

Identity Verification Form

Individual/Joint Investor/Sole Trader

PLEASE USE BLOCK LETTERS AND BLACK INK TO COMPLETE THIS FORM



1 Investment details

Please provide your existing Fidante investment details.

Existing account name

Existing account number (HIN)

Fund Name

2 Investor type

Please indicate (X) the investor type.

☐

Individual Investor

☐

Joint Investors

☐

Sole Trader

3 Investor details

3A. Investor 1

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms)

Date of birth

What other names
are you known by?

Business name of
Sole Trader

ABN

TFN

Tax exemption

If you choose not to provide your TFN, ABN or specific exemption, then tax will be deducted from your distributions at the highest marginal tax rate (plus the Medicare levy, and any other levies we are required to deduct from time to time).

Non-residents

If you are an overseas investor, please indicate your country of residence for tax purposes.

Country

Residential address for Investor 1 (cannot be a PO Box)

C/- (if applicable)

Street name and number

Suburb

State

Postcode

Country

If your country of residence is not Australia, please ensure that you also complete section 5.

3 Investor details (continued)

Postal address

Is the postal address the same as the residential address? ☐ Yes ► Go to contact details. ☐ No ► Please provide below.

Street name and number

Suburb

State

Postcode

Country

Contact details

Telephone (home)

Telephone (work)

Mobile

Email address

Principal place of business of Sole Trader (cannot be a PO Box)

Street name and number

Suburb

State

Postcode

Country

3B. Investor 2 - Joint Investor

Complete this section if there is a joint owner.

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms)

Date of birth

What other names
are you known by?

TFN

Tax exemption

ABN

If you choose not to provide your TFN, ABN or specific exemption, then tax will be deducted from your distributions at the highest marginal tax rate (plus the Medicare levy, and any other levies we are required to deduct from time to time).

Non-residents

If you are an overseas investor, please indicate your country of residence for tax purposes.

Country

Residential address (cannot be a PO Box)

C/- (if applicable)

Street name and number

Suburb

State

Postcode

Country

If your country of residence is not Australia, please ensure that you also complete section 5.

Contact details

Telephone (home)

Telephone (work)

Mobile

Email address

Only complete this section if:

- any one of your addresses (residential, postal) or tax residency is outside Australia or New Zealand; and/or
- you are investing \$1 million or more.

Investor 1 -

What is your country of citizenship?

What is your occupation? (If retired, please provide prior occupation).

If you are a sole trader, please provide details of your business activities.

Which option best describes the primary means by which your total wealth is generated?

- ☐ Income from employment – regular and/or bonus
 ☐ Investment income (e.g. rent, dividends, pension)
 ☐ Business income
- ☐ One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)
 ☐ Sale of assets (e.g. shares, property)
- ☐ Windfall (e.g. gift, lottery winnings)
 ☐ Borrowed funds
 ☐ Government benefits (e.g. family tax benefit)

Investor 2 -

What is your country of citizenship?

What is your occupation? (If retired, please provide prior occupation).

If you are a sole trader, please provide details of your business activities.

Which option best describes the primary means by which your total wealth is generated?

- ☐ Income from employment – regular and/or bonus
 ☐ Investment income (e.g. rent, dividends, pension)
 ☐ Business income
- ☐ One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)
 ☐ Sale of assets (e.g. shares, property)
- ☐ Windfall (e.g. gift, lottery winnings)
 ☐ Borrowed funds
 ☐ Government benefits (e.g. family tax benefit)

Information about investors that are foreign tax residents must be reported to the Australian Taxation Office (ATO) in accordance with international tax reporting standards and laws to which Australia is subject. These include the OECD Common Reporting Standard (CRS) and United States Foreign Account Tax Compliance Act (FATCA). If you require further information on Australia's obligations under CRS or FATCA, please visit the ATO website www.ato.gov.au.

Tax Residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

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.

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.

6 Customer identity verification

You must complete this section. If you are lodging this application through a financial adviser, they are required to provide us with copies of the identity verification documents. If you are not lodging this application through a financial adviser, you are required to provide us with certified copies of the identity verification documents. Please see below for a list of who can certify the documents.

Please provide either A or B.

A. A valid copy of one of the following documents:

- ☐ Australian driver's licence containing your photograph; or
- ☐ Australian passport containing your photograph and signature; or
- ☐ A card issued under an Australian State or Territory law containing your photograph and proof of age.

B. If one of the above cannot be provided, please provide one document from Group 1 and one document from Group 2 below:

Group 1

A copy of one of the following documents:

- ☐ Australian birth certificate or birth extract; or
- ☐ Australian citizenship certificate; or
- ☐ Pension or Health care card issued by Centrelink or Department of Veterans' Affairs.

Group 2

(The document must contain your full name and current residential address as shown in section 3 of this form)

A copy of one of the following documents issued to you:

- ☐ a notice or bill issued within the preceding three months from a local government body or utilities provider that records the provision of services to you, e.g.:
 - council rates notice
 - electricity bill
 - gas bill
 - water rates notice
 - telephone bill
 - internet services bill
- ☐ a letter or notice issued within the preceding 12 months from a Commonwealth or State/Territory government department that records the provision of financial benefits to you, e.g.:
 - pension statement
 - rent assistance statement
 - mobility allowance statement
 - utilities allowance statement
- ☐ a letter or notice issued to you within the preceding 12 months from the ATO that records a debt or refund payable by or to you, e.g.:
 - notice of assessment
 - payment reminder

If you are a non-Australian resident and cannot provide A or B, please provide a valid copy of ONE of the following:

- ☐ foreign passport, or similar travel document bearing your signature and photograph;
- ☐ national identity card issued by a foreign government that contains your photograph, and either your signature or your unique identifier; or
- ☐ foreign driver's license that contains your photograph.

Please note:

- documents are required to be certified copies of the original;
- documents such as passports, driver's licences and other cards that have an expiry date must not have expired (however, only Australian passports that have expired within the preceding two years may be accepted);
- if any document is in a language other than English, then it must be accompanied by an English translation prepared by an accredited translator; and
- if any document is in a previous name, then it must be accompanied by evidence of the change of name (e.g. a marriage certificate).

6 Customer identity verification (continued)

How to certify your 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 (eg 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">• 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))• 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))• 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
Post office	<ul style="list-style-type: none">• 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• Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
JP	<ul style="list-style-type: none">• Justice of the Peace
Legal	<ul style="list-style-type: none">• 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)• Judge of a court• Magistrate• Chief executive officer of a Commonwealth court• Registrar or deputy registrar of a court• Notary public (for the purposes of the Statutory Declaration Regulations 1993 (Cth))• A person authorised as a notary public in a foreign country
Police	<ul style="list-style-type: none">• Australian police officer
Diplomatic service	<ul style="list-style-type: none">• Australian consular officer• Australian diplomatic officer (within the meaning of the Consular Fees Act 1955 (Cth))
Accountant	<ul style="list-style-type: none">• 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

Please read the declarations below before submitting this form.

I/We declare that:

all details in this Customer identify verification form (including all related documents provided) are true and correct and I/we indemnify the responsible entity of the fund(s) I/we am/are invested in against any liabilities arising from acting on any of the details or any future details provided by me/us in connection with this form which are deliberately false or misleading;

If requests, I/we will provide additional information and assistance to all reasonable requests to ensure Fidante complies with AML/CTF Laws in Australia or an equivalent overseas jurisdiction

I/we agree that I/we have provided all information required and that the information is accurate and complete.

In relation to my/our personal information:

I am/We are aware that until I/we inform Fidante otherwise, I/we will be taken to have consented to all the uses of my/our personal information (including marketing) as described in the PDS and AIB and I/we have consented to my/our financial adviser providing such further personal information to Fidante as is required or reasonably deemed necessary by Fidante under applicable law. Any personal information provided about a third party (if any) in connection with this application has been provided with their knowledge and informed consent; and

I/We agree to personal information about me/us being collected, used and disclosed in accordance with Fidante's Privacy Policy and the privacy statement in the Information Booklet, including direct marketing.

8 Declaration and applicant(s) signature(s) (continued)

Refer to list of signatories in section 9.

Investor 1 - Sole Trader

Signature

Date

 / /

Surname

Given name(s)

Capacity

☐

Director

☐

Company Secretary

☐

Primary Trustee (Individual)

Investor 2 - Joint Investor

Signature

Date

 / /

Surname

Given name(s)

Capacity

☐

Director

☐

Company Secretary

☐

Secondary Trustee (Individual)

COMPANY SEAL

9 Signatories

The table below provides guidance on completing the 'Declaration and applicant(s) signature's section of the application form. Before signing the application form please ensure you have read the declaration.

Type of investor	Names required	Signature required	TFN/ABN or exemption to be provided
Individual and/or Joint Investors	Full name of each investor (please do not use initials)	Individual investor, or each joint investor	Individual investor, or each joint investor
Sole Trader	Full name of Sole Trader, and Full business name	Sole Trader	Sole Trader
If the investment is being made on behalf of other person	Name(s) of the responsible adult(s) as the investor	Adult(s) investing on behalf of the person/minor	Adult(s)
If the investment is being made under Power of Attorney (POA)	Full name of each investor(s) as listed in Section 3; and Full name of person holding POA (underneath signature)	Person holding Power of Attorney in the case that the POA document does not contain a sample of the POA's (i.e. Attorneys signature. Please provide a certified copy of either the POA's drivers licence or passport providing a sample of their signature).	Individual investor or each join investor.

10 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.

All details in this form are true and correct and I indemnify the responsible entity of the Fund(s) against any liabilities arising from acting on any of the information provided by me in connection with my clients application which are deliberately false or misleading.

Adviser number

Office name

Surname

Given name(s)

Title (Mr/Mrs/Miss/Ms)

Phone (business hours)

Adviser group

Adviser group AFSL

Adviser signature

Date

Investment Link information

IL GN (Group) / /