretary                           |  |

### Applicant 2

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Signature

Full Name

Date

Tick capacity (mandatory for companies):

- |                                    |  |
|------------------------------------|--|
| <input type="checkbox"/> Director  | <input type="checkbox"/> Non-corporate trustee |
| <input type="checkbox"/> Secretary | <input type="checkbox"/> Partner               |

**Post your original signed Initial Application Form, Identification Forms and certified copies of your identification required to:**

**Mainstream Fund Services – Trium Morphic ESG L/S Global Fund**

**GPO Box 4968**

**Sydney NSW 2001**

**Please ensure that you have transferred your Application Monies, completed a direct debit request form or enclose a cheque for payment.**

**GUIDE TO COMPLETING THIS FORM**

- o This form is for AUSTRALIAN REGULATED TRUSTS only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.
- o For Trusts that are not subject to the oversight an Australian regulator, complete the UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM.
- o Collect information about the Trust and one Trustee. The identity of the Trust must be verified (not the Trustee).
- o Tax information must be collected from an authorised representative of the Trust
- o Complete all applicable sections of this form in BLOCK LETTERS.

**SECTION 1: REGULATED TRUST IDENTIFICATION PROCEDURE**

**Section 1.1: General Information**

Full name of Trust	<input type="text"/>
Country where trust established (only required if not Australia)	<input type="text"/>
Full business name of trustee in respect of the trust (if any)	<input type="text"/>

**Section 1.2: Type of Regulated Trust**

Tick ✓	Select one of the following type of Regulated Trust
<input type="checkbox"/>	<b>Self-Managed Superannuation Fund</b> Provide the SMSF's ABN <input type="text"/>
<input type="checkbox"/>	<b>Registered managed investment scheme</b> Provide Australian Registered Scheme Number (ARSN) <input type="text"/>
<input type="checkbox"/>	<b>Unregistered managed investment scheme</b> (Where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies) Provide the unregistered managed investment scheme's ABN <input type="text"/>
<input type="checkbox"/>	<b>Government superannuation fund</b> Provide name of the legislation establishing the fund <input type="text"/>
<input type="checkbox"/>	<b>Other regulated Trust</b> (A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund) Provide name of the regulator (e.g. ASIC, APRA, ATO) <input type="text"/> Provide the Trust's ABN or registration/licensing details <input type="text"/>

Other types of Trusts (e.g. family, unit, charitable, estate) or Trusts regulated by a foreign regulatory body should complete the **UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS IDENTIFICATION FORM**, rather than this form.

**SECTION 2: TRUSTEE IDENTIFICATION PROCEDURE (Please complete EITHER section 2.1 OR section 2.2)**

For Australian Regulated Trusts, identification information is required for one of the Trustees. This information is only required for one Trustee, even if the Trust has a number of Trustees. Please provide identification information for either an individual Trustee (section 2.1) or a corporate Trustee (section 2.2).

**Section 2.1: Individual Trustee (To be completed if the selected Trustee is an individual)**

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Residential Address (PO Box is <u>not</u> acceptable)		
Street	<input type="text"/>	
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	<input type="text"/>	

**OR**

**Section 2.2: Company Trustee** (To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then complete the FOREIGN COMPANY IDENTIFICATION FORM in addition to this form)

### 2.2.1 Company Details

Full name as registered by ASIC

ACN

Registered Office Address (PO Box is not acceptable)

Street

Suburb

State

Postcode

Country

Principal Place of Business (if any) (PO Box is not acceptable)

Street

Suburb

State

Postcode

Country

### 2.2.2 Company Type (Select one of the following company types)

- Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies), proceed to section 3
- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to section 2.2.3

### 2.2.3 Directors (To be completed for proprietary companies, not required for public companies as per 2.2.2)

Provide the names of all directors.

Full given name(s)

1

2

3

4

Surname





If there are more directors, provide details on a separate sheet and tick this box .

## SECTION 3: TAX INFORMATION

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 3 and can proceed to section 4.

### 3.1 Tax Status

Provide the Trust's Global Intermediary Identification Number (GIIN), if applicable

If the Trust is a Financial Institution but does not have a GIIN, provide its FATCA status (select  ONE of the following statuses)

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Exempt Beneficial Owner
- Non Reporting IGA Financial Institution  
(If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN)
- Nonparticipating Financial Institution
- Other (describe the Trust's FATCA status in the box provided)

**SECTION 4: REGULATED TRUST VERIFICATION PROCEDURE***Regulated Trust Verification procedure:**Information to be verified:*

- o Full name of the Trust*
- o That the Trust is a Self-Managed super fund; registered managed investment scheme, unregistered managed investment scheme, government superannuation fund or other regulated Trust, as applicable*

Tick ✓	Verification options (select one of the following options used to verify the Trust)
<input type="checkbox"/>	Perform a search of the ASIC, ATO or relevant regulator's website (e.g. "Super Fund Lookup" at www.abn.business.gov.au).
<input type="checkbox"/>	A copy of an offer document of the managed investments scheme (e.g. a copy of a Product Disclosure Statement)
<input type="checkbox"/>	A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website

**IMPORTANT NOTE:**

- **Attach a legible certified copy of the ID documentation used to verify the Trust OR**
- **Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section below and DO NOT attach copies of the ID Documents**

**SECTION 5: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT	Document 1	Document 2
Verified From	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document Issuer / Website		
Document Type / Search details		
Issue date / Search date		

By completing and signing this Record of Verification Procedure I declare that:

- an identity verification procedure has been completed in accordance with the AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative and
- the tax information provided is reasonable considering the documentation provided.

AFS Licensee Name	<input type="text"/>	AFSL No.	<input type="text"/>
Representative/ Employee Name	<input type="text"/>	Phone No.	<input type="text"/>
Signature	<input type="text"/>	Date Verification Completed	<input type="text"/>

**GUIDE TO COMPLETING THIS FORM**

- o This form is for AUSTRALIAN COMPANIES only. For companies incorporated outside of Australia use the FOREIGN COMPANIES IDENTIFICATION FORM.*
- o Complete one form for each company.*
- o Complete separate INDIVIDUAL ID Forms for each of the company's Beneficial Owners.*
- o Tax information must be collected from an authorised representative of the Company*
- o Complete all applicable sections of this form in BLOCK LETTERS.*

**SECTION 1: AUSTRALIAN COMPANY IDENTIFICATION PROCEDURE**

**1.1 General Information**

Full name as registered by ASIC

ACN

**Registered office address** (PO Box is NOT acceptable)

Street

Suburb  State  Postcode  Country

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

Street

Suburb  State  Postcode  Country

Companies incorporated outside of Australia should complete the **FOREIGN COMPANIES IDENTIFICATION FORM**, rather than this form.

**1.2 Company Type** (select ✓ only ONE of the following categories)

- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to 1.3
- Public** (companies whose name does not include the word Pty or proprietary), proceed to 1.4

**1.3 Directors** (Required for all Proprietary Companies as per 1.2, NOT required for Public Companies)

Provide the names of all directors.

	Full given name(s)	Surname
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

If there are more directors, provide details on a separate sheet and tick this box .

**1.4 Listing and Regulatory Details** (Select ✓ any of the following categories if applicable)

- Australian Public Listed company** (companies that are listed on an Australian financial market such as the ASX) *Proceed to Section 2*  
 Name of market / exchange
- Majority Owned Subsidiary of an Australian Public Listed company** (companies that are majority owned by an Australian company that is listed on an Australian financial market such as the ASX) *Proceed to Section 2*  
 Australian listed company name   
 Name of market / exchange
- Regulated company** (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees). *Proceed to Section 2*  
 Regulator name   
 Licence details (e.g. AFSL, ACL, RSE)

**1.5 Beneficial Ownership**

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed company or Regulated Companies as per 1.4.

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings)?

Yes  (Complete 1.5.1) No  (Complete 1.5.2)

**1.5.1 Shareholder Beneficial Owners**

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).

**Complete separate individual customer ID Forms for each of these individuals.**

Full given name(s)	Surname
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If Beneficial Owner name/s are provided above, proceed to section 2.

**1.5.2 Other Beneficial Owners**

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control\* the company.

\* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

**Complete separate individual customer ID Forms for each of these individuals.**

Full given name(s)	Surname	Role (such as Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box .

**SECTION 2: TAX INFORMATION**

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

**2.1 Tax Status**

Tick  **one of the Tax Status boxes below or on the next page** (if the company is a Financial Institution, please provide all the requested information below)

**A Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA / CRS purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the Company is a Financial Institution but does not have a GIIN, provide its FATCA status (select  ONE of the following statuses)

Deemed Compliant Financial Institution

Excepted Financial Institution

Exempt Beneficial Owner

Non Reporting IGA Financial Institution

Nonparticipating Financial Institution

Other (describe the company's FATCA status in the box provided)

If the company is a Financial Institution, please proceed to section 3 to complete the form.

**Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company or Australian Registered Charity** (Public listed companies or majority owned subsidiaries of Australian listed companies as per 1.4 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)

If the company type is listed above, please proceed to section 3 to complete the form.

Section 2.1 continues on the next page

**2.1 Tax Status**

**An Active Non-Financial Entity (NFE)** (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)

If the company is an Active NFE, please proceed to section 2.3 (Country of Tax Residency).

**Other** (Entities that are not previously listed – Passive Non-Financial Entities)

Please proceed to section 2.2 (Foreign Beneficial Owners).

**2.2 Foreign Beneficial Owners (Individuals)**

Are any of the company's Beneficial Owners tax residents of countries other than Australia? Yes  No

Tax Residency rules differ by country. Whether an individual is 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.

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in section 1.5).

Full given name(s)	Surname	Role (such as Director or Senior Managing Official)
<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"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box. .

Please proceed to section 2.3 (Country of Tax Residency).

**2.3 Country of Tax Residency**

Is the Company a tax resident of a country other than Australia? Yes  No

If Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

If No, please proceed to section 3 to complete the form.

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 an Employer Identification 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.

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

If there are more countries, provide details on a separate sheet and tick this box. .

- Reason A** The country of tax residency does not issue TINs to tax residents
- Reason B** The Company has not been issued with a TIN
- Reason C** The country of tax residency does not require the TIN to be disclosed

**SECTION 3: AUSTRALIAN COMPANY VERIFICATION PROCEDURE**

Identification documentation is to be provided to verify the information listed in the standard or simplified verification procedure described below. The simplified verification procedure is to be used for Australian Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies and Regulated companies as described in section 1.4 of this form. All other companies are to be verified according to the standard verification procedure.

<p><b>Standard verification procedure</b> Information to be verified:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The full name of the company as registered by ASIC</li> <li><input type="checkbox"/> Whether the company is registered as a proprietary or a public company</li> <li><input type="checkbox"/> The ACN issued to the company.</li> </ul>
---

Tick ✓	Verification options (select one of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC.

<p><b>Simplified verification procedure for an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (as described in section 1.4 of this form)</b> Information to be verified:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The full name of the company</li> <li><input type="checkbox"/> That the company is an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (whichever is applicable).</li> </ul>
---

Tick ✓	Verification options (select one or more of the following options used to verify the Company)
<input type="checkbox"/>	Perform a search of the relevant market/exchange.
<input type="checkbox"/>	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	A public document issued by the relevant company.

**IMPORTANT NOTE:**

- **Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per 1.5 AND**
- **Attach a legible certified copy of the ID documentation used to verify the company OR**
- **Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section below and DO NOT attach copies of the ID Documents**

**SECTION 4: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT DETAILS	Document 1	Document 2 (if required)
Verified From	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document Issuer / Website		
Public Document Type		
Issue date / Search date		

By completing and signing this Record of Verification Procedure I declare that:

- an identity verification procedure has been completed in accordance with the AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative;
- individual customer ID Forms have been provided for the company's Beneficial Owners (where applicable)
- the tax information provided is reasonable considering the documentation provided.

AFS Licensee Name	<input type="text"/>	AFSL No.	<input type="text"/>
Representative/ Employee Name	<input type="text"/>	Phone No.	<input type="text"/>
Signature	<input type="text"/>	Date Verification Completed	<input type="text"/>



**GUIDE TO COMPLETING THIS FORM**

- o Complete one form for each individual. Complete all applicable sections of this form in BLOCK LETTERS.
- o Tax information must be collected from the individual
- o Contact your licensee if you have any queries.

**SECTION 1: PERSONAL DETAILS**

Surname Date of Birth dd/mm/yyyy

Full Given Name(s)

Residential Address (PO Box is NOT acceptable)  
Street

Suburb State Postcode Country

**COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER**

Full Business Name (if any) ABN (if any)

Principal Place of Business (if any) (PO Box is NOT acceptable)  
Street

Suburb State Postcode Country

**SECTION 2: TAX INFORMATION**

*Tax Residency rules differ by country. Whether an individual is 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.*

Please answer **both** tax residency questions:

Is the individual a tax resident of Australia?      Yes     No

Is the individual a tax resident of another Country?    Yes     No

**If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.**

*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 a 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.*

1.	Country <input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" type="text"/>	If no TIN, list reason A, B or C	<input style="width: 90%;" type="text"/>
2.	Country <input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" type="text"/>	If no TIN, list reason A, B or C	<input style="width: 90%;" type="text"/>
3.	Country <input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" type="text"/>	If no TIN, list reason A, B or C	<input style="width: 90%;" type="text"/>

If there are more countries, provide details on a separate sheet and tick this box.

- Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed

**SECTION 3: VERIFICATION PROCEDURE**

Verify the **individual's** full name; and **EITHER** their date of birth or residential address.

- o Complete Part I (or if the individual does not own a document from Part I, then complete either Part II or III.)
- o Contact your licensee if the individual is unable to provide the required documents.

**PART I – ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS**

<b>Tick ✓</b>	Select ONE valid option from this section only
<input type="checkbox"/>	Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
<input type="checkbox"/>	Foreign passport or similar travel document containing a photograph and the signature of the person*

**PART II – ACCEPTABLE SECONDARY ID DOCUMENTS – should only be completed if the individual does not own a document from Part I**

<b>Tick ✓</b>	Select ONE valid option from this section
<input type="checkbox"/>	Australian birth certificate
<input type="checkbox"/>	Australian citizenship certificate
<input type="checkbox"/>	Pension card issued by Department of Human Services (previously known as Centrelink)
<b>Tick ✓</b>	<b>AND ONE</b> valid option from this section
<input type="checkbox"/>	A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
<input type="checkbox"/>	A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. <i>Block out the TFN before scanning, copying or storing this document.</i>
<input type="checkbox"/>	A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)
<input type="checkbox"/>	If under the age of 18, a notice that: was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school

**PART III – ACCEPTABLE FOREIGN PHOTOGRAPHIC ID DOCUMENTS – should only be completed if the individual does not own a document from Part I**

<b>Tick ✓</b>	Select ONE valid option from this section only
<input type="checkbox"/>	Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth*
<input type="checkbox"/>	National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued*

\*Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

**IMPORTANT NOTE:**

- **Either attach a legible certified copy of the ID documentation used to verify the individual (and any required translation) OR**
- **Alternatively, if agreed between your licensee and the product issuer, complete the Record of Verification Procedure section below and DO NOT attach copies of the ID Documents**

**SECTION 4: RECORD OF VERIFICATION PROCEDURE**

ID DOCUMENT DETAILS	Document 1	Document 2 (if required)
Verified From	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified Copy
Document Issuer		
Issue Date		
Expiry Date		
Document Number		
Accredited English Translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

By completing and signing this Record of Verification Procedure I declare that:

- an identity verification procedure has been completed in accordance with the AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative and
- the tax information provided is reasonable considering the documentation provided.

AFS Licensee Name

AFSL No.

Representative/ Employee Name

Phone No.

Signature

Date  
Verification  
Completed

## **Certifying your documents**

All documents must be provided in a certified copy format – in other words, a copy of the original document that has been certified by an eligible certifier.

A 'certified extract' means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described below.

Please note that we require the copy which was actually signed by the certifier (i.e. the original penned signature of the certifier).

### **People who can certify documents or extracts are:**

- A lawyer, being 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 magistrate, a chief executive officer of a Commonwealth court or a judge, registrar or deputy registrar of a court.
- A Justice of the Peace or a notary public (for the purposes of the Statutory Declaration Regulations 1993).
- An agent of the Australian Postal Corporation (APC) who is in charge of, or a permanent employee of the APC with 2 or more years of continuous service who is employed in or an office supplying postal services to the public.
- A police officer or an Australian consular officer or an Australian diplomatic officer (under the Consular Fees Act 1955).
- An officer with 2 or more continuous years of service with one or more financial institutions (under the Statutory Declaration Regulations 1993).
- A finance company officer with 2 or more continuous years of service with one or more financial companies (under the Statutory Declaration Regulations 1993).
- 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 with 2 or more years of continuous membership.