



Application Form

Maple-Brown Abbott Funds

WHO SHOULD COMPLETE THIS FORM?

- Investors opening a new account with Maple-Brown Abbott (existing investors need to complete the Additional Application Form, which is available at maple-brownabbott.com/document-library)
- Individuals or sole traders, investing on their own behalf
- Investments made by trustees of Self Managed Superannuation Funds (SMSF)
- Regulated & Unregulated Trusts
- Domestic & Foreign companies investing on their own behalf

Each applicant must complete the relevant section of the form and provide the identification documents required for verification purposes. All applicants should begin at section 1 and complete this Application Form and the relevant Customer Identification Form using capital letters.

HOW TO COMPLETE THIS FORM

-
- Step 1** Before submitting this form, please read and ensure you have understood the Product Disclosure Statement (PDS) and the Additional Information Booklet (AIB) for the fund(s) you wish to invest in which is available at maple-brownabbott.com/document-library. If you are unable to access the link or print the document, contact us on 1300 097 995.
- Units in a fund will only be issued following acceptance of a valid Application Form issued with the relevant PDS, with all required documents attached.
- Online applications:**
Please complete online and then print to sign using a black pen.
- Manual applications:**
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.
- Note:** Please ensure all relevant fields are completed.
-
- Step 2** **Collect and certify identification documents**
Please complete the relevant Customer Identification Form:
- Individuals (including Joint Holdings or Sole Traders) (**page 12**)
 - SMSFs (**page 18**)
 - Trusts & Companies (**page 22**)
-
- Step 3** **Tell us your foreign tax status**
Please complete the **Global Tax Reporting (FATCA/CRS)** information.
-
- Step 4** **Sign and send your documents to the below address.**
Please ensure you sign all relevant section of the form in accordance with the instructions provided.
You can return your forms by post to:
Maple-Brown Abbott
GPO Box 804, Melbourne VIC 3001
-
- Step 5** **Make your payment**
Please refer to **section 4** of the Application Form and follow the instructions on how to pay the application amount.
Your application cannot be processed until all relevant identification documents and funds are received.
-

IMPORTANT INFORMATION

- Please ensure all relevant fields are completed. If you do not complete all relevant sections your application may be rejected and returned to you for completion, resulting in a delay in processing your application.
- If you have any questions as you complete this form, please refer to the FAQs at the end of this form, or contact us on 1300 097 995.

Section 1 | Your investment objectives

The following questions may assist Maple-Brown Abbott in meeting its regulatory obligations by determining whether this financial product is being offered to the stated target market.

A. Was this investment made based on personal advice received from your financial adviser?

Yes - please ensure that details of your financial adviser are completed in section 6

No - please complete the questions below

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

Capital growth. You seek to invest in a product designed or expected to generate capital return over the investment timeframe. You prefer exposure to growth assets (such as shares or property) or otherwise seeks an investment return above the current inflation rate.

Capital preservation. You seek to invest in a product designed or expected to have low volatility and minimise capital loss. You prefer exposure to defensive assets that are generally lower in risk and less volatile than growth investments (this may include cash or fixed income securities).

Income distribution. You seek to invest in a product designed or expected to distribute regular and/or tax effective income. You prefer exposure to income-generated assets (this may include high dividend-yielding equities, fixed income securities and money market instruments).

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

Up to and including 2 years (i.e. Short term)

More than 2 years but less than 5 years (i.e. Medium term)

Equal to 5 years but less than 7 years (i.e. Medium to long term)

Equal to 7 years or more (i.e. Long term)

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

- | | |
|---------------------|--------------------------|
| Within one week | <input type="checkbox"/> |
| Within one month | <input type="checkbox"/> |
| Within three months | <input type="checkbox"/> |
| Within one year | <input type="checkbox"/> |

E. What percentage of your total investable assets are you directing into this fund (i.e. the total assets you have available for investment, excluding your residential home)? (select only one option)

- | | |
|----------------------------------|--------------------------|
| Solution/Standalone (up to 100%) | <input type="checkbox"/> |
| Major allocation (up to 75%) | <input type="checkbox"/> |
| Core component (up to 50%) | <input type="checkbox"/> |
| Minor allocation (up to 25%) | <input type="checkbox"/> |
| Satellite allocation (up to 10%) | <input type="checkbox"/> |

Note: Acceptance of your application should not be taken as a representation or confirmation that an investment in the fund is, or is likely to be, consistent with your intentions, objectives and needs as indicated in your responses to these questions. A copy of the Target Market Determination for each of the Maple-Brown Abbott Funds is available at maplebrownaabbott.com/document-library.

Section 2 | Investor details

What is the full legal name of the entity, individual or sole trader that will hold title of the units?

Full name of account designation

Section 3 | Investment details & Distribution instructions

Specify your initial application amount and indicate your distribution choice below.

Fund name	APIR	Fund minimum ¹ AUD\$	Investment amount AUD\$	Distribution option ² (indicate (X) one option per fund)	
				Pay to my bank a/c	Reinvest
Australian small companies					
Australian Small Companies Fund	MPL1241AU	\$20,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Australian value equities					
Australian Share Fund - Wholesale	ADV0046AU	\$100,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Australian Value Opportunities Fund	MPL1039AU	\$20,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Global listed infrastructure					
Global Listed Infrastructure Fund	MPL0006AU	\$20,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Global Listed Infrastructure Fund - Hedged	MPL0008AU	\$20,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Multi-asset					
Diversified Investment Trust	MPL0001AU	\$20,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ Minimum investment amounts may be varied at our discretion and we may decline an application in the Fund(s) without giving a reason.

² If you do not make an election, distributions will be reinvested.

Please indicate the source and origin of funds being invested

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

Section 4 | Payment of application amount

Select your payment method and complete the relevant section if applicable. All payments must be made in AUD.

EFT BPAY® (payment limit of \$250,000)

EFT	Electronic funds transfer
Account name:	OFS ARF Maple Brown Abbott Limited Applications Account
BSB:	083-001
Account number:	76-381-0597
Your reference:	please use the name of the investor

BPAY® - Telephone & Internet Banking

You can make your payment using telephone or internet banking.







You will need to quote the biller code and your investor number (for reference) when making this payment.

If this is your first application into a Maple-Brown Abbott Fund, we will notify you of your investor number once we have received your completed Application Form. Once you receive your investor number make your BPAY® payment immediately.

Initial applications made by BPAY® will be processed once we receive your funds. We will not issue units until we receive the money from your financial institution. Although your BPAY® transaction is processed from your financial institution account immediately, your funds may take some time to be transferred to us from your financial institution. Typically, if your BPAY® request is made before your financial institution's cut-off time (usually 5pm Sydney time), we will receive your funds the following Business Day.

Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account.

More info www.bpay.com.au ®Registered to BPAY Pty Ltd ABN 69 079 137 518

Fund name	BPAY® details
Maple-Brown Abbott Australian Share Fund - Wholesale	 Biller code: 310714 Reference number: Investor number
Maple-Brown Abbott Australian Small Companies Fund	 Biller code: 379974 Reference number: Investor number
Maple-Brown Abbott Australian Value Opportunities Fund	 Biller code: 364992 Reference number: Investor number
Maple-Brown Abbott Diversified Investment Trust	 Biller code: 310649 Reference number: Investor number
Maple-Brown Abbott Global Listed Infrastructure Fund	 Biller code: 310672 Reference number: Investor number
Maple-Brown Abbott Global Listed Infrastructure Fund - Hedged	 Biller code: 310680 Reference number: Investor number

Section 5 | Financial institution account details

Please provide your bank account details if you have selected to take your distribution in cash or wish to provide these details for future redemptions. We will only pay cash proceeds to a bank account in the name(s) of the investor(s). We will not make any payments into third party bank accounts.

Australian bank account details

Financial institution name <input type="text"/>	Branch name <input type="text"/>
Account name <input type="text"/>	
BSB number <input type="text"/>	Account number <input type="text"/>

NZ bank account details

Financial institution name

Financial institution address

Account number

Account name

SWIFT

If you do not provide bank account details, distributions will be reinvested.

Section 6 | 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

Operating your account

Do you want your financial adviser to be able to operate your account?

No

Yes - Please complete **section 7** (Authorised Representative of Investor)

In general, an appointed financial adviser can do everything you can do with your investment, except appoint another person to operate your account. It is important to tell us promptly if you no longer wish your financial adviser to operate your account, or if your financial adviser changes - we will keep accepting their instructions until you or they advise us in writing that the appointment has terminated.

We may suspend or terminate their appointment for any reason considered reasonable, and may change the terms on which they operate your account.

You indemnify us from any loss you or we suffer as a result of the actions of your appointed financial adviser, and agree to ratify their actions if we ask.

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

AFSL number

Adviser name

Authorised representative licence number

ABN

Address

Property/building name

Unit

Street number

Street name

Suburb

State

Postcode

Country

Phone

Mobile

Signature

Advisor stamp

Section 7 | Authorised representative of investor

Please complete this section if you wish to appoint an individual or individuals to act on your behalf in relation to your investment in the fund. If you have appointed an entity as your authorised representative, please contact us on 1300 097 995 to obtain the relevant Customer Identification Form.

7.1 Authorised representative details

Authorised representative 1

Title

Given name(s)

Surname

Mobile number (including country code)*

Email*

Signature

Authorised representative 2

Title

Given name(s)

Surname

Mobile number (including country code)*

Email*

All correspondence will be sent to the first email address provided above.

Signature

If you wish to appoint more than two authorised representatives, please complete the details on a separate sheet and attach to this application form.

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

7.2 How authorised representative may act in relation to the account?

Tick applicable

- Each authorised representative listed above may provide instructions in relation to the investment individually without the consent of the other
- All authorised representatives must act jointly to provide instructions in relation to the investment
- Other arrangement - please provide details

7.3 Verification procedure for authorised representatives who are individuals

For each authorised representative, please provide verification documents in accordance with the verification procedure in **section 2** of the Individual Customer Identification form. In addition, please provide evidence of each authorised representative's authority to act on behalf of the investor. Please tick the document(s) you have provided.

Verification documents - mandatory

A certified copy of ID as per the verification procedure in **section 2** of the Individual Customer Identification Form

Authorised representative's authority - one of the following (not required for a Financial Adviser listed in Section 6)

Certified copy of the authorising document (e.g. POA); or

A certified copy of a guardianship order; or

Other arrangement - please provide details

I confirm that the document authorising each authorised representative is still valid and has not been revoked

Section 8 | Communication

Automatic online account access

Online access enables you to view details of your investments (account balance, investment details and account statements). We will send you the necessary registration details by post once your application is processed.

Note: You may receive marketing material (e.g. market commentary, event invitations) from us, from time to time. Please indicate below if you do not wish to receive these communications.

Annual & semi-annual report

The annual and any semi-annual financial statements of the fund are available free on our website.

Marketing Material

You may receive information from us via mail, telephone, email or other electronic messaging service relating to market commentary, services or information that may be of interest to you. By providing us with your contact details you consent to being contacted by these methods for these purposes. Please indicate if you do not wish to receive marketing information from us.

Section 9 | Declarations & Acknowledgments

By signing this application form:

- I/We acknowledge that I/we have received, read in full and understood the current PDS including the AIB for the fund(s) I/we have selected and agree to be bound by the terms of the PDS and the terms of the relevant Constitution(s), each as supplemented, amended, replaced or re-issued from time to time
- I/We acknowledge that I/we have read and understand the target market determination for the fund and I/we consider the level of risk associated with holding an investment in the fund is appropriate for my/our individual risk and return profile
- I/We acknowledge that Maple-Brown Abbott Limited does not guarantee the capital value or the investment performance of any fund
- I/We acknowledge that investments in the fund(s) are subject to investment risks, including possible delays in repayment and loss of income and principal invested
- I/We acknowledge that I/we have read the section in the AIB titled 'Protecting your privacy' and agree that Maple-Brown Abbott may collect, use, disclose, and handle my/our personal information in the manner set out in that section
- I/We declare that all the details given on this Application Form are true and correct, and the relevant customer identification has been included
- I am/we are aware that failure to provide all necessary information and identification may delay the processing of my/our application
- I/We warrant that I/we am/are not a United States citizen(s) or a resident(s) of the United States for taxation purposes (US Person), nor do I/we act on behalf of or for the benefit of any US Person unless otherwise disclosed and I/we agree to promptly notify Maple-Brown Abbott if I/we become a US Person
- I/We will provide all identification and verification materials that may be required at any time for the purposes of complying with the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (AML/CTF Act)
- I/We will provide any representations that Maple-Brown Abbott may require at any time for the purposes of complying with its ongoing obligations under the United States of America legislation Foreign Account Tax Compliance Act 2010 or corresponding Australian legislation
- I/We acknowledge that the appointment of an authorised representative is governed by the terms set out in the AIB
- I/We acknowledge and agree that any information accessed by an online portal about my/our investment may not be reliable, accurate or secure, and should not be relied on when making investment decisions. To the extent permitted by law we are not liable for any error on any such online portal
- I/We confirm that, if I am/we are applying for units on behalf of another person, I/we have notified Maple-Brown Abbott that I/we are acting as a trustee or agent (as applicable) of the beneficial owner(s) and of the identity of the beneficial owner(s)
- I/We confirm that, if I am/we are natural person(s), I am/we are at least 18 years of age.

Section 10 | Signature(s)

Please refer below to the signature requirements based on the investor type.

Investor Type	Signature Requirement
Individual (including Joint Holding or Sole Trader)	All investors must sign
Individual Trustee(s)	All individual trustee(s) must sign
Trusts / Companies	Two (2) directors, or a director and a company secretary. If signed by authorised representative(s), the requirement is as per their delegation.

Signature 1

Signature

Date (DD/MM/YY) / /

Full name

Capacity

Investor 1	<input type="checkbox"/>
Director	<input type="checkbox"/>
Company Secretary	<input type="checkbox"/>
Trustee (individual)	<input type="checkbox"/>
Authorised Representative	<input type="checkbox"/>

Signature 2

Signature

Date (DD/MM/YY) / /

Full name

Capacity

Investor 2	<input type="checkbox"/>
Director	<input type="checkbox"/>
Company Secretary	<input type="checkbox"/>
Trustee (individual)	<input type="checkbox"/>
Authorised Representative	<input type="checkbox"/>

Signature 3

Signature

Date (DD/MM/YY) / /

Full name

Capacity

Investor 3	<input type="checkbox"/>
Director	<input type="checkbox"/>
Company Secretary	<input type="checkbox"/>
Trustee (individual)	<input type="checkbox"/>
Authorised Representative	<input type="checkbox"/>

Signature 4

Signature

Date (DD/MM/YY) / /

Full name

Capacity

Investor 4	<input type="checkbox"/>
Director	<input type="checkbox"/>
Company Secretary	<input type="checkbox"/>
Trustee (individual)	<input type="checkbox"/>
Authorised Representative	<input type="checkbox"/>



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.

Investor 1 - Personal details

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

Business name (if sole trader)

ABN (if any, for sole trader)

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

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
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Postal address (if different to residential address) - (A PO Box/RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

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

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

Contact details

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

Email*

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

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 - Personal details (only if there is more than one investor)

Title

Given name(s)

Surname

Date of birth (DD/MM/YYYY)

 / /

Occupation

Please provide your ABN (if any)

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

Property/building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

Postal address (if different to residential address) - (A PO Box/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 first email address provided above.

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

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 there are more than two individuals, please complete a separate Individual Customer Identification Form signed by each additional applicant and submit it together with this form.

2. VERIFICATION PROCEDURE

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 is acceptable

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 can't provide any document from option A, then please provide a certified copy* of one document from group 1 and one document from group 2.

GROUP 1

Birth Certificate or birth extract issued by an Australian State or Territory

Australian Government issued Citizenship Certificate

Current Pensioner Concession Card 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 1300 097 995.

*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	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

3.1.2 Individual - Investor 2

Are you a US resident for tax purposes?

No Yes - please tell us your TIN.

HELP

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	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

THIS IS THE END OF THIS SECTION. PLEASE ENSURE YOU HAVE COMPLETED ALL SECTIONS.



1. TRUST/FUND DETAILS

Full name of trust/superannuation fund

Full business name (if any) of the trustee in respect of the trust/superannuation fund

Country of establishment

Tax file number or exemption code

Australian Business Number (if any)

2. TRUSTEE DETAILS

Note: A Self-managed Super Fund (SMSF) must have a minimum of two (2) trustees and a maximum of six (6). The trustee/s can be either individual or corporate. Where the trustee is corporate, all members of the SMSF are directors of the corporate trustee. If there are more than four (4) trustees, please complete **section 2** of another application form and attach it to the main application form.

How many trustees does the SMSF have?

Type of trustee

Individual trustee (complete section 2.1) Corporate trustee (complete section 2.2 & 2.3)

2.1 Individual trustee(s) details

Individual trustee 1

Title Given name(s) Surname

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

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

Unit Street number Street name

Suburb State Postcode Country

Phone Mobile number (including country code)*

Email*

Individual trustee 2

Title Given name(s) Surname

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

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

Unit Street number Street name

Suburb State Postcode Country

Phone Mobile number (including country code)*

Email*

Individual trustee 3

Title Given name(s) Surname

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

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

Unit Street number Street name

Suburb State Postcode Country

Phone Mobile number (including country code)*

Email*

Individual trustee 4

Title Given name(s) Surname

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

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

Unit Street number Street name

Suburb State Postcode Country

Phone	Mobile number (including country code)*
<input type="text"/>	<input type="text"/>

Email*

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

2.2 Corporate trustee details

Full business name as registered by ASIC	ACN
<input type="text"/>	<input type="text"/>

Registered Office Address - (PO Box is not acceptable)

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

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

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

Contact person at trustee

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

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

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

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

Phone	Mobile
<input type="text"/>	<input type="text"/>

Email*

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

2.3 What type of company is the corporate trustee?

Public (companies whose name does NOT include the word Pty or proprietary; generally listed companies)

Proprietary (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies)

Please complete the director details below if you are an Australian proprietary company. Do not complete for public companies.

Directors details

How many directors are there?

Please provide below the full name of all the directors. If there are more than four directors, please complete the details on a separate sheet and attach to this application form.

Director 1

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Email*	Mobile number (including country code)*	
<input type="text"/>	<input type="text"/>	

Director 2

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Email*	Mobile number (including country code)*	
<input type="text"/>	<input type="text"/>	

Director 3

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Email*	Mobile number (including country code)*	
<input type="text"/>	<input type="text"/>	

Director 4

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Email*	Mobile number (including country code)*	
<input type="text"/>	<input type="text"/>	

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 Regulated Superannuation Funds

Are you a regulated superannuation fund?

I am the trustee of a regulated superannuation fund (this includes a self-managed superannuation fund)

HELP

Regulated superannuation fund means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled super trusts.

THIS IS THE END OF THIS SECTION. PLEASE ENSURE YOU HAVE COMPLETED ALL SECTIONS.

1. TRUST

Please complete this section if you are:

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

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

1.1 Trust details

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

Type of trust

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

Country in which the trust was established

Nature of business

1.2 Type of trust

1.2.1 Custodian

No - go to **1.2.2**

Yes - please complete the questions below.

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

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

Regulated trust

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

- No - go to **1.2.3**
- Yes - please tell us the ARSN.

Now go to **section 2**.

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

- No - go to **1.2.4**
- Yes - please provide the ABN for the unregistered managed investment scheme.

Trust ABN or registration/licence number

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

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

- No - go to **1.2.5**
- Yes - please tell us the name of the Act that establishes the fund

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

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

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

- No - go to **1.3**
- Yes - please provide the details below, then go to **section 2**.

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

Provide the Trust's ABN or registration/licensing details

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

Unregulated trusts

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

Trust ABN (if any)

Trust TFN (if any)

Now go to **1.3.1**.

1.3.1 Beneficiary details (class of beneficiaries)

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

No - please go to **1.3.2**

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

For a nominee or sub-custodian

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

1.3.2 Beneficiary details (specified beneficiaries)

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

Individual beneficiary 1

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

Individual beneficiary 2

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

Individual beneficiary 3

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

Individual beneficiary 4

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

Corporate Beneficiary 1

Company name	ACN
<input type="text"/>	<input type="text"/>

Corporate Beneficiary 2

Company name	ACN
<input type="text"/>	<input type="text"/>

Corporate Beneficiary 3

Company name	ACN
<input type="text"/>	<input type="text"/>

Corporate Beneficiary 4

Company name	ACN
<input type="text"/>	<input type="text"/>

1.3.3 Settlor details

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

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

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

Related body corporate

1.4 Trust verification procedures

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

- No - please go to **1.4.3**
- Yes - please go to **1.4.2**.

1.4.2 Verification procedure for regulated trusts

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

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

A letter confirming these details from an external lawyer or accountant

The relevant offer document for the scheme in English

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

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

Now go to **section 2**.

1.4.3 Verification procedure for unregulated trusts

Trust deed

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

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

Letter of compliance for nominees and sub-custodians

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

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

Now go to **section 2**.

2. TRUSTEE DETAILS

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

For **unregulated trusts**, please provide:

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

2.1 Type of trustee

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

The trustee is a company - go to **2.3**.

2.2 Individual trustee details

Individual trustee 1

Title Given name(s) Surname

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

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

Unit Street number Street name

Suburb State Postcode Country

Contact details

Phone Mobile number (including country code)*

Email*

Individual trustee 2

Title Given name(s) Surname

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

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

Unit Street number Street name

Suburb State Postcode Country

Contact details

Phone Mobile number (including country code)*

Email*

All correspondence will be sent to the first email address provided above.

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

2.3 Corporate trustee details

Corporate trustee 1

Company name ACN

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

Property/building name (if applicable)

Unit Street number Street name

Suburb State Postcode Country

Now go to **section 3**.

3. COMPANY DETAILS

Note: You must complete this section as though **Corporate trustee 1** listed above is the applicant.

Please complete this section if you are:

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

Full legal name of company as registered by ASIC ACN

Nature of business

Do you have an authorised signatories list (ASL)? No Yes - For the ASL to be valid, please provide all the requirements below

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

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

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

Do you have a verifying officer? No Yes - Please provide all of the following

Full name of verifying officer

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

Verifying officer residential address

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

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

I confirm I have:

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

Signature of Verifying Officer

Date (DD/MM/YY)

 / /

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

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

3.1 Australian company

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

Property/building name (if applicable)

Unit Street number Street name

Suburb State Postcode Country

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

Property/building name (if applicable)

Unit Street number Street name

Suburb State Postcode Country

Postal address (if different to above) - (A PO Box/RMB/Locked Bag is not acceptable)

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

Contact person at company

Name	
<input type="text"/>	
Phone	Mobile
<input type="text"/>	<input type="text"/>
Email*	
<input type="text"/>	

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

Now go to **3.3**.

3.2 Foreign company

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

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

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

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

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

Postal address (if different to registered office address) - (A PO Box/RMB/Locked Bag is not acceptable)

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

Contact person at company

Name

Phone (include country and area code)

Mobile (include country code)

Email*

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

Now go to **3.3**.

3.3 Type of company

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

Private/proprietary company - please go to **3.4**

Public company - please go to **3.5**.

3.4 Private/Proprietary company

Please complete the director details below if you are an Australian proprietary company or a foreign private company. Do not complete for public companies.

How many directors are there?

Please provide below the full name of all the directors. If there are more than four directors, please complete the details on a separate sheet and attach to this application form.

Director 1 Details

Title

Given name(s)

Surname

Email*

Mobile number (including country code)*

Director 2 Details

Title

Given name(s)

Surname

Email*

Mobile number (including country code)*

Director 3 Details

Title

Given name(s)

Surname

Email*

Mobile number (including country code)*

Director 4 Details

Title

Given name(s)

Surname

Email*

Mobile number (including country code)*

*This field is required. By providing this email address you agree to receive all investor correspondence (such as transaction confirmations, statements, reports and other materials) by email.

3.5 Public company

Are you an Australian listed company?

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

Listed company name

Market/exchange

Now go to 3.8.

3.6 Majority owned subsidiary of an Australian public listed company

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

No - please go to 3.7

Yes - please provide name of the parent listed company and the market/exchange on which the company is listed

Listed company name

Market/exchange

Now go to 3.8.

3.7 Regulated company

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

Are you a regulated company?

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

Regulator

Licence number

Now go to 3.8.

3.8 Verification procedures for regulated companies

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

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

3.9 Verification process for all other company types

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

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

4. BENEFICIAL OWNER

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

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

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

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

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

Listed company name

Market/exchange

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

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

4.1 Beneficial owner(s) details

Beneficial owner 1

Title

Given name(s)

Surname

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

Date of birth (DD/MM/YYYY)

Beneficial owner 2

Title

Given name(s)

Surname

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

Date of birth (DD/MM/YYYY)

Beneficial owner 3

Title

Given name(s)

Surname

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

Date of birth (DD/MM/YYYY)

Beneficial owner 4

Title

Given name(s)

Surname

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

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

4.2 Fallback procedure

If you are a company (investing on your behalf) or corporate trustee and cannot identify any beneficial owners, please complete 4.2.1.

4.2.1 Senior managing official

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

Title Given name(s) Surname

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

Company Title

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

Unit Street number Street name

Suburb State Postcode Country

4B Beneficial owner of the trust

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

You are exempt from completing this section if:

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

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

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

Title Given name(s) Surname

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

Company title

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

Unit Street number Street name

Suburb State Postcode Country

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

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

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

OPTION A

Provide a certified copy* of one of the following:

Current Australian Driver's Licence containing a photo of the person (scan the front and back)

Current Australian Passport or an Australian Passport that has expired within the preceding 2 years is acceptable

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 can't provide any document from option A, then please provide a certified copy* of one document from group 1 and one document from group 2.

GROUP 1

Birth Certificate or birth extract issued by an Australian State or Territory

Australian Government issued Citizenship Certificate

Current Pensioner Concession Card 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 1300 097 995.

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

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

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

Why you need to complete this section?

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

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

HELP

Tell me about tax residence

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

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

6.1 Companies and non-superannuation trusts

6.1.1 Are you a specified US person for tax purposes?

- No
- Yes - please tell us your TIN

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

- No
- Yes - please tell us which ones, using the following table

HELP

No TIN? Reasons we accept are:

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

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

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

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

6.1.3 Are you a financial institution?

Be careful - "Financial Institution" is broadly defined - see HELP box

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

HELP

What is a Financial Institution?

For further details about a Financial Institution, please refer to the ATO's AEOI Guidance - https://www.ato.gov.au/general/international-tax-agreements/in-detail/international-arrangements/automatic-exchange-of-information---crs-and-fatca/?page=2#2_Financial_institutions.

HELP

What is a GIIN?

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

For further details about the GIIN please refer to the IRS GIIN Composition Information -

Please refer to <https://www.irs.gov/businesses/corporations/fatca-registration-and-ffi-list-giin-composition-information>.

Where to now?

I ticked **yes** and completed my GIIN - go to **6.1.4**.

I ticked **yes** and I am a Managed Investment Entity in a non-CRS participating jurisdiction - If no, proceed to question **6.1.4**.

I ticked **yes** but did not write a GIIN - please tick below why you did not write a GIIN - then go to **6.1.4**.

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

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

No

Yes - this form is now complete.

6.1.5 Are you active or passive?

I am an 'active' non financial entity - this form is now complete.

I am a 'passive' non financial entity - go to **section 6.1.6**.

HELP

What is active and passive?

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

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

Generally, you will be an active NFE if:

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

If you are unsure whether you are an Active or Passive NFE, please get advice.

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

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

Complete the **controlling persons details** in the table below - then go to **section 11** and **12** of the application form. If there is not enough room in the table, please copy the page and attach it to your completed form.

I am passive, but **no** I do not have controlling persons who are resident of a country or jurisdiction other than Australia for tax purposes. It would be unusual to think of no-one. Please read the **HELP** box. If you are sure - go to **section 11** and **12** of the application form.

HELP

Controlling persons

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

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

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

Controlling person 1

Title Given name(s) Surname

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

Residential address

Unit Street number Street name

Suburb State Postcode Country

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 6.1.2 HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

Controlling person 2

Title Given name(s) Surname

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

Residential address

Unit Street number Street name

Suburb State Postcode Country

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 6.1.2 HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

Controlling person 3

Title Given name(s) Surname

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

Residential address

Unit Street number Street name

Suburb State Postcode Country

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 6.1.2 HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

Controlling person 4

Title Given name(s) Surname

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

Residential address

Unit Street number Street name

Suburb State Postcode Country

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See 6.1.2 HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

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 (NAATI) 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 or extracts certified	<p>Any document(s) requiring certification 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</p> <p>Signature of Certifier</p> <p>Name of Certifier</p> <p>Capacity of certifier - e.g. Justice of the Peace</p> <p>Date of certification (DD/MM/YYYY)</p>
List of occupations that can certify (from the Statutory Declaration Regulations 2018)	<ul style="list-style-type: none"> • Architect • Chiropractor • Dentist • Financial advisor 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 that 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 and • 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.