

# How To Invest & Application Form

Applications must be made on the Application Form attached to this Information Memorandum (**IM**). An Application Form must not be provided to a third party unless it is attached to, or accompanied by, this IM.

All relevant sections of the Application Form must be completed, if you have any queries with completing the Application Form please contact Newport Private Wealth Pty Ltd (**Trustee**) on 03 9866 6649 or [investorservices@newportpw.com](mailto:investorservices@newportpw.com)

The following is a guide to help complete the Application Form.

## Applicant Details

Applications must only be in the name of a natural person or persons, companies or other entities acceptable to the Trustee. All account designations are to use "<>" notations.

Please refer to the table below for the correct form of application names.

Type of Investor	Details	Correct Form	Signature Required
Individual	Use full names only	Mary Jane Smith	<ul style="list-style-type: none"><li>Signature of each applicant</li></ul>
Company	Use full company title	Smith Corporation Pty Ltd	<ul style="list-style-type: none"><li>by two directors, or</li><li>by a director and a secretary, or</li><li>if there is only one director by that sole director</li></ul>
Minor	Use name of parent/guardian	Mary Jane Smith <Mary Jane Smith>	<ul style="list-style-type: none"><li>signature of each parent/guardian</li></ul>
Trusts	Use name of trustees with the trust name in brackets	Smith Corporation Pty Ltd <Smith Family Trust>	<ul style="list-style-type: none"><li>signature of each trustee/individual</li><li>if trustee is a company see above</li></ul>
Superannuation Funds	Use names of trustees with the fund name in brackets	Smith Corporation Pty Ltd <Super Fund A/C>	<ul style="list-style-type: none"><li>signature of each trustee</li><li>if trustee is a company, see above</li></ul>
Partnerships	Use full partner names	Mary Smith and Sally Smith <Smith Sisters A/C>	<ul style="list-style-type: none"><li>signature of each applicant</li></ul>
Deceased Estates	Use executor(s) personal names, do not use name of deceased	John Smith <Est Jane Smith A/c>	<ul style="list-style-type: none"><li>signature of the executor</li></ul>

If you wish to invest in the Trust and you are an association, foreign company or government body, you will need to contact the Trustee about completing a different application form.

## **Contact Details**

Please insert contact details for all Applicants. Correspondence regarding investment in the Trust will be sent to the address provided.

## **Tax File Number**

Please insert the tax file number of each Applicant. Although Applicants do not legally have to provide their tax file number to the Trustee, the Trustee may be required to deduct amounts from distributions to those Applicants who do not provide tax file number details.

## **Payment**

Transfers may be made directly into the bank account of the Trust, whose details are listed on the Application Form attached to this document.

Applications will not be processed by the Trustee without an accompanying payment or confirmation of payment advice.

## **Cooling Off Period**

There is no cooling off period. Once an application has been received by the Trustee and accepted, the applicant is bound to become an Investor. The Trustee reserves the right to accept or reject applications at its absolute discretion. If an application is rejected, the Trustee will repay the application money to the applicant, less any applicable taxes and bank fees.

## **Lodgment**

Application Forms should be forwarded to:

Newport Private Wealth Pty Ltd  
PO Box 24075  
Melbourne, Vic 3001  
Email: [investorservices@newportpw.com](mailto:investorservices@newportpw.com)

# Application Form

This Application Form relates to the application for Units in Newport Diversified Income Trust (**Trust**) under the Information Memorandum dated 22 July 2020 (**IM**) issued by Newport Private Wealth Pty Ltd (**Trustee**). This form must be accompanied by Information Memorandum for the class when provided to any person. Unless otherwise defined, capitalised terms in this Application Form have the meaning given to them in the IM.

Please use black pen and print in CAPITAL LETTERS and ☒ where appropriate

## 1 Contact details

Please provide your contact details. If you have a financial advisor, we may contact your advisor first before contacting you about your application.

Title \_\_\_\_\_  
Given name(s) \_\_\_\_\_  
Surname \_\_\_\_\_  
Phone \_\_\_\_\_  
Email \_\_\_\_\_  
Postal address \_\_\_\_\_  
Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

We will upload relevant information, updates, disclosure documents, forms and reports to our website [www.newportw.com](http://www.newportw.com) and/or send to your email address nominated above.

Should you wish to opt out of our electronic disclosure, please contact us on 03 9866 6649

## 2 Investment details

Initial investment amount \$ \_\_\_\_\_

## 3 Investor details

What type of investor are you? Complete section:

- |  |                          |
|--|--------------------------|
| <input type="checkbox"/> Individual / joint holding                              | <b>A / A + B</b>         |
| <input type="checkbox"/> Australian Proprietary Company                          | <b>C + E</b>             |
| <input type="checkbox"/> Australian Public Company                               | <b>C</b>                 |
| <input type="checkbox"/> Unregulated trust <sup>1*</sup> with corporate trustee  | <b>C + D + E</b>         |
| <input type="checkbox"/> Unregulated trust <sup>1*</sup> with individual trustee | <b>A + D + E</b>         |
| <input type="checkbox"/> Regulated trust <sup>1*</sup> with corporate trustee    | <b>C + D</b>             |
| <input type="checkbox"/> Regulated trust <sup>1*</sup> with individual trustee   | <b>A + D</b>             |
| <input type="checkbox"/> Other (e.g. foreign companies and partnerships)         | <b>Please contact us</b> |

<sup>1\*</sup> A **Regulated trust** includes a SMSF, registered retail managed investment scheme and a wholesale managed investment scheme that doesn't make small scale offerings. Other trusts are **Unregulated Trusts**.

<sup>2</sup> Tax residency rules differ by country. You can be a tax resident of a country based on the amount of time you spend in that country, the location of your residence or place of work. Tax residence in the US can be as a result of citizenship or residency.

## A Individual investor or individual trustee

Title \_\_\_\_\_  
Given name(s) \_\_\_\_\_  
Surname \_\_\_\_\_  
Date of Birth [DD] / [MM] / [YY] \_\_\_\_\_  
Email \_\_\_\_\_  
Residential address \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Are you an Australian resident for tax purposes?

☐ **Yes** ☐ **No**, if no specify relevant countries

If you are Australian resident for tax purposes please insert your tax file number TFN \_\_\_\_\_

If you are a foreign resident<sup>2</sup> for tax purposes, do you have a tax identification number (TIN)?

☐ **Yes** -Please provide TIN for each country

Country \_\_\_\_\_ TIN \_\_\_\_\_

Country \_\_\_\_\_ TIN \_\_\_\_\_

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

Are you a Politically Exposed Person<sup>3\*\*</sup>? ☐ **Yes** ☐ **No**

## B Joint investor

Title \_\_\_\_\_  
Given name(s) \_\_\_\_\_  
Surname \_\_\_\_\_  
Date of Birth [DD] / [MM] / [YY] \_\_\_\_\_  
Email \_\_\_\_\_

Residential address ☐ Same as A, or specify below

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Are you an Australian resident for tax purposes?

☐ **Yes** ☐ **No**, if no specify relevant countries

<sup>3\*\*</sup> A **Politically Exposed Person** includes a head of state or government, government minister or senior politician, senior government official, judge, governor of a central bank or any other person who holds a position of influence with a reserve bank, senior foreign representative, high ranking member of the armed forces or board chair or senior executive of a state owned enterprise or the immediate family member or associate of any such persons.

If you are Australian resident for tax purposes please insert either tax file number TFN

If you are a foreign resident for tax purposes, do you have a tax identification number (TIN)?

☐ **Yes** -Please provide TIN for each country

Country TIN

Country TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

Are you a Politically Exposed Person<sup>2\*\*</sup>? ☐ Yes ☐ No

## C Australian Company or corporate trustee

Full company name/ corporate trustee name/  
sole trader business name

ABN or TFN or  
TFN exemption

ACN

Date registered

Is the Company an Australian resident for tax purposes?

☐ **Yes** ☐ **No**

If the Company is a foreign resident for tax purposes, does it have a tax identification number?

☐ **Yes** -Please provide for each country in which you are tax resident

Country and TIN

Country and TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ The Company not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

Company address

Suburb State Postcode

Principal place of business address (if different to above)

Suburb State Postcode

Business activities

Please provide a broad outline of the business activities of the company

Is the company/corporate trustee a proprietary or public company? ☐ Proprietary ☐ Public

If you are proprietary company, provide the full name of each director

Director 1 name

Director 2 name

Director 3 name

Director 4 name

If there are more directors, please attach.

Please provide the full name of each company secretary

Secretary 1 name

Secretary 2 name

If there are more secretaries, please attach details.

If you are a public company, are you a listed public company?

☐ **Yes** ☐ **No**

If you are a listed public company, please name the relevant market and details of your listing

## D Trusts

Trustee No. 1 Name

Trustee No. 1

Address

Suburb

State

Postcode

Trustee No. 2 Name

Trustee No. 2 Address

Suburb

State

Postcode

Are there additional trustees?

☐ Yes. Please attach a separate page to this application form with the details.

☐ No

Trust name

Business name of Trust

ABN, TFN of TFN exemption

Type of trust (eg family trust or SMSF)

Country in which trust was established

The nature of the activities or purpose of the trust

**Only complete the remaining part of section D if the trust is an Unregulated Trust<sup>1\*\*</sup>.**

Do the terms of the trust identify the beneficiaries by reference to membership of a class?

☐ Yes, what are the terms?

OR

☐ No, please provide the full name of each beneficiary

Are there additional beneficiaries?

☐ Yes. Please attach a separate page to this application form with the details. No ☐

Full name of settlor of trust?<sup>4\*\*\*</sup>

Is the Trust an Australian resident for tax purposes?

☐ **Yes** ☐ **No**

<sup>1\*</sup> A **Regulated trust** includes a SMSF, registered retail managed investment scheme and a wholesale managed investment scheme that doesn't make small scale offerings. Other trusts are **Unregulated Trusts**.

<sup>2\*\*</sup> A **Politically Exposed Person** includes a head of state or government, government minister or senior politician, senior government official, judge, governor of a central bank or any other person who holds a position of influence with a reserve bank, senior foreign representative, high ranking member of the

armed forces or board chair or senior executive of a state owned enterprise or the immediate family member or associate of any such persons.)

<sup>4\*\*\*</sup> You do not need to provide the name of the **Settlor** if you are a Regulated Trust or if the settlor of the trust is now deceased or if the settlor contributed to the trust at the time of its establishment a material asset contribution of less than \$10,000.

If the Trust is a foreign resident for tax purposes, does it have a tax identification number?

☐ **Yes** -Please provide for each country

Country and TIN

Country and TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ The Trust not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

## E Beneficial Ownership <sup>5\*\*\*\*</sup>

Please complete for each Beneficial Owner. If you are unable to ascertain the Beneficial Owners, please complete Decision Maker section below instead.

### Beneficial Owner 1 <sup>4\*\*\*\*</sup>

Name

Date of Birth [DD] / [MM] / [YY]

Residential address

Suburb State Postcode

Are you an Australian resident for tax purposes?

☐ **Yes** ☐ **No**, if no specify relevant countries

If you are a foreign resident for tax purposes, do you have a tax identification number?

☐ **Yes** -Please provide Country TIN  
Country TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

Are you a Politically Exposed Person<sup>1</sup>?

☐ **Yes** ☐ **No**

### Beneficial Owner 2 <sup>4\*\*\*\*</sup>

Name

Date of Birth [DD] / [MM] / [YY]

Residential address

Suburb State Postcode

Are you a Politically Exposed Person<sup>1</sup>?

☐ **Yes** ☐ **No**

Are you an Australian resident for tax purposes?

☐ **Yes** ☐ **No**, if no specify relevant countries

If you are a foreign resident for tax purposes, do you have a tax identification number?

☐ **Yes** -Please provide Country TIN  
Country TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

<sup>5\*\*\*\*</sup> If a Beneficial Owner is not an individual, please provide the Beneficial Ownership of that entity as well.

**Beneficial Owner** means an individual who ultimately 'Owns' or 'Controls' (directly or indirectly) the investor. **Owns** 'means ownership (either directly or indirectly) of 25% or more of a person. **'Control'** includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices,

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☐ The country of tax residency does not require the TIN to be disclosed

### Beneficial Owner 3 <sup>4\*\*\*\*</sup>

Name

Date of Birth [DD] / [MM] / [YY]

Residential address

Suburb State Postcode

Are you a Politically Exposed Person<sup>1</sup>?

☐ **Yes** ☐ **No**

Are you an Australian resident for tax purposes?

☐ **Yes** ☐ **No**, if no specify relevant countries

If you are a foreign resident for tax purposes, do you have a tax identification number?

☐ **Yes** -Please provide Country TIN  
Country TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

### Beneficial Owner 4 <sup>4\*\*\*\*</sup>

Name

Date of Birth [DD] / [MM] / [YY]

Residential address

Suburb State Postcode

Are you a Politically Exposed Person<sup>1</sup>?

☐ **Yes** ☐ **No**

Are you an Australian resident for tax purposes?

☐ **Yes** ☐ **No**, if no specify relevant countries

If you are a foreign resident for tax purposes, do you have a tax identification number?

☐ **Yes** -Please provide Country TIN  
Country TIN

☐ **No** -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

## Decision Maker

Only complete if you are unable to ascertain the Beneficial Owner. If you are a **company**, please provide name and address of any individual who is entitled to exercise 25% or more voting rights including power of veto, or holds the position of a senior management official (or equivalent).

If you are a **trust**, please provide the name and address of any individual who has the power to remove the trustee.

### Decision Maker 1

Name

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.'

In the case of a self-managed superannuation fund, details of each beneficiary must be provided.

Date of Birth [DD] / [MM] / [YY]

Residential address

Suburb State Postcode

Are you a Politically Exposed Person<sup>1</sup>?

☐ Yes ☐ No

Are you an Australian resident for tax purposes?

☐ Yes ☐ No, if no specify relevant countries

If you are a foreign resident for tax purposes, do you have a tax identification number?

☐ Yes -Please provide Country Country TIN TIN

☐ No -Please tick one of the following:

☐ The country of tax residency does not issue TINs;

☐ I have not been issued with a TIN; or

☐ The country of tax residency does not require the TIN to be disclosed

## Decision Maker 2

Name

Date of Birth [DD] / [MM] / [YY]

Residential address

Suburb State Postcode

Are you a Politically Exposed Person<sup>1</sup>?

☐ Yes ☐ No

Are you an Australian resident for tax purposes?

☐ Yes ☐ No, if no specify relevant countries

If you are a foreign resident for tax purposes, do you have a tax identification number?

☐ Yes -Please provide Country Country TIN TIN

☐ No -Please tick one of the following:

## 6 Declaration

Please read the IM before signing the Application Form. Note that company applicants usually require two signatures.

I/we declare and agree that:

- I/we have read the Information Memorandum (IM) dated 22 July 2020 for the Newport Diversified Income Trust - (Trust) to which this application applies and have received and accepted the offer in it, in Australia.
- My/our application is true and correct.
- I/we am/are bound by the provisions of the trust deed of the Trust as amended from time to time and this Application Form.
- I/we have legal power to invest.
- I/we authorise the Trustee to give information relating to my/our account and investment in that account to my/our adviser.
- If I/we have received the IM from the internet or other electronic means that I/we received it personally or a printout of it, accompanied by or attached to this Application Form.

- ☐ The country of tax residency does not issue TINs;
- ☐ I have not been issued with a TIN; or
- ☐ The country of tax residency does not require the TIN to be disclosed

## 4 How we make payments to you

Do you want us to reinvest your income distributions back into the Trust? ☐ Yes ☒ No

Please complete your bank account details below. Please note the account must be held in the name of the applicant. All payments are calculated and paid in Australian dollars.

Name of financial institution

Account name

BSB Account number

## 5 How to pay application money to us

These details are required so your payment can be matched to your Application Form. Please indicate which payment method you have used.

I am paying by (please choose one method only)

- ☒ **Electronic funds transfer**
- Please transfer funds electronically to the following account and send your completed application form to the Investor Registry

Bank: NAB

Account name: Newport Private Wealth ATF Newport Diversified Income Trust

BSB: 083004 Account number: 704623783

**Reference**  
(Name of Applicant)

It is important to include your **name as reference**. If we are unable to match your application to a payment your application may be delayed.

- If this is a joint application, each of us agrees, unless otherwise indicated on this application, that our investment is as joint tenants.
- Each of us who is able to operate the account will bind the other(s) to any transaction including investments, switches or withdrawals by any available method.
- This application is not resultant of an unsolicited meeting with or telephone call from another person.
- If investing as trustee on behalf of a superannuation fund or trust I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed. In the case of superannuation funds, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act.
- I/we acknowledge that an investment in the Trust does not represent an investment in or a deposit or other liability of the Trustee, Investment Manager or their related entities.
- I/we acknowledge that neither the Trustee, Investment Manager or of their officers, advisers, agents or associates in any way guarantee the performance of any of the Trust nor any return of capital.



- I/we acknowledge that the Trustee and its related bodies corporate may disclose and use personal information as contemplated in the Privacy disclosure in the IM and Trustee's Privacy Policy available at [www.newportpw.com](http://www.newportpw.com)
- By completing the Application Form you are providing personal information to the Trustee. Your personal information will be used to process your application and, if your application is successful, to administer and report on your unit holding in the Trust and the progress of the Trust's activities. Your personal information may also be provided to other persons to enable the Trustee to provide these services to you (e.g. service providers, consultants, and advisers), or to persons that you authorise to act on your behalf in relation to your investment (e.g. your financial adviser, accountant or lawyer). We may also disclose your personal information to others as permitted under the law.
- If you do not provide all or part of the information required by the application form, the Trustee will not be able to accept your application and you will not be able to acquire units in the Trust.
- If any of your personal details change please contact the Trustee at the address stated in this application form. You can also contact the Trustee to find out what personal information is held about you or if you have a complaint about the way in which your personal information has been handled.
- I/we acknowledge and agree that if I/we instruct the Trustee by electronic means (for example by email) I/we indemnify the Trustee all losses and liabilities arising from any payment or action the Trustee makes based on any instruction (even if not genuine) that the Trustee receives by an electronic communication which appears to indicate to the Trustee that the communication has been provided by me/us.
- I/we will provide to the Trustee or its nominee any information that the Trustee reasonably requires in order to enable the Trustee to comply with all its obligations under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 and its associated rules and regulations (in force from time to time).
- I/we acknowledge that investments in the Trust are subject to the risks outlined in section 5 of the IM and 3 of the SIM.
- I/we acknowledge that the information collected by the Trustee (including in this application form) may be used for identification purposes, including via a third party verification service, to enable the Trustee to comply with all its customer identification obligations under the Act and associated rules and regulations referred to above.
- I/we will provide the Trustee or its nominee any information that the Trustee reasonably requires in order to enable the Trustee to meet all of its compliance, reporting and other obligations under the United States of America Foreign Account Tax Compliance Act (**FATCA**) and all associated rules and regulations from time to time (including, without limitation, the Inter-Governmental Agreement (**IGA**) entered into between the governments of the US and Australia). I/We understand that the Trustee may disclose such information to the Australian Taxation Office (**ATO**) who may in turn disclose the information to the US Internal Revenue Service (**IRS**).
- I/we understand that where I/we have provided the Trustee or its nominee with information about my

status or designation under or for the purposes of FATCA (including, but without limitation, US residency or citizenship status and FATCA status as a particular entity type) and all associated rules and regulations, the Trustee will treat that information as true and correct without any additional validation or confirmation being undertaken by the Trustee except where it is under a legal obligation to do so.

If the application is signed by more than one person, who will operate the account: ☐ Any to sign ☐ All to sign together

Signature 1

Signature 2

Name

Name

Date

Date

Title

Title

If a company officer or trustee, you **MUST** specify your title

If a company officer or trustee, you **MUST** specify your title

☐ Director ☐ Sole director and company secretary

☐ Director ☐ Sole director and company secretary

☐ Trustee ☐ Other (please specify)

☐ Trustee ☐ Other (please specify)

# Identification Form

## Individual Verification details -

To be completed by all individuals listed in sections A, B and E of section 3 'Applicant details'.

### OPTION 1 — provide ONE original certified copy of one primary identification document

- ☐ **Valid Australian state or territory driver's licence** containing a photograph of the person
- ☐ **Australian passport** (a passport expired within the preceding two years is acceptable)
- ☐ **Card issued by a state or territory** for the purposes of providing a person's age containing a photograph of the person
- ☐ **Valid foreign passport** or similar travel document containing a photograph and the signature of the person (and if applicable, an English translation by an accredited translator)

### OPTION 2 — provide TWO original certified copies of secondary identification documents

One from **A** and one from **B**

#### Category **A**

- ☐ Australian birth certificate
- ☐ Australian citizenship certificate
- ☐ Foreign citizenship certificate (and if applicable, an English translation by an accredited translator)
- ☐ Foreign birth certificate (and if applicable, an English translation by an accredited translator)
- ☐ Pension card issued by Centrelink
- ☐ Health card issued by Centrelink
- ☐ Valid Medicare card

#### Category **B**

- ☐ **A document issued by the Commonwealth** or a state or territory within the preceding 12 months that records the provision of financial benefits
- ☐ **A document issued by the ATO** within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or the Commonwealth to the individual), which contains the individual's name and residential address (block out any TFN references)
- ☐ **A document issued by a local government body or utilities provider** within the preceding three months which records the provision of services to that address or to that person (must contain the individual's name and residential address)
- ☐ **Australian marriage certificate**

## Company Verification details -

To be completed by all entities who completed subsection C of section 3 'Applicant details'

### In respect of a private domestic Company please provide a copy of one identification document

- ☐ A current and historical company information Company Extract from the ASIC Connect website
- ☐ A current search of the Australian Business Register database
- ☐ An original certified copy of a certificate of registration

### In respect of a domestic listed company or its majority owned subsidiary and a company licensed and subject to the regulatory oversight of a Commonwealth or State regulator please provide a copy of one identification document

- ☐ A current and historical company information Company Extract from the ASIC Connect website
- ☐ A search of the relevant domestic stock exchange;
- ☐ A public document issued by the customer
- ☐ A search of the licence or other records of the relevant regulator

## Trust Verification details -

To be completed by all entities who completed subsection D of section 3 'Applicant details'

To be completed by Trust Applicants.  
Individual trustee also completes the individuals verification details, and Corporate trustee also complete the corporate verification details.

### OPTION 1 — Regulated Trusts Provide a copy of one identification document

- ☐ A search extract from the ASIC, ATO or relevant regulator's website (e.g. 'Super Fund Lookup' at [superfundlookup.gov.au](http://superfundlookup.gov.au))
- ☐ An original certified copy or extract of the trust deed

### Option 2 — Unregulated Trusts Provide an original certified copy of one identification document

- ☐ An original certified copy or extract of the trust deed
- ☐ A letter from a solicitor or qualified accountant that confirms the name of the trust and settlor (if relevant);
- ☐ An original bank statement in the name of the trust issued within the last 12 months;

## Wholesale investor

### Please specify how you qualify as a wholesale investor

- ☐ I have enclosed an accountant's certificate which demonstrates either:
  - I have net assets of \$2.5 million; or
  - I have gross income of \$250,000 for the previous two financial years.
- ☐ I am investing \$500,000 or more; or
- ☐ Other - Please specify



## What is a certified copy?

**Certified copies are true copies of original documents with an original certification from the certifier. A certified copy is a document that has been certified as a true copy of the original document by one of the following persons:**

- an officer with, or authorised representative of, a holder of an AFSL, having two or more continuous years of service with one or more licensees;
- an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declarations Regulations 1993 (Cth));
- a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declarations Regulations 1993 (Cth));
- a Justice of the Peace;
- a notary public (for the purposes of the Statutory Declarations Regulations 1993 (Cth));
- an agent of Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- a permanent employee of Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public;
- a member of The Institute of Chartered Accountants in Australia, CPA Australia or the Institute of Public Accountants with two or more years of continuous membership;
- 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 police officer; or
- an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955 (Cth)).

### What must the certifier do?

The certifier must confirm the copy is certified as a true copy of the original documentation and clearly state their name, category and date of certification. An example of appropriate certification wording is:

"I certify this (and the following pages each of which I have signed/initialled) to be a true copy of the document shown and reported to me as the original."

Please note certification is only accepted if within two years of date of application.

## Registrable names

Only legal entities (such as companies and superannuation funds, natural persons etc) are allowed to hold interests in the Fund. The application must be in the name(s) of natural person(s), companies or other legal entities acceptable to the Responsible Entity. For trusts, the name of the beneficiary or any other non-registrable name may be included by way of an account designation if completed exactly as described in the example of correctly registrable names shown below.

Type of investor	Correct form of registrable name	Incorrect form of registrable name
<b>Individuals</b>	Harry James Potter	H A Potter
<b>Companies</b> Use company name, do not use abbreviations	ABC Pty Limited	ABC P/L ABC Co
<b>Trusts</b> Use trustee(s) personal names, do not use name of the trust	Tim Connors ATF <Connors Family Trust>	Connors Family Trust
<b>Deceased Estates</b> Use executor(s) personal names, do not use name of the deceased	Alfred Smith <Est Alfred Smith A/c>	Estate of the Late Alfred Smith
<b>Clubs/unincorporated bodies/ business names</b> Use office bearer(s) name(s), in addition to name of the club etc	Alex Fein <ABC Bowls Association A/c>	ABC Bowls Association
<b>Superannuation funds</b> Use name of trustee of the fund, do not use name of the fund	Jane Smith Pty Limited ATF <Super Fund A/c>	Jane Smith Pty Limited Superannuation Fund