FIDANTE PARTNERS

Identity Verification Form – Australian Superannuation Funds and Trusts

To comply with our obligations under the Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF), all new investors are required to complete this Customer Identification Form in addition to the application form. Before completing this form, please read the following carefully:

1. You only need to complete this form if you do not have an existing investment in a managed fund for which Fidante Partners is the responsible entity.
2. If you are not lodging this application through a financial adviser, you are required to provide us **certified copies** of the identity verification documents listed (ensuring each page is certified). Please refer to 'How to certify' on page 8 of this form.
3. It is important that you provide all the required identity verification documents outlined in this section. If your application form is not complete or you do not provide the required documentation, we may be unable to process your application or may delay the processing of future withdrawal requests until we receive the required documents.
4. If any documentation you provide is not in English, it must be accompanied by an original copy of an English translation prepared by a translator who has received accreditation from the National Accreditation Authority for Translators and Interpreters Ltd. (accredited translator).

1. Super fund/trust details

Full name of super fund/trust

Country where established

Please select type of trust and provide information requested.

1. ☐ **Self-Managed Superannuation Fund**
   Provide the SMSF's ABN
2. ☐ **Registered managed investment scheme**
   Provide Australian Registered Scheme Number (ARSN)
3. ☐ **Unregistered managed investment scheme** (that has only wholesale clients and does not make small scale offerings with reference to section 1012E of the *Corporations Act 2001*)
4. ☐ **Government superannuation fund**
   Provide name of the legislation establishing the fund
5. ☐ **Other regulated Trust** (a trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund)
   Provide name of the regulator (e.g. ASIC, APRA, ATO)
   Provide the Trust's ABN or registration/licensing details
6. ☐ **Unregulated Trust** (e.g. family trust, discretionary trust, charitable trust)
   Please confirm type
   Name of trust settlor

If you marked 'Option 6' above, please provide information in Section 1A regarding substantial trust beneficiaries and source of funds below:

1A. Substantial trust beneficiary details

Provide details of all individuals who are substantial trust beneficiaries (i.e. those specified in the trust deed as having an entitlement to 25% or more of trust income or assets).

Substantial trust beneficiary 1

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

Substantial trust beneficiary details (continued)

Substantial trust beneficiary 2

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

Substantial trust beneficiary 3

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

Substantial trust beneficiary 4

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

If there are any other beneficiaries, please provide their full names on a separate piece of paper and attach it to this application form.

If the trust deed refers to beneficiaries in relation to membership of a class please list each class below:

Class 1

Class 2

If there are more than two (2) classes, please provide them on a separate piece of paper and attach it to this application form.

What is the source of the funds, including the origin of the funds being invested?

2. Trustee details

Number of trustees

Is/are the trustee(s):

☐ Individual(s) ▶ Please complete section 3.

☐ Australian company ▶ Please complete section 4.

3. Individual trustee details

Primary Trustee (primarily responsible for the trust). The Primary Trustee must sign the application form. If the entity type investing is an unregulated trust (i.e. you marked option 6 in section 1), the Primary Trustee must also complete the 'identity verification requirements' in section 6C.

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms) Date of birth / /

Residential address (Street address)

Unit Street number

Street name

Suburb State

Postcode Country

Second trustee (details not required for regulated trust). If the second trustee is signing the application form they must complete section 6C.

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms) Date of birth / /

Residential address (Street address)

Unit Street number

Street name

Suburb State

Postcode Country

If the trust is an unregulated trust and there are more than two (2) individual trustees, please provide the required details as above for the addtional trustees on a separate piece of paper and attach it to this identity verification form.

4. Australian company trustee details

Full company name as registered with ASIC

Business name (if applicable)

Contact name

Registered office address (may not be a PO box)

Principal place of business (may not be a PO box)

ACN

If the trust is unregulated, and there are two or more company trustees, please provide the required details for the additional trustees on a separate piece of paper and attach to this form.

4. Australian company trustee details (continued)

Select applicable company type and provide details if requested:

1. ☐ licensed by an Australian Commonwealth, State or Territory statutory regulator and subject to supervision beyond that provided by ASIC as a company registration body (e.g. Australian Financial Services Licensees (AFSL) or Australian Credit Licensees (ACL))

Name of regulator

License details (e.g. AFSL, ACL)

If you are a proprietary company, you must complete section 4B below.

2. ☐ Australian listed company

3. ☐ a majority owned subsidiary of an Australian listed company

Provide name of listed company

If you are a proprietary company, you must complete section 4B below.

4. ☐ none of the above.

If the trust is unregulated (you selected option 6 in section 1), you must complete section 4A and 4C below for the company trustee.
If the company is a proprietary company, you must complete section 4B below.

4A. Director details

Please provide details for the individual(s) authorising this investment.

1. Sole or Primary Director

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms) Date of birth / /

Residential address (Street address)

Unit Street number

Street name

Suburb State

Postcode Country

2. Second Director or Secretary

Surname

Full given name(s)

Title (Mr/Mrs/Miss/Ms) Date of birth / /

Residential address (Street address)

Unit Street number

Street name

Suburb State

Postcode Country

4B. Proprietary companies only – Directors/Additional directors names

For proprietary companies, provide names of all directors (if not already provided in section 4A above).

1.

2.

3.

4.

If there are additional directors, please provide their full names on a separate piece of paper and attach it to this identify verification form.

4. Australian company trustee details (continued)

4C. Substantial shareholder details

Provide details of all individuals who are substantial shareholders, through one or more shareholdings, of 25% or more of the issued capital of the company.

Substantial shareholder 1

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

Substantial shareholder 2

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

Substantial shareholder 3

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

Substantial shareholder 4

Surname

Full given name(s)

Unit

Street number

Date of birth / /

Street name

Suburb

State

Postcode

Country

5. Additional information for charities, aid organisations, foundations or other not-for-profit organisations

You only need to complete this section if the trust is a charity, aid organisation, foundation or not-for-profit organisation.

Please provide details of the nature of the activities conducted by the trust

The date upon which the trust was formed / /

The state or territory in which the trust was established

Is financial or other support provided to recipient overseas? ☐ Yes ☐ No

If yes, list the relevant destination countries

6. Identity verification – You must complete section 6A and as applicable, 6B and/or 6C

6A. Superannuation funds or trusts

Documents are required to be certified. Please refer to **'Who can certify'** on page 8 of this form.

Information required to be verified Please ensure the document(s) you provide confirm(s) the following:	Verification options Please cross (✗) which document(s) you have provided:
Registered schemes, regulated trusts or government superannuation funds • Full name of Superannuation Fund or Trust; and • Type of Superannuation Fund or Trust.	Registered schemes, regulated trusts or government superannuation funds ☐ Up-to-date extract from ASIC or other relevant regulator (e.g. ATO, APRA); or ☐ Up-to-date extract of the legislation establishing the government superannuation fund sourced from a government website.
Other unregulated trusts • Full name of Trust. • Name of Trust settlor.	Other unregulated trusts ☐ Please provide documentation confirming the existence of the trust and the name of the settlor (e.g. trust deed or extract of the trust deed)

6B. Australian company trustee

Information required to be verified Please ensure the document(s) you provide confirm(s) the following (A or B):	Verification options Please cross (✗) which document(s) you have provided:
A. Whether the company is: • listed; or • a majority owned subsidiary of a listed company; or • regulated.	☐ Up-to-date extract from the ASX database (if applicable); or ☐ Public document issued by the company (or its listed parent); or ☐ Up-to-date extract from the relevant regulator's database (if regulated).
B. If the company is none of these, the: • full name of the company; and • whether the company is registered as a proprietary or a public company; and • ACN.	☐ Certificate of registration issued by ASIC; or ☐ Up to date extract from the ASIC database.

6C. Specified individuals

This section must be completed by each of the following individuals (as applicable):

- Primary Trustee (individual) of an unregulated trust from section 3
- Second Trustee (individual) of an unregulated trust from section 3 (if signing the application form)
- Primary/Sole Director and Second Director/Secretary from section 4A
- Each substantial shareholder from section 4C
- Each substantial trust beneficiary from section 1A

Please provide either A or B.

Note: At least one document must show your date of birth.

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

☐ Australian driver's licence containing your photograph; or

☐ Passport containing your photograph and signature; or

☐ A card issued under a State or Territory law containing your photograph and proof of age.

6. Identity verification – You must complete section 6A and as applicable, 6B and/or 6C (continued)

6C. Specified individuals (continued)

B. Or if one of the above cannot be provided please provide one document from group 1 and one document from group 2 below:

Group 1	Group 2
A copy of one of the following documents: ☐ Australian birth certificate (or extract); or ☐ Australian citizen certificate; or ☐ Pension or Health care card issued by Centrelink or Department of Veteran's Affairs	(The document must contain your full name and current residential address as provided in this application form) A copy of one of the following documents issued to you: ☐ A notice of 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 residing in a care facility, a notice or invoice issued by that facility within the preceding three months that records the provision of care services to you

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; or

☐ National identity card issued by a foreign government bearing your signature and photograph

☐ Foreign driver's license that contains your photograph.

Please note:

- documents are required to be certified copies of the original. Please refer to 'Who can certify' on page 8 of this form.
- 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;
- 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. Identity verification (continued)

Who can certify

Identity verification documents may be certified as a true and correct copy of an original document by one of the following persons in Australia. Please ensure that each page of the relevant document(s) is certified. The person certifying must state their capacity (from the list below) and state on each page that the document is a 'true and correct copy of the original'.

• Justice of the Peace • Police officer • Officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993) • 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) • Officer with, or authorised representative of, a holder of an Australian financial services licence or Australian credit licence, having two or more continuous years of service with one or more licensees • Member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership, i.e. an accountant • Judge of a court • Magistrate	• 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), i.e. an Australian lawyer • Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public • 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 • Chief executive officer of a Commonwealth court • Registrar or deputy registrar of a court • Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955) • Notary public (for the purposes of the Statutory Declaration Regulations 1993) For details of other acceptable certifiers, please contact us.

7. FATCA Information (US Foreign Account Tax Compliance Act) – All investors must complete this section

Select one of the below categories for your trust and provide any requested information.

☐ Regulated super fund (SMSFs, APRA-regulated super funds, government super funds, pooled super funds). No further information required.

☐ Financial Institution or trust with a trustee that is a Financial Institution (a trust that is primarily established for custodial or investment purposes, or a trust that has a trustee that is a Financial Institution in its own right).

Provide the trust or trustee's Global Intermediary Identification Number (GIIN), if applicable ☐☐☐☐☐☐☐☐☐☐☐☐

If neither the trust or the trustee has a GIIN, please provide the trust's FATCA status ☐☐☐☐☐☐☐☐☐☐☐☐

☐ Other trust (NOT described above)

(a) Does the trust generate the majority of its income from investments (e.g. interest, dividends, rent) rather than from operating a business?

☐ No. No further information required.

☐ Yes. Please complete (b) and if applicable, (c).

(b) Are any of the trustees, settlors, or substantial beneficiaries (individuals entitled to 25% or more of trust income or assets) US citizens or US residents for tax purposes?

☐ No.

☐ Yes.

(c) For company trustees, are any of the directors or substantial shareholders (individuals owning 25% or more of the company's issued share capital, through one or more shareholdings) US citizens or US residents for tax purposes?

☐ No.

☐ Yes.

If you answered Yes to (b) or (c), we may contact you to determine whether additional information is required.

8. Signature(s)

For individual trustees, at least the primary trustee must sign this section. For company trustees we require the signature(s) of either a sole director, or two directors, or one director and the company secretary.

Signature

Date / /

Surname

Given name(s)

Capacity ☐ Sole director ☐ Director

Signature

Date / /

Surname

Given name(s)

Capacity ☐ Director ☐ Company Secretary

COMPANY SEAL

9. 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 Laundering and Counter-Terrorism Financing Act 2006.

Adviser signature

ADVISER STAMP

Date / /

InvestmentLink information

IL GN (Group) / /

Attach this completed form to your completed application form and send to us at the address below. Applications received without a completed Identity Verification Form may not be processed. Please refer to the relevant Product Disclosure Statement for more information or call our Investor Services team on 13 51 53 or +61 2 9994 7000 from outside Australia (during Sydney business hours).

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