

# Ares Diversified Credit Fund – Application Form

Issued by Fidante Partners Limited (ABN 94 002 835 592, AFSL 234668) referred to as 'Fidante Partners' in this form.

**Dated 12 August 2021**

Use this Application Form if you are a Wholesale Investor (as defined by the Corporations Act 2001 (Cth)).

To qualify as a Wholesale Investor you must satisfy one of the criteria below. Please indicate (X) which one applies.

I am investing at least \$500,000 ► Please proceed to section 1 of the application form.

OR

I am investing under \$500,000 and have a Wholesale Client Certificate from an accountant confirming I meet the general wholesale test for assets and/or income ► Please proceed to section 1 of the application form.

If you do not meet one of the above criteria, please contact us on 13 51 53.

## Customer identification

You are required to complete the customer identification requirements outlined in this application form and accompanying Identity Verification Form (if applicable).

## Checklist

Before sending us your application, please ensure you have:

- ✓ completed this form in full;
- ✓ complete the customer identification requirements outlined in this application form, and if applicable, the accompanying Identity Verification Form;
- ✓ attached supporting documentation that confirms your Wholesale Investor status; and
- ✓ read the declaration and provided all relevant signatures.

## How to submit your Application Form

Completed Application Forms, accompanying Identity Verification Forms and Wholesale Investor Status confirmations can be uploaded via our secure online lodgement portal (<https://www.fidante.com/myepost>) or by post to the address below:

Fidante Partners  
Reply Paid 86049  
Sydney NSW 2001 (no stamp required)

**If you have any questions regarding this form please contact our Investor Services Team on 13 51 53.**





**4. Postal address and contact details**

C/- (if applicable)

Unit number  Street number  PO Box

Street name

Suburb

State  Postcode  Country

Phone (after hours)  Phone (business hours)

Mobile  Facsimile

Email

**5. Residential address (for individual Investors)**

Is the residential address the same as the postal address? Yes  (go to section 5) No  (provide below)

**5A. Investor 1**

Unit number  Street number

Street name

Suburb

State  Postcode  Country

**5B. Investor 2 (if applicable)**

Unit number  Street number

Street name

Suburb

State  Postcode  Country

**6. Tax information**

It is not against the law if you choose not to give your TFN or exemption for any reason, but if you decide not to, tax may be taken out of your distributions at the highest marginal tax rate (plus any applicable Government levies).

**6A. Investor 1**

ABN

TFN

Tax Exemption

**6B. Investor 2 (if applicable)**

ABN

TFN

Tax Exemption

**7. Source of funds**

Please select origin and source of funds being invested:

- Income from business operations
- Member contributions
- Income from employment
- Borrowed funds
- Investment income
- Sale of assets (e.g. shares, property)
- One-off payment (e.g. matured investment, court settlement, inheritance)
- Charitable donation







### 13. Wholesale investor status

By crossing (X) the box, I/we confirm that I am/we are Wholesale Investor(s) as defined under Chapter 7 of the Corporations Act 2001 (Ctn) and I/we have attached a Wholesale Client Certificate to support this statement.

**I/We confirm that:**

- as a wholesale investor, I am investing at least \$500,000 or I am investing under \$500,000 and have a Wholesale Client Certificate from an accountant confirming I meet the general wholesale test for assets and/or income.
- the Wholesale Client Certificate is not more than two year's old.

### 14. Investor identity verification

**Individuals – Please supply a valid and certified copy of one of the following documents:**

1. An Australian driver's licence containing your photograph; or
2. An Australian passport containing your photograph and signature.

If you are unable to provide any of the above documents, please contact us for a full list of acceptable identity verification documents.

**Super Fund/Trust/Australian Company/Other – Please complete the relevant 'Identity Verification Form' available by contacting us on 13 51 53.**

**How to certify documents**

A certified copy is a document that has been certified as a true copy of an original document. To certify a document, take the original document and a photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document. That person will need to print their name, date and the capacity in which they are signing (e.g. postal agent, Justice of the Peace).

**Sample wording**

I, *[full name]*, a *[category of persons listed below]*, certify that this *[name of document]* is a true and correct copy of the original.

*[Signature and date]*

Documents in a language other than English must be accompanied by an English translation prepared by an accredited translator.

**Who can certify documents**

Financial corporations (bank, building society, credit union)	<ul style="list-style-type: none"> <li>• Officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li> <li>• Finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li> <li>• Officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees</li> </ul>
Post office	<ul style="list-style-type: none"> <li>• Permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public</li> <li>• Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li> </ul>
JP	<ul style="list-style-type: none"> <li>• Justice of the Peace</li> </ul>
Legal	<ul style="list-style-type: none"> <li>• 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)</li> <li>• Judge of a court</li> <li>• Magistrate</li> <li>• Chief executive officer of a Commonwealth court</li> <li>• Registrar or deputy registrar of a court</li> <li>• Notary public (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li> <li>• Person authorised as a notary public in a foreign country</li> </ul>
Police	<ul style="list-style-type: none"> <li>• Australian Police officer</li> </ul>
Diplomatic service	<ul style="list-style-type: none"> <li>• Australian consular officer</li> <li>• Australian diplomatic officer (within the meaning of the Consular Fees Act 1955 (Cth))</li> </ul>
Accountant	<ul style="list-style-type: none"> <li>• Member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants (CPA) Australia or the National Institute of Accountants with two or more years of continuous membership</li> </ul>







**15. Declaration and applicant signature(s) (continued)**

**Investor 2/Signatory 2**

Signature

Date of birth   /   /

Surname

Given name(s)

Capacity  Director  Company Secretary

Other (please specify)

Company seal

Completed applications, accompanying identity verification forms and wholesale investor status confirmations can be uploaded via our secure online lodgement portal (<https://www.fidante.com/myepost>) or sent by post to the address below:

Fidante Partners  
 Reply Paid 86049  
 Sydney NSW 2001

**Important notices**

Neither Fidante Partners Limited (ABN 94 002 835 592) (AFSL 234668) (FPL) nor any other member of the Challenger group of companies guarantees the performance of the Fund or the repayment of capital or any particular rate of return or any distribution.

FPL may in its absolute discretion refuse any application for units. Persons external to FPL or other entities who market FPL products are not agents of FPL but are independent investment advisers. FPL will not be bound by representations or statements which are not contained in information disseminated by FPL.

**16. Adviser use only**

By signing this section, I declare that the attached document(s) are true copies of the document(s) used to satisfy the identity verification requirements and I have complied with my obligations under the Anti-Money and Counter-Terrorism Financing Act 2006. The tax information provided is reasonable considering the documentation provided.

Adviser number

Office name

Surname

Given name(s)

Title (Mr/Mrs/Miss/Ms)  Phone (business hours)

Email

Adviser group

Adviser group AFSL

Adviser signature

Date   /   /

Adviser stamp

**Investment Link information:**

IL GN (Group)   /   /

**Important notes**

This application must not be handed to any person unless the relevant Information Memorandum and access to the information incorporated into the Information Memorandum is also being provided. Fidante Partners may in its absolute discretion refuse any application for units. Persons external to Fidante Partners or other entities who market Fidante Partners products are not agents of Fidante Partners. Fidante Partners will not be bound by representations or statements which are not contained in information disseminated by Fidante Partners.





# Appendix A

## Tax residency – Individuals

The Australian Government recently passed laws to implement the requirements of the OECD’s Common Reporting Standard (CRS). From 1 July 2017, these laws require Australian financial institutions like Fidante Partners to obtain additional information from investors regarding their tax residency. Information about investors that are foreign tax residents must be reported to the Australian Tax Office (ATO). This legislation is in addition to the Foreign Account Tax Compliance Act (FATCA) introduced 1 July 2014.

If you require further information on the CRS or FATCA, please visit the ATO’s website [www.ato.com.au](http://www.ato.com.au)

### Account details

Name

### Investor 1 Tax information – please answer BOTH tax residency questions

Are you an Australian resident for tax purposes?  Yes  No  
 Are you a tax resident of another country?  Yes  No

If you are a tax resident of a country other than Australia, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

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

Reason A – The country of tax residency does not issue TINs to tax residents.

Reason B – I have not been issued with a TIN.

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

### Investor 2 Tax information – please answer BOTH tax residency questions

Are you an Australian resident for tax purposes?  Yes  No  
 Are you a tax resident of another country?  Yes  No

If you are a tax resident of a country other than Australia, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below.

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

Reason A – The country of tax residency does not issue TINs to tax residents.

Reason B – I have not been issued with a TIN.

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





