

# Wilson Asset Management

## Real Assets Fund

# WILSON ASSET MANAGEMENT REAL ASSETS FUND — A CLASS APPLICATION FORM

THIS APPLICATION FORM ACCOMPANIES THE PRODUCT DISCLOSURE STATEMENT (PDS)/INFORMATION MEMORANDUM (IM) RELATING TO UNITS IN THE FOLLOWING PRODUCT/S ISSUED BY EQUITY TRUSTEES LIMITED (ABN 46 004 031 298, AFSL 240975). THE PDS/IM CONTAINS INFORMATION ABOUT INVESTING IN THE FUND/TRUST. YOU SHOULD READ THE PDS/IM IN ITS ENTIRETY BEFORE APPLYING.

WILSON ASSET MANAGEMENT REAL ASSETS FUND — A CLASS

THE LAW PROHIBITS ANY PERSON PASSING THIS APPLICATION FORM ON TO ANOTHER PERSON UNLESS IT IS ACCOMPANIED BY A COMPLETE PDS/IM.

- IF COMPLETING BY HAND, USE A BLACK OR BLUE PEN AND PRINT WITHIN THE BOXES IN BLOCK LETTERS, IF YOU MAKE A MISTAKE, CROSS IT OUT AND INITIAL. DO NOT USE CORRECTION FLUID
- THE INVESTOR(S) MUST COMPLETE AND SIGN THIS FORM
- KEEP A PHOTOCOPY OF YOUR COMPLETED APPLICATION FORM FOR YOUR RECORDS

U.S. PERSONS: THIS OFFER IS NOT OPEN TO ANY U.S. PERSON. PLEASE REFER TO THE PDS/IM FOR FURTHER INFORMATION.

#### **Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)**

We are required to collect certain information to comply with FATCA and CRS, please ensure you complete section 7.

#### **If investing with an authorised representative, agent or financial adviser**

Please ensure you, your authorised representative, agent and/or financial adviser also complete Section 6.

#### **Provide certified copies of your identification documents**

Please refer to section 9 on AML/CTF Identity Verification Requirements.

#### **Send your documents & make your payment**

See section 2 for payment options and where to send your application form.

## SECTION 1 – YOUR CONSUMER ATTRIBUTES

To assist the RE in meeting the Design and Distribution Obligations, you are required to indicate the purpose of your investment by responding to each of the questions set out below. Your responses should reflect your objectives and needs for this Investment. Please tick **only 1 box** for each question below.

The below only needs to be answered where you are a **direct retail investor** (i.e., does not apply to Indirect or intermediated investments such as those made by platforms, custodians, etc.). **If you are not a retail investor you may be required to provide a wholesale certificate to support your application.**

Further information in relation to these questions can be found in the Target Market Determination (TMD) for the Fund. If you wish to access the TMD, please visit <https://www.eqt.com.au/insto/>

### 1. Have you received advice prior to applying to invest in the Fund?

- I/We have received personal advice in relation to my investment in this Fund
- I/We have not received any advice in relation to my investment in this Fund

### 2. What is your primary investment objective(s)?

- Capital growth     Capital preservation     Income Distribution

### 3. What percentage of your total investable assets are you directing to this fund?

- Solution/Standalone (up to 100%)     Major allocation (up to 75%)
- Core component (up to 50%)     Minor allocation (up to 25%)
- Satellite allocation (up to 10%)

### 4. Please select your Intended investment timeframe

- Short term (up to and including 2 years)     Medium term (More than 2 years but less than 5 years)
- Medium to long term (equal to 5 years but less than 7 years)     Long term (7 years or more)

### 5. What is your tolerance for risk?

- Low risk and return- I/we can tolerate up to 1 period of underperformance over 20 years and a low target return from this investment.     Medium risk and return - I/we can tolerate up to 4 periods of underperformance over 20 years and a moderate target return from this investment.
- High risk and return- I/we can tolerate up to 6 periods of underperformance over 20 years in order to achieve higher returns this investment.     Very High risk and return - I/we can tolerate more than 6 periods of underperformance over 20 years (high volatility and potential losses) in order to achieve accelerated returns from this investment.
- Extremely high – I/We can tolerate significant volatility and losses as I/we are seeking to obtain accelerated returns

### 6. Under normal circumstances, within what period do you expect to be able to access your funds for this investment?

- Within one week     Within one month
- Within three months     Within one year
- Within five years     Within ten years
- More than 10 years     At the Issuer's discretion

#### Please note:

1. Failure to complete the above questions may result in your application not being accepted;

2. 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; and
3. For further information on the suitability of this product, please refer to your financial adviser and/or the TMD

## SECTION 1.2 – ARE YOU AN EXISTING INVESTOR IN THE FUND/TRUST AND WISH TO ADD TO YOUR INVESTMENT?

Do you have an existing investment in the Fund/Trust and the information provided remains current and correct?

- Yes**, if you can tick both of the boxes below, complete Sections 2 and 8
- I/We confirm there are no changes to our identification documents previously provided and that these remain current and valid.
- I/We confirm there have been no changes to our FATCA or CRS status

Existing investor number:

If there have been changes in your identification documents or FATCA/CRS status since your last application, please complete the full Application Form as indicated below.

- No**, please complete sections relevant to you as indicated below:

### Investor Type:

- Individuals/Joint:** complete section 2, 3, 6 (if applicable), 7, 8 & 9
- Companies:** complete section 2, 4, 6 (if applicable), 7, 8 & 9
- Entities investing on behalf of underlying clients (Custodians, Platforms, Institutional entities) funds:** complete section 2, 4, 5, 5.1, 6 (if applicable), 7, 8 & 9
- Trusts/superannuation funds:**
- with an individual trustee – complete sections 2, 3, 5, 6 (if applicable), 7, 8 & 9
  - with a company as a trustee – complete sections 2, 4, 5, 6 (if applicable), 7, 8 & 9


If you are an Association, Co-operative, Partnership, Government Body or other type of entity not listed above, please contact Equity Trustees.



Account name	Boardroom Pty Limited itf Wilson Asset Management Real Assets Fund - Applications
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BPAY® - telephone & internet banking

Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account. More info: [www.bpay.com.au](http://www.bpay.com.au)

Fund name	 BPAY® biller code (see below) Reference no: Your Investor Account Number
Wilson Asset Management Real Assets Fund - Class A	388470

Please note: if you are investing in more than one Fund, you will need to make separate payments for each Fund.

® Registered to BPAY Pty Ltd ABN 69 079 137 518.

To comply with our AML/CTF Obligations please answer the following:

## SOURCE OF INVESTMENT

Please indicate the source of the investment amount (e.g. retirement savings, employment income):

## PURPOSE OF INVESTMENT

Please indicate the purpose of this investment:

- Wealth creation / long-term growth
- Retirement planning
- Capital preservation
- Income generation
- Tax planning
- Diversification of assets
- Saving for future expenses
- Other (Please specify)

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## SEND YOUR COMPLETED APPLICATION FORM TO:

WILSON ASSET MANAGEMENT REAL ASSETS FUND REGISTRY  
BOARDROOM PTY LIMITED  
UNITHOLDER SERVICES  
GPO BOX 3993  
SYDNEY NSW 2000

**Please ensure you have completed all relevant sections and signed the Application Form**

# SECTION 3 – INVESTOR DETAILS – INDIVIDUALS/JOINT

Please complete if you are investing individually, jointly or you are an individual or joint trustee.

See Group A AML/CTF Identity Verification Requirements in Section 9

## INVESTOR 1

Title	Full given names	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Please list any other names known by (if applicable)

Residential address (not a PO Box/RMB/Locked Bag)

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

Email address	Contact no.
<input type="text"/>	<input type="text"/>

Date of birth (DD/MM/YYYY)	Tax File Number* – or exemption code
<input type="text"/>	<input type="text"/>

Country of birth	Occupation
<input type="text"/>	<input type="text"/>

In the last 10 years, have you held a prominent public position or function in any government or international organisation, or are you an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details: \_\_\_\_\_

## INVESTOR 2

Title	Full given names	Surname
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Please list any other names known by (if applicable)

Residential address (not a PO Box/RMB/Locked Bag)

Suburb	State	Postcode	Country
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%; text-align: center;" type="text"/>	<input style="width: 100%;" type="text"/>

Email address	Contact no.
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Date of birth (DD/MM/YYYY)	Tax File Number* – or exemption code
<input style="width: 100%;" type="text"/>	<input style="width: 100%; text-align: center;" type="text"/>

Country of birth	Occupation
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

In the last 10 years, have you held a prominent public position or function in any government or international organisation, or are you an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details: \_\_\_\_\_

**IF THERE ARE MORE THAN 2 REGISTERED OWNERS, PLEASE PROVIDE DETAILS AS AN ATTACHMENT.**

## SECTION 4 – INVESTOR DETAILS – COMPANIES/CORPORATE TRUSTEE

Please complete if you are investing for a company or where the company is acting as trustee.

### See Group B AML/CTF Identity Verification Requirements in Section 9

Full company name (as registered with ASIC or relevant foreign registered body)

Registered office address (not a PO Box/RMB/Locked Bag)

Trading name, or any other business associated name (if applicable)

Provide description of industry/sector and, if applicable, products / services offered as a company

Suburb

State

Postcode

Country

Australian Company Number

Tax File Number\* – or exemption code

Australian Business Number\* (if registered in Australia) or equivalent foreign company identifier

### Contact Person

Title

Full given names

Surname

Email address

Contact no.

**Principal place of business:** If the principal place of business is the same as the registered office street address, state 'As above' below. Otherwise provide address details. For foreign companies registered with ASIC please provide a local agent name and address if you do not have a principal place of business in Australia.

**Principal Place of Business Address (not a PO Box/RMB/Locked Bag)**

Suburb

State

Postcode

Country

### Registration details

Name of regulatory body

Identification number (e.g. ARBN)

## COMPANY/CORPORATE TRUSTEE TYPE

**Australian Public Listed company** (companies that are listed on an Australian financial market such as the ASX)

Name of market / exchange \_\_\_\_\_

**Majority Owned Subsidiary of an Australian Public Listed company** (companies that are majority owned or otherwise controlled by an Australian company that is listed on an Australian financial market such as the ASX)

**Australian listed company name** \_\_\_\_\_

Name of market / exchange \_\_\_\_\_

**Regulated company** (companies that are, or are controlled by an entity that is, subject to oversight by a prudential, insurance or investor protection regulator through registration or licensing requirements (beyond that provided by ASIC as a company registration body). Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees). Please complete section 5.1 where acting as a designated service provider or equivalent.

Regulator name \_\_\_\_\_

Licence details (eg AFSL, ACL, RSE) \_\_\_\_\_

**Other regulated company** (eg companies that are controlled by a government body, or that are (or are controlled by) a corporation or association of homeowners in a strata title or community title scheme)

Provide reason / regulation type \_\_\_\_\_

### Controlling Persons, Directors and Beneficial Owners

All beneficial owners who own, hold or control either directly or indirectly 25% or more of the issued capital of a proprietary or private company that is not regulated i.e. does not have an AFSL or ACLN etc., will need to provide Group A AML/CTF Identity Verification Requirements specified in Section 9. In the case of an unregulated public company not listed on a securities exchange, provide the details of the senior managing official(s) as controlling person(s) (e.g. managing director, senior executive(s) etc. who is/are authorised to sign on the company's behalf, and make policy, operational and financial decisions) in the following sections. All proprietary and private companies, whether regulated or unregulated, must provide the names of all of the directors.

## NAMES OF THE DIRECTORS OF A PROPRIETARY OR PRIVATE COMPANY WHETHER REGULATED OR UNREGULATED

	Full Given Name(s)	Surname	Director ID	Please list any other names known by (if applicable)
1	_____	_____	_____	_____
2	_____	_____	_____	_____
3	_____	_____	_____	_____
4	_____	_____	_____	_____

In the last 10 years, have any of the above Directors held a prominent public position or function in any government or international organisation, or are you an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details:

\_\_\_\_\_

If there are more than 4 directors, please write the other names below.

## NAMES OF THE BENEFICIAL OWNERS (BO) OR SENIOR MANAGING OFFICIAL(S) (SMO)

	Full Given Name(s)	Surname	BO or SMO?	Please list any other names known by (if applicable)
1	_____	_____	BO <input type="checkbox"/> SMO <input type="checkbox"/>	_____
2	_____	_____	BO <input type="checkbox"/> SMO <input type="checkbox"/>	_____

**BENEFICIAL OWNER (BO) OR SENIOR MANAGING OFFICIAL 1**

Title	Full given names	Surname
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Please list any other names known by (if applicable)

Residential address (not a PO Box/RMB/Locked Bag)

Suburb	State	Postcode	Country
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%; text-align: center;" type="text"/>	<input style="width: 100%;" type="text"/>

Email address	Contact no.
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Date of birth (DD/MM/YYYY)	Tax File Number* – or exemption code
<input style="width: 100%;" type="text"/>	<input style="width: 100%; text-align: center;" type="text"/>

Country of birth	Occupation
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

In the last 10 years, have you held a prominent public position or function in any government or international organisation, or are you an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details:

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**BENEFICIAL OWNER (BO) OR SENIOR MANAGING OFFICIAL 2**

Title	Full given names	Surname
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Please list any other names known by (if applicable)

Residential address (not a PO Box/RMB/Locked Bag)

Suburb	State	Postcode	Country
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Email address	Contact no.
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Date of birth (DD/MM/YYYY)	Tax File Number* – or exemption code
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Country of birth	Occupation
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

In the last 10 years, have you held a prominent public position or function in any government or international organisation, or are you an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details:

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**If there are more than 2 beneficial owners or managing officials, please copy and complete this page for the other persons or alternatively, provide the additional details as an attachment.**



## BENEFICIARIES OF AN UNREGULATED TRUST

Please provide details below of any beneficiaries who directly or indirectly are entitled to an interest of 25% or more of the trust.

	Full Given Name(s)	Surname	Please list any other names known by (if applicable)
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____

In the last 10 years, have any of the above Beneficiaries held a prominent public position or function in any government or international organisation, or are an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details: \_\_\_\_\_

If there are no beneficiaries of the trust, describe the class of beneficiary (e.g. the name of the family group, class of unit holders, the charitable purpose or charity name): \_\_\_\_\_

### Settlor details

Please provide the full name and last known address of the settlor of the trust where the initial asset contribution to the trust was greater than \$10,000.

This information is not required as the initial asset contribution was less than \$10,000

This information is not required as the settlor is deceased

Settlor's full name and last known address

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# BENEFICIAL OWNERS OR CONTROLLING PERSON OF AN UNREGULATED TRUST

Please provide details below of any beneficial owner of the trust. A beneficial owner is any individual who directly or indirectly has a 25% or greater interest in the trust or is a person who exerts control over the trust. This includes the appointer of the trust who holds the power to appoint or remove the trustees of the trust.

## NAMES OF THE BENEFICIAL OWNERS

	Full Given Name(s)	Surname	Please list any other names known by (if applicable)
1			
2			

All beneficial owners will need to provide Group A AML/CTF Identity Verification Requirements in Section 9

## BENEFICIAL OWNER 1 OR CONTROLLING PERSON 1

Title	Full given names	Surname	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Please list any other names known by (if applicable)			
<input type="text"/>			
Residential address (not a PO Box/RMB/Locked Bag)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email address		Contact no.	
<input type="text"/>		<input type="text"/>	
Date of birth (DD/MM/YYYY)	Tax File Number* – or exemption code		
<input type="text"/>	<input type="text"/>		
Country of birth	Occupation		
<input type="text"/>	<input type="text"/>		

## BENEFICIAL OWNER 2 OR CONTROLLING PERSON 2

Title	Full given names	Surname
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Please list any other names known by (if applicable)

Residential address (not a PO Box/RMB/Locked Bag)

Suburb	State	Postcode	Country
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Email address	Contact no.
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Date of birth (DD/MM/YYYY)	Tax File Number* – or exemption code
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Country of birth	Occupation
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

In the last 10 years, have any of the above Beneficial Owners or Controlling Persons held a prominent public position or function in any government or international organisation, or are an immediate family member\* or close associate\*\* of someone who has? This includes positions in:

- Australian or foreign governments (local, state, territory, national)
- Courts or judicial bodies
- State owned enterprises
- Government departments or agencies
- International organisations (e.g., the UN, IMF, World Bank)

\*Immediate family member includes a spouse/partner, parent, child, or sibling.

\*\*Close associate includes someone you have a close business or personal relationship with.

No

Yes, please give details: \_\_\_\_\_

**If there are more than 2 Beneficial Owners or Controlling Persons, please copy and complete this page for the other persons or alternatively, provide the additional details as an attachment.**

# SECTION 5.1 – AML/CTF ATTESTATION FOR CUSTODIANS, PLATFORMS AND INSTITUTIONAL ENTITIES

Complete this section if you are applying or investing in a custodial, nominee, platform, or institutional capacity on behalf of underlying clients. If you have a Wolfsberg Questionnaire available, please provide a copy and only complete the questions in this section that are not covered in your Wolfsberg Questionnaire. Note that the Questionnaire must be relevant and current.

## REGULATORY STATUS

Primary financial Crime regulator, if not AUSTRAC please provide detail: \_\_\_\_\_

Has the entity been subject to AML/CTF-related regulatory action in the past 5 years?

- No
- Yes — provide details: \_\_\_\_\_

## NATURE OF BUSINESS & SERVICES

**Primary business activities (tick all that apply):**

- Custody
  - Platform / IDPS / Wrap
  - Fund administration
  - Registry services
  - Investment or portfolio management
  - Trustee services
  - Superannuation administration
  - Other (please specify)
- \_\_\_\_\_

**Products / services offered (tick all that apply):**

- Broker / dealer
- Cross-border remittances/ wire transfers
- Foreign currency conversion
- Trade finance
- Virtual assets / cryptocurrency
- (VASP-related services)
- Private banking
- Stored value / prepaid instruments
- Third-party payment services
- Cash handling / bulk cash
- Correspondent banking

**Does the entity or any of its branches operate under an Offshore Banking Licence (OBL)?**

- Yes - Please provide Branch(es)
- \_\_\_\_\_

- No

## CLIENT BASE & INVESTOR PROFILE – FOR UNDERLYING INVESTORS IN THIS FUND

### Approximate numbers:

(a) Total underlying investor accounts:

\_\_\_\_\_

(b) Assets under custody/administration (AUD): \_\_\_\_\_

Types of clients serviced (percentage breakdown):

Retail \_\_\_\_\_%

Wholesale/Sophisticated \_\_\_\_\_%

Institutional \_\_\_\_\_%

Foreign investors \_\_\_\_\_%

Government/Sovereign \_\_\_\_\_%

Other \_\_\_\_\_%

### Non resident exposure

Does  $\geq 10\%$  of your underlying client base consist of non resident clients?

No

Yes — list top 3–5 countries:

\_\_\_\_\_

### Downstream relationships

Do any of your clients provide services to their own underlying clients?

No

Yes — describe how these are identified and managed:

Percentage of customers identified as high risk: \_\_\_\_\_

## ACCOUNT STRUCTURE FOR THIS INVESTMENT

### Will assets be held via:

Segregated accounts

Omnibus / pooled nominee account

If omnibus:

(a) Are Underlying investors identifiable in your system?  Yes  No

(b) Can holdings be disaggregated to underlying investor level on request?  Yes  No

(c) Standard turnaround time for providing underlying KYC/BO information (business days)

## CUSTOMER DUE DILIGENCE (CDD) CONTROLS

### Enhanced Due Diligence (ECDD) conducted for high-risk clients?

Yes

No

### Higher-risk client categories serviced?

\_\_\_\_\_

### Source of Funds / Source of Wealth collected where required?

Yes

No

### Senior Manager approval required for high-risk clients?

No

Yes — Title:

\_\_\_\_\_

## ONGOING MONITORING, REPORTING & GOVERNANCE

Transaction monitoring program in place?

- Yes  
 No

Method:

- Automated  Manual  Combination

Vendor/system name: \_\_\_\_\_

Date of last calibration: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Suspicious Matter Reporting & tipping-off controls?

- Yes  
 No

Documented AML/CTF Program in place?

- Yes →

Last review/update: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

- No

Program reviewed/approved every 3 years by Senior Manager?

- Yes → Title: \_\_\_\_\_

- No

Designated AML/CTF Compliance Officer

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Compliance team size: \_\_\_\_\_

Total employees: \_\_\_\_\_

Outsourced AML/CTF functions?

- No  
 Yes — Vendor(s) & services: \_\_\_\_\_

Does the Board receive AML/CTF reporting annually?

- No  
 Yes — Describe: \_\_\_\_\_

Policies prohibiting:

(a) Anonymous/fictitious accounts

- Yes  No

(b) Unlicensed banks/financial institutions

- Yes  No

(c) Shell banks

- Yes  No

(d) Unlicensed remitters/money changers

- Yes  No

Fraud risk policy?

- Yes  No

Anti-bribery and corruption policy?

- Yes  No

Does the organisation conduct background checks (e.g., identity verification, criminal history, sanctions screening) on employees who can operate accounts or act on its behalf?

- Yes  No

If No, please explain: \_\_\_\_\_

Are any directors, senior managers, authorised signatories, or beneficial owners Politically Exposed Persons (PEPs), sanctioned individuals, or subjects of adverse media?

- Yes  No

If Yes, please provide details: \_\_\_\_\_

Does the organisation provide AML/CTF training to employees who manage accounts, authorise transactions, or interact with financial processes?

- Yes  No

If Yes, how often?  Annually

Bi-annually  Other: \_\_\_\_\_

## AML/CTF RISK ASSESSMENT

Enterprise-Wide AML/CTF Risk Assessment  
in place?

Yes →

Last update: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

No

Are controls referenced in the EWRA  
routinely tested?

Yes

No

EWRA reviewed at least every 3 years?

Yes

No

## INDEPENDENT REVIEW & QA

Independent AML/CTF review conducted?

Yes →

Last review date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

No

Outstanding findings?

Yes → Describe:

\_\_\_\_\_  
 No

Control testing / assurance program?

Yes → Describe:

\_\_\_\_\_  
 No

## DECLARATION

11.1 Are all responses representative of the entity and subsidiaries?

Yes

No → Clarify: \_\_\_\_\_

Additional relevant information: \_\_\_\_\_  
\_\_\_\_\_

## 11.2 Declaration

EQT does **not** rely on your customer due diligence (CDD).

Information provided below is for AML/CTF risk assessment only.

We agree to provide underlying client KYC/BO/SoF/SoW information upon request for the purpose of managing and meeting AML/CTF obligations.

**Authorised Signatory:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

## SECTION 6 – AUTHORISED REPRESENTATIVE, AGENT AND/OR FINANCIAL ADVISER

Please complete if you are appointing an authorised representative, agent and/or financial adviser.

See Group D AML/CTF Identity Verification Requirements in Section 9

I am an **authorised representative or agent** as nominated by the investor(s)

You must attach a valid authority such as Power of Attorney, guardianship order, grant of probate, appointment of bankruptcy etc. that is a certified copy. The document must be current and complete, signed by the investor or a court official and permits the authorised representative or agent to transact on behalf of the investor.

Full name of authorised representative or agent

---

Any other names the agent is known by is commonly known by

---

Role held with investor(s)

---

Signature

Date

---

I am a **financial adviser** as nominated by the investor

Name of  
adviser

AFSL number

Dealer group

Name of advisory  
firm

Postal  
address

Suburb

State

Postcode

Country

Email address

Contact no.

### Financial Advice (only complete if applicable)

The investor has received personal financial product advice in relation to this investment from a licensed financial adviser and that advice is current.

#### Financial Adviser Declaration

I/We hereby declare that the investor is not a US Person as defined in the PDS/IM.

I/We have attached the relevant CIP verification information;

I/We confirm that we have obtained investor consent for EQT and its service providers to verify their identity and screen their information against government and commercial data sources for the purpose of complying with the AML/CTF Act.

Signature

Date

## ACCESS TO INFORMATION

Unless you elect otherwise, your authorised representative, agent and/or financial adviser will also be provided access to your investment information and/or receive copies of statements and transaction confirmations. By appointing an authorised representative, agent and/or financial adviser you acknowledge that you have read and agreed to the terms and conditions in the PDS/IM relating to such appointment.

- Please tick this box if you DO NOT want your authorised representative, agent and/or financial adviser to have access to information about your investment.
- Please tick this box if you DO NOT want copies of statements and transaction confirmations sent to your authorised representative, agent and/or financial adviser.
- Please tick this box if you want statements and transaction confirmations sent ONLY to your authorised representative, agent and/or financial adviser.

# SECTION 7 – FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA), COMMON REPORTING STANDARD (CRS) SELF-CERTIFICATION FORM – ALL INVESTORS MUST COMPLETE

## SUB-SECTION I – INDIVIDUALS

Please fill this Sub-Section I only if you are an individual. If you are an entity, please fill Sub-Section II.

### 1. Are you a US tax resident (e.g. US citizen or US resident)?

Yes: provide your US Taxpayer Identification Number (TIN) and continue to question 2

Investor 1	_____
Investor 2	_____

No: continue to question 2

### 2. Are you a tax resident of any other country outside of Australia?

Yes: state each country and provide your TIN or equivalent (or Reason Code if no TIN is provided) for each jurisdiction below and skip to question 12

#### Investor 1

	Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1	_____	_____	_____
2	_____	_____	_____

#### Investor 2

	Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1	_____	_____	_____
2	_____	_____	_____

*If more space is needed, please provide details as an attachment.*

No: skip to question 12

#### Reason Code:

If TIN or equivalent is not provided, please provide reason from the following options:

- Reason A: The country/jurisdiction where the investor is resident does not issue TINs to its residents.
- Reason B: The investor is otherwise unable to obtain a TIN or equivalent number (Please explain why the investor is unable to obtain a TIN in the below table if you have selected this reason).
- Reason C: No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

If Reason B has been selected above, explain why you are not required to obtain a TIN:

Reason B explanation	
Investor 1	_____

Investor 2	
------------	--

**SUB-SECTION II – ENTITIES**

Please fill this Sub-Section II only if you are an entity. If you are an individual, please fill Sub-Section I.

**3. Are you an Australian complying superannuation fund?**

- Yes: skip to question 12
- No: continue to question 4

**FATCA**

**4. Are you a US Person?**

- Yes: continue to question 5
- No: skip to question 6

**5. Are you a Specified US Person?**

- Yes: provide your TIN below and skip to question 7  
\_\_\_\_\_
- No: indicate exemption type and skip to question 7  
\_\_\_\_\_

**6. Are you a Financial Institution for the purposes of FATCA?**

- Yes: provide your Global Intermediary Identification Number (GIIN)  
\_\_\_\_\_

If you do not have a GIIN, please provide your FATCA status below and then continue to question 7. If you are a sponsored entity, please provide your GIIN above and your sponsor’s details below and then continue to question 7.

- Exempt Beneficial Owner, provide type below:  
\_\_\_\_\_
- Deemed-Compliant FFI (other than a Sponsored Investment Entity or a Trustee Documented Trust), provide type below:  
\_\_\_\_\_
- Non-Participating FFI, provide type below:  
\_\_\_\_\_
- Sponsored Entity:

Sponsoring Entity’s name \_\_\_\_\_  
GIIN: \_\_\_\_\_

- Trustee Documented Trust:  
Trustee’s name \_\_\_\_\_  
GIIN \_\_\_\_\_

Other, provide details:  
\_\_\_\_\_

- No: continue to question 7

**CRS**

**7. Are you a tax resident of any country outside of Australia and the US?**

Yes: state each country and provide your TIN or equivalent (or Reason Code if no TIN is provided) for each jurisdiction below and skip to question 12

**Investor 1**

	Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1	_____	_____	_____
2	_____	_____	_____

**Investor 2**

	Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1	_____	_____	_____
2	_____	_____	_____

*If more space is needed, please provide details as an attachment.*

No: skip to question 12

**Reason Code:**

If TIN or equivalent is not provided, please provide reason from the following options:

- Reason A: The country/jurisdiction where the investor is resident does not issue TINs to its residents.
- Reason B: The investor is otherwise unable to obtain a TIN or equivalent number (Please explain why the investor is unable to obtain a TIN in the below table if you have selected this reason).
- Reason C: No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

If Reason B has been selected above, explain why you are not required to obtain a TIN:

Reason B explanation	
Investor 1	_____
Investor 2	_____

**8. Are you a Financial Institution for the purpose of CRS?**

Yes: specify the type of Financial Institution below and continue to question 9

Reporting Financial Institution

Non-Reporting Financial Institution:

Trustee Documented Trust

- Other: please specify: \_\_\_\_\_
- No: skip to question 10

**9. Are you an investment entity resident in a non-participating jurisdiction for CRS purposes and managed by another financial Institution?**

- Yes: skip to question 11
- No: skip to question 12

**Non-Financial Entities**

**10. Are you an Active Non-Financial Entity (Active NFE)?**

- Yes: specify the type of Active NFE below and skip to question 12:  
 Less than 50% of the entity's gross income from the preceding calendar year is passive income (e.g. dividends, distribution, interests, royalties and rental income) and less than 50% of its assets during the preceding calendar year are assets held for the production of passive income
- Corporation that is regularly traded or a related entity of a regularly traded corporation
- Provide name of Listed Entity: \_\_\_\_\_  
 and exchange on which traded: \_\_\_\_\_
- Governmental Entity, International Organisation or Central Bank
- Other: please specify: \_\_\_\_\_
- No: you are a Passive Non-Financial Entity (Passive NFE). Continue to question 11

**Controlling Persons**

**11. Does one or more of the following apply to you:**

- Is any natural person that exercises control over you (for corporations, this would include directors or beneficial owners who ultimately own 25% or more of the share capital) a tax resident of any country outside of Australia?
- If you are a trust, is any natural person including trustee, protector, beneficiary, settlor or any other natural person exercising ultimate effective control over the trust a tax resident of any country outside of Australia?
- Where no natural person is identified as exercising control of the entity, the controlling person will be the natural person(s) who holds the position of senior managing official.

- Yes. provide controlling person information below:

<b>Controlling person 1</b>								
Title	First name(s)	Surname						
Residential address (not a PO Box/RMB/Locked Bag)								
Suburb	State	Postcode		Country				
		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>						

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

Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C

1

2 

--	--	--

<b>Controlling person 2</b>			
Title	First name(s)	Surname	
Residential address (not a PO Box/RMB/Locked Bag)			
Suburb	State	Postcode	Country

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

	Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1			
2			

IF THERE ARE MORE THAN 2 CONTROLLING PERSONS, PLEASE PROVIDE DETAILS AS AN ATTACHMENT.

**Reason Code:**

If TIN or equivalent is not provided, please provide reason from the following options:

- Reason A: The country/jurisdiction where the investor is resident does not issue TINs to its residents.
- Reason B: The investor is otherwise unable to obtain a TIN or equivalent number (Please explain why the investor is unable to obtain a TIN in the below table if you have selected this reason).
- Reason C: No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

If Reason B has been selected above, explain why you are not required to obtain a TIN:

Reason B explanation	
Investor 1	_____
Investor 2	_____

**12. SIGNATURE AND DECLARATION – ALL INVESTORS MUST SIGN**

I undertake to provide a suitably updated self-certification within 30 days of any change in circumstances which causes the information contained herein to become incorrect.

I declare the information above to be true and correct.

**Investor 1**

Name of individual/entity

\_\_\_\_\_

–  
Name of authorised representative

**Investor 2**

Name of individual/entity

\_\_\_\_\_

–  
Name of authorised representative

---

–  
Signature

---

–  
Date

---

–

---

–  
Signature

---

–  
Date

---

–

## **SECTION 8 – DECLARATIONS – ALL INVESTORS MUST COMPLETE**

In most cases the information that you provide in this form will satisfy the AML/CTF Act, the US Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS). However, in some instances the Responsible Entity may contact you to request further information. It may also be necessary for the Responsible Entity to collect information (including sensitive information) about you from third parties in order to meet its obligations under the AML/CTF Act, FATCA and CRS.

### **When you complete this Application Form you make the following declarations:**

- I/We have received the PDS/IM and made this application in Australia (and/or New Zealand for those offers made in New Zealand).
- I/We have read the PDS/IM to which this Application Form applies and agree to be bound by the terms and conditions of the PDS/IM and the Constitution of the relevant Fund/Trust in which I/we have chosen to invest.
- I/we have carefully considered the features of Fund/Trust as described in the PDS (including its investment objectives, minimum suggested investment timeframe, risk level, withdrawal arrangements and investor suitability) and, after obtaining any financial and/or tax advice that I/we deemed appropriate, am/are satisfied that my/our proposed investment in the Fund/Trust is consistent with my/our investment objectives, financial circumstances and needs.\*
- I/We have considered our personal circumstances and, where appropriate, obtained investment and/or taxation advice.
- I/We hereby declare that I/we are not a US Person as defined in the PDS/IM.
- I/We acknowledge that (if a natural person) I am/we are 18 years of age or over and I am/we are eligible to hold units in the Fund/Trust in which I/We have chosen to invest.
- I/We acknowledge and agree that Equity Trustees has outlined in the PDS/IM provided to me/us how and where I/we can obtain a copy of the Equity Trustees Group Privacy Statement.
- I/We consent to the transfer of any of my/our personal information to external third parties including but not limited to fund administrators, fund investment manager(s) and related bodies corporate who are located outside Australia for the purpose of administering the products and services for which I/we have engaged the services of Equity Trustees or its related bodies corporate and to foreign government agencies for reporting purposes (if necessary).
- I/we hereby confirm that the personal information that I/we have provided to Equity Trustees is correct and current in every detail, and should these details change, I/we shall promptly advise Equity Trustees in writing of the change(s).
- I/We agree to provide further information or personal details to the Responsible Entity if required to meet its obligations under anti-money laundering and counter-terrorism legislation, US tax legislation or reporting legislation and acknowledge that processing of my/our application may be delayed and will be processed at the unit price applicable for the Business Day as at which all required information has been received and verified.
- If I/we have provided an email address, I/we consent to receive ongoing investor information including PDS/IM information, confirmations of transactions and additional information as applicable via email.
- I/We acknowledge that Equity Trustees does not guarantee the repayment of capital or the performance of the Fund/Trust or any particular rate of return from the Fund/Trust.
- I/We acknowledge that an investment in the Fund/Trust is not a deposit with or liability of Equity Trustees and is subject to investment risk including possible delays in repayment and loss of income or capital invested.
- I/We acknowledge that Equity Trustees is not responsible for the delays in receipt of monies caused by the postal service or the investor's bank.

- If I/we lodge a fax application request, I/we acknowledge and agree to release, discharge and agree to indemnify Equity Trustees from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from any fax application.
- If I/we have completed and lodged the relevant sections on authorised representatives, agents and/or financial advisers on the Application Form then I/we agree to release, discharge and indemnify Equity Trustees from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from Equity Trustees acting on the instructions of my/our authorised representatives, agents and/or financial advisers.
- If this is a joint application each of us agrees that our investment is held as joint tenants.
- I/We acknowledge and agree that where the Responsible Entity, in its sole discretion, determines that:
  - I/we are ineligible to hold units in a Fund/Trust or have provided misleading information in my/our Application Form; or
  - I/we owe any amounts to Equity Trustees, then I/we appoint the Responsible Entity as my/our agent to submit a withdrawal request on my/our behalf in respect of all or part of my/our units, as the case requires, in the Fund/Trust.
- **For Wholesale Clients\*** – I/We acknowledge that I am/we are a Wholesale Client (as defined in Section 761G of the Corporations Act 2001 (Cth)) and are therefore eligible to hold units in the Fund/Trust.
- **For New Zealand applicants\*** – I/we have read the terms of the offer relating to New Zealand investors, including the New Zealand warning statement.
- **For New Zealand Wholesale Investors\*** – I/We acknowledge and agree that:
  - I/We have read the “New Zealand Wholesale Investor Fact Sheet” and PDS/IM or “New Zealand Investors: Selling Restriction” for the Fund/Trust;
  - I am/We are a Wholesale Investor and am/are therefore eligible to hold units in the Fund/Trust; and
  - I/We have not:
    - Offered, sold, or transferred, and will not offer, sell, or transfer, directly or indirectly, any units in the Fund/Trust;
    - Granted, issued, or transferred, and will not grant, issue, or transfer, any interests in or options over, directly or indirectly, any units in the Fund/Trust; and
    - Distributed and will not distribute, directly or indirectly, the PDS/IM or any other offering materials or advertisement in relation to any offer of units in the Fund/Trust, in each case in New Zealand, other than to a person who is a Wholesale Investor; and
  - I/We will notify Equity Trustees if I/we cease to be a Wholesale Investor.

All references to Wholesale Investor in this Declaration are a reference to Wholesale Investor in terms of clause 3(2) of Schedule 1 of the Financial Markets Conduct Act 2013 (New Zealand).

**\* Disregard if not applicable.**

**\*Terms and conditions for collection of Tax File Numbers (TFN) and Australian Business Numbers (ABN)**

Collection of TFN and ABN information is authorised and its use and disclosure strictly regulated by tax laws and the Privacy Act. Investors must only provide an ABN instead of a TFN when the investment is made in the course of their enterprise. You are not obliged to provide either your TFN or ABN, but if you do not provide either or claim an exemption, we are required to deduct tax from your distribution at the highest marginal tax rate plus Medicare levy to meet Australian taxation law requirements.

For more information about the use of TFNs for investments, contact the enquiries section of your local branch of the ATO. Once provided, your TFN will be applied automatically to any future investments in the Fund/Trust where formal application procedures are not required (e.g. distribution reinvestments), unless you indicate, at any time, that you do not wish to quote a TFN for a particular investment. Exempt investors should attach a copy of the certificate of exemption. For super funds or trusts list only the applicable ABN or TFN for the super fund or trust.

**When you sign this Application Form you declare that you have read, agree to and make the declarations above**

**Investor 1**

**Investor 2**

Name of individual/entity

Name of individual/entity



Capacity (e.g. Director, Secretary, Authorised signatory)

Capacity (e.g. Director, Secretary, Authorised signatory)



Signature

Signature



Date

Date



Company Seal (if applicable)

## SECTION 9 – AML/CTF IDENTITY VERIFICATION REQUIREMENTS

The AML/CTF Act requires the Responsible Entity to adopt and maintain an Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) Program. The AML/CTF Program includes ongoing customer due diligence, which may require the Responsible Entity to collect further information and verification documents.

- Identification documentation provided must be in the name of the investor.
- Non-English language documents must be translated by an accredited translator. Provide both the foreign language document and the accredited English translation.
- Applications made without providing this information cannot be processed until all the necessary information has been provided.
- If you are unable to provide the identification documents described please contact Equity Trustees.

These documents should be provided as an original or a **CERTIFIED COPY** of the original.

### WHO CAN CERTIFY DOCUMENTS IN AUSTRALIA?

Certified copies must be certified by an authorised certifier as defined under the Statutory Declarations Regulations 2018 (Cth), or by an equivalent authorised person under applicable State or Territory law, refer to the following link: [STATUTORY DECLARATIONS REGULATIONS 2018 \(F2018L01296\) - SCHEDULE 2](#)

#### Certification Requirements

Where a customer is required to provide a **certified copy** of a document, it must be certified as a **true copy of the original** by an authorised certifier using wording conveys the same intent, such as:

**“I, [full name], as [occupation/qualifying position], certify that this [name of document] is a true copy of the original.”**

**[Signature, date, printed name, occupation].**

The document being certified must be **current**, where applicable (e.g. passports and driver licences with expiry dates).

In cases where an extract of a document is photocopied to verify customer ID, the authorised individual should write or stamp “certified true extract”.

### CERTIFICATION OF DOCUMENTS OUTSIDE AUSTRALIA

If certification occurs outside Australia, the document must be certified by:

- An Australian Consular Officer or Australian Diplomatic Officer under the Consular Fees Act 1955; or
- An authorised employee of Austrade or the Commonwealth in accordance with consular authorisations; or
- A Notary Public or local equivalent authorised to certify documents in that jurisdiction.

### ALTERNATIVE IDENTITY VERIFICATION MEASURES

A customer may be asked to provide the following as part of the verification process so that we can confirm the document belongs to the person presenting it and has not been altered:

- A clear photo of your identification document, and/or
- A photo of you holding the same identification document

### ELECTRONIC AND BIOMETRIC VERIFICATION

As part of our AML/CTF obligations, EQT or it's agents may verify your identity using electronic or biometric methods instead of, or in addition to, certified identification documents. This may include:

- Electronic identity verification, where your details are checked against reliable and independent data sources;
- Biometric verification, such as comparing a photo of your identification document to a self-captured image of you; and
- Use of the Australian Government's Identity Verification Services (IVS), which enable identity checks via official government data sources

To complete this process, we may send you (or your customer) a secure link to verify identity electronically. During electronic verification, we may use credit-header data (name, date of birth, and address information only) from credit reporting bodies as permitted under the AML/CTF Act and Privacy Act. This data does not affect your credit rating.

### INDIVIDUAL VERIFICATION PROCEDURE (USED WHEN AGENTS ARE IN PLACE)

To comply with the Privacy Act 1988 (Cth) and the AML/CTF Act, if you are acting as a designated service provider or agent for a customer as described in Section 6, you must complete the following verification record for each individual you have verified.

This information ensures that identity verification has been performed in a manner that is lawful, privacy-compliant, and consistent with the requirements for “reasonable steps” under the AML/CTF Rules. Please record the verification method used (documentary, electronic or biometric), the documents or data sources relied upon, and any additional checks undertaken.

In addition, please provide verification details for each beneficial owner or controlling person (senior managing official and shareholder) as listed under Group A.

Information to be verified <i>(select all which apply)</i>		Documentary or electronic verification	Description of verification document or process eg <i>driver's licence, passport, SafeID, etc.</i>	Document number / description of the document	Document issue date (if applicable)	Document expiry date (if applicable)
<input type="checkbox"/>	Full name*	<input type="checkbox"/> Documentary <input type="checkbox"/> Electronic				
<input type="checkbox"/>	Date of birth*	<input type="checkbox"/> Documentary <input type="checkbox"/> Electronic				
<input type="checkbox"/>	Residential address*	<input type="checkbox"/> Documentary <input type="checkbox"/> Electronic				
<input type="checkbox"/>	If the individual is acting as an agent, their authority to act	<input type="checkbox"/> Documentary <input type="checkbox"/> Electronic				

## GROUP A – Individuals/Joint

Each individual investor, individual trustee, beneficial owner, or individual agent or authorised representative must provide one of the following primary photographic ID:

- A current Australian driver's licence (or foreign equivalent) that includes a photo and signature.
- An Australian passport (not expired more than 2 years previously).
- A foreign passport or international travel document (must not be expired)
- An identity card issued by a State or Territory Government that includes a photo.

If you do NOT own one of the above ID documents, please provide one valid option from Column A and one valid option from Column B.

### Column A

- Australian birth certificate.
- Australian citizenship certificate.
- Pension card issued by Department of Human Services.

### Column B

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document.
- A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).
- We may accept alternative identification documents for customers who are unable to reasonably provide standard forms of identification. Any alternative documents must still allow EQTHL to verify the customer's **full name**, **date of birth**, and **residential address** (including non-standard or community-based formats). Alternative identification may be accepted for:
  - Children under 18
  - Individuals in aged care or long-term hospital care
  - Aboriginal and Torres Strait Islander customers
  - Recently-arrived refugees
  - Individuals affected by natural disasters or with limited access to documentation
  - Individuals recently released from correctional facilities

Contact us for more details.

## GROUP B – Companies

For Australian Registered Companies, provide one of the following (must clearly show the Company's full name, type (private or public) and ACN):

- A certified copy of the company's Certificate of Registration or incorporation issued by ASIC.
- A copy of information regarding the company's licence or other information held by the relevant Commonwealth, State or Territory regulatory body e.g. AFSL, RSE, ACL etc.
- A full company search issued in the previous 3 months or the company's last annual statement issued by ASIC.
- If the company is listed on an Australian securities exchange, provide details of the exchange and the ticker (issuer) code.
- If the company is a majority owned subsidiary of a company listed on an Australian securities exchange, provide details of the holding company name, its registration number e.g. ACN, the securities exchange and the ticker (issuer) code.

All of the above must clearly show the company's full name, its type (i.e. public or private) and the ACN issued by ASIC.

For Foreign Companies, provide one of the following:

- A certified copy of the company's Certificate of Registration or incorporation issued by the foreign jurisdiction(s) in which the company was incorporated, established or formed.
- A certified copy of the company's articles of association or constitution.
- A copy of a company search on the ASIC database or relevant foreign registration body.
- A copy of the last annual statement issued by the company regulator.

All of the above must clearly show the company's full name, its type (i.e. public or private) and the ARBN issued by ASIC, or the identification number issued to the company by the foreign regulator.

### **In addition, please provide verification documents for each beneficial owner or controlling person (senior managing official and shareholder) as listed under Group A.**

A beneficial owner of a company is any person entitled (either directly or indirectly) to exercise 25% or more of the voting rights, including a power of veto, or who holds the position of senior managing official (or equivalent) and is thus the controlling person.

## GROUP C – Trusts

For a Registered Managed Investment Scheme, Government Superannuation Fund or a trust registered with the Australian Charities and Not-for-Profit Commission (ACNC), or a regulated, complying Superannuation Fund, retirement or pension fund (including a self-managed super fund), provide one of the following:

- A copy of the company search of the relevant regulator's website e.g. APRA, ASIC or ATO.
- A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.
- A copy from the ACNC of information registered about the trust as a charity
- Annual report or audited financial statements.
- A certified copy of a notice issued by the ATO within the previous 12 months.
- A certified copy of an extract of the Trust Deed (i.e. cover page and signing page and first two pages that describes the trust, its purpose, appointer details and settlor details etc.)

For all other Unregulated trust (including a Foreign trust), provide the following:

A certified copy of an extract of the Trust Deed (i.e. cover page and signing page and first two pages that describes the trust, its purpose, appointer details and settlor details etc.)

**If the trustee is an individual, please also provide verification documents for one trustee as listed under Group A.**

- If the trustee is a company, please also provide verification documents for a company as listed under Group B.**

## GROUP D – Authorised Representatives and Agents

In addition to the above entity groups:

- If you are an **Individual Authorised Representative or Agent** – please also provide the identification documents listed under Group A.
- If you are a **Corporate Authorised Representative or Agent** – please also provide the identification documents listed under Group B.

All Authorised Representatives and Agents must also provide a certified copy of their authority to act for the investor e.g. the POA, guardianship order, Executor or Administrator of a deceased estate, authority granted to a bankruptcy trustee, authority granted to the State or Public Trustee etc.

## Section 10 – Glossary

Custodian – means a company that:

- a) is acting in the capacity of a trustee; and
- b) is providing a custodial or depository service of the kind described in item 46 of table 1 in subsection 6(2) of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act); and
- c) either:
  - i. holds an Australian financial services licence authorising it to provide custodial or depository services under the Corporations Act 2001; or
  - ii. is exempt under the Corporations Act 2001 from the requirement to hold such a licence; and
- d) either:
  - i. satisfies one of the 'geographical link' tests in subsection 6(6) of the AML/CTF Act; or
  - ii. has certified in writing to the relevant reporting entity that its name and enrolment details are entered on the Reporting Entities Roll; and
- e) has certified in writing to the relevant reporting entity that it has carried out all applicable customer identification procedures and ongoing customer due diligence requirements in accordance with Chapter 15 of the AML/CTF Rules in relation to its underlying customers prior to, or at the time of, becoming a customer of the reporting entity.