

# Application Form

30 September 2018

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### Important information

This Application Form accompanies the Product Disclosure Statement ('PDS') documents for:

Altius Bond Fund	ARSN 150 873 395
Altius Sustainable Bond Fund	ARSN 601 618 179
Australian Unity AREIT Fund	ARSN 140 274 728
Australian Unity Wholesale Cash Fund	ARSN 111 933 361
Platypus Australian Equities Fund	ARSN 119 236 403
Platypus Systematic Growth Fund	ARSN 140 274 737
ProD Balanced Fund	ARSN 160 421 063
ProD Growth Fund	ARSN 160 421 161
ProD High Growth Fund	ARSN 160 420 986
Talaria Global Equity Fund – Wholesale Units	ARSN 132 393 705
Talaria Global Equity Fund – Hedged	ARSN 159 504 275

You must consider the relevant PDS which contains important information about investing in the relevant Fund before completing this Application Form. All PDS documents can be accessed on our website, [australianunity.com.au/wealth](http://australianunity.com.au/wealth) or request a copy free of charge by calling Investor Services on 13 29 39.

A reference to "PDS", "this PDS", or "the PDS" includes, unless otherwise requires, a reference to both the PDS and to the Additional Information Document relevant to your investment.

A reference to 'you', or 'your', includes individuals or entities making an investment.

## 1. Providing your information

### Your personal information



We collect your personal information for the following purposes:

- to administer and provide products and services and to manage our relationship with you;
- to process transactions;
- to answer queries and for security purposes;
- to develop products and services;
- to meet regulatory requirements; and
- to allow the Australian Unity Group to market products and services to you (subject to your right to opt-out of receiving various direct marketing materials at any time).




In managing your account, we may need to disclose your personal information to:

- your financial adviser, either directly or through other service providers (such as platform software including Xplan and Visiplan) which we may have arrangements with;
- reputable service providers who may carry out functions associated with our products and services on our behalf (e.g. mailing houses who conduct mailings for us);
- our Australian financial institution to initiate the drawing from or payment to your nominated Australian financial institution account (where you have selected the direct debit or credit facility); and
- a third party, as required by law.




### Contact us

-  Australian Unity  
114 Albert Road, South Melbourne VIC 3205
-  [australianunity.com.au](http://australianunity.com.au)

### Investor Services

-  [investments@australianunity.com.au](mailto:investments@australianunity.com.au)
-  13 29 39
-  03 8682 5057

### Adviser Services

-  [investments@australianunity.com.au](mailto:investments@australianunity.com.au)
-  1800 649 033
-  03 8682 5057

You are entitled to access information we have about you. You should notify us immediately if any of the information we hold about you changes, so that we can ensure that your information is always complete, accurate and up to date. If you do not provide the information requested on the Application Form, we may be unable to process your application request.

Your personal information will be collected, used and disclosed by us in accordance with our Privacy Policy and in accordance with the law. You can obtain a copy of our Privacy Policy via our website [australianunity.com.au/privacy-policy](http://australianunity.com.au/privacy-policy) or by telephone 13 29 39.

### Changing your personal details

It is important that we maintain accurate records about you. Please inform us of any changes to your personal details as soon as possible.

You can change your personal details, such as mailing address, phone, mobile or email address, by logging into your account on our website portal, by sending us a request by mail, emailing us at [investments@australianunity.com.au](mailto:investments@australianunity.com.au) or contacting us on 13 29 39.

Please ensure that you provide us with the following information when requesting a change of personal details:

- your account number;
- the full name on your account;
- the change(s) you are requesting;
- a contact name and daytime phone or mobile number in case we need to contact you; and
- where the request is made by mail, ensure each signatory to the investment account signs the request.

### Providing instructions via email or fax

We offer an email and fax service that allows you to send us instructions on your account. Any instructions which are submitted to us by email or fax must have your signature or that of an authorised signatory on your account.

By using our service, you are taken to have agreed and understood that neither we nor any part of the Australian Unity Group accept any responsibility or liability for any payment or action we make based on any instruction (even if not genuine) that we receive by email or fax bearing your account number, a signature which is apparently yours, or that of an authorised signatory on your account. This means that you cannot make a claim for such a thing as a fraudulent email or fax redemption request made by someone who has access to your investor code and a copy of your signature. You use the service entirely at your own risk.

## 2. Direct Debit Request ('DDR') Service Agreement

### Our commitment to you

- Where you request a one off debit, the payment will be drawn from your nominated account on the date we accept your application.
- For regular debits, payment will normally start to be drawn from your nominated account from the 15th day of the month following the date we receive your application (e.g. for an application received on 1 March, the first deduction will occur on 15 March).
- Where the due date for a drawing falls on a non-business day, it will be drawn from your account on the next business day.
- We will provide you with at least 14 days notice when we intend to make changes to the initial terms of the arrangement.

- We will terminate your direct debit arrangement if two consecutive payments are dishonoured or if you close your account.
- We will keep the details of your nominated account and Australian financial institution private and confidential.
- We will investigate and deal promptly with any queries, claims or complaints regarding debits.

### Your commitment to us

- It is your responsibility to check with your nominated Australian financial institution to confirm that direct debits are available on your account.
- It is your responsibility to ensure that the authorisation at Section 5 'Direct debit request for investments to your account' of the Application Form matches the signing instructions on your nominated Australian financial institution account.
- It is your responsibility to ensure that there are sufficient cleared funds in the nominated Australian financial institution account on the drawing date.
- It is your responsibility to cover any charges resulting from the use of the direct debit program. This may include transaction fees charged by us or your nominated Australian financial institution due to dishonoured drawings.

### Changes to the arrangement

If you want to make changes to the drawing arrangements, please notify us in writing at least five business days prior to your next scheduled drawing date. These changes may include:

- deferring the drawing;
- altering the schedule;
- stopping an individual debit;
- suspending the DDR; or
- cancelling the DDR completely.

### Enquiries

If you have any enquiries, they should be directed to us, rather than to your nominated Australian financial institution.

All your personal information held by us will remain confidential, except for information that may be provided to our Australian financial institution to initiate the drawing to your nominated account, or information that may be disclosed to a third party as required by law. Information may also be provided to any entity within the Australian Unity Group to enable the DDR to be effected as required by law.

### Disputes

- If you believe that a drawing has been initiated incorrectly, you should raise the matter directly with us.
- If you do not receive a satisfactory response from us, then please follow up with your nominated Australian financial institution regarding your claim.
- You will receive a refund of the drawing amount if we cannot substantiate the reason for the drawing.

Note: Your nominated Australian financial institution will ask you to contact us initially to resolve your disputed drawing prior to involving them.

### 3. Anti-Money Laundering Laws and the Application Form

Australia's Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) laws requires Australian Unity to adopt and maintain an AML/CTF program. To meet this legal requirement, we need to collect certain identification information and documentation (Know Your Client ('KYC') Documents) from new investors. If you are applying through a financial adviser, your financial adviser will assist you in providing the necessary identification documents prior to lodging the application.

If you are submitting your application directly (without the assistance of a financial adviser), please refer to 'Applying for different types of investment accounts' on page 5 for the identification documents that should be provided with your application. Please note that your identification documents must be certified by an approved certifier. Existing investors may also be asked to provide KYC Documents as part of a re-identification process to comply with the AML/CTF laws.

Processing of applications or withdrawals will be delayed or refused if investors do not provide the required KYC Documents when requested.

Under the AML/CTF laws, Australian Unity is required to submit regulatory reports to the Australian Transaction Reports and Analysis Centre ('AUSTRAC'). This may include the disclosure of your personal information. Australian Unity may not be able to tell you when this occurs. As a result, if instructed by AUSTRAC, Australian Unity may be required to deny you (on a temporary or permanent basis) access to your investment. This could result in loss of the capital invested, or you may experience significant delays when you wish to transact on your investment.

We are not liable for any loss you may suffer because of compliance with the AML/CTF laws.

#### Politically Exposed Persons

To comply with AML/CTF laws we require you to disclose whether you (or any of your beneficial owners) are, or have an association with, a Politically Exposed Person ('PEP'). A PEP is an individual who holds a prominent public position or function in a government body or an international organisation in Australia or overseas, such as a Head of State, or Head of a Country or Government, or a Government Minister, or equivalent senior politician. A PEP can also be an immediate family member of a person referred to above, including spouse, de facto partner, child, and a child's spouse or a parent. A close associate of a PEP, i.e. any individual who is known to have joint beneficial ownership of a legal arrangement or entity is also considered to be a PEP. Where you identify as, or have an association with, a PEP, we may request additional information from you.

#### Source of investable assets/wealth

Under AML/CTF laws, we are required to identify your source of investable assets/wealth.

#### Non-Individual Entities - Your Beneficial Owners

Your Beneficial Owner means an individual who ultimately 'controls' you (directly or indirectly) or owns you (directly or indirectly). 'Control' includes control (directly or indirectly) as a result of, or by means of trusts (including in the capacity as beneficiary, trustee or settlor), an agreement, an arrangement, an understanding or practice, and further includes the ability to exercise control over decisions about financial and operating policies. 'Owns' means ownership (either directly or indirectly) of 25% or more of you.

Under AML/CTF laws you are required to provide information about your Beneficial Owners for certain account types including:

- Australian incorporated or created entities such as:
  - unlicensed proprietary limited companies, not subject to regulatory oversight (note: not applicable for complying superannuation fund investors); or
  - unregistered trusts, including family trusts.
- Entities incorporated or created outside of Australia such as:
  - companies;
  - partnerships;
  - trusts; or
  - estates.

These account types will be required to complete the 'Beneficial Owner Information' Form, which is available on our website [australianunity.com.au/wealth](http://australianunity.com.au/wealth) or by calling our Investor Services team on 13 29 39.

#### Automatic Exchange of Information ('AEOI') regime

AEOI is the exchange of financial account information between tax authorities in relevant countries. This requires financial institutions including Australian Unity, to collect tax residency information from their customers.

AEOI is currently made up of two information sharing frameworks:

- The Foreign Account Tax Compliance Act ('FATCA') which is a US framework to identify US citizens and tax residents with accounts in foreign (non-US) jurisdictions. This has been in place since 1 July 2014; and
- The Common Reporting Standard ('CRS') under which details of foreign tax resident accounts are shared between participating governments. Phased implementation of this regime commenced 1 January 2016 globally, and commenced in Australia from 1 July 2017.

#### Common Reporting Standard ('CRS')

CRS is a global standard for collecting, reporting and exchanging financial information on foreign tax residents, which was initiated by the Organisation for Economic Cooperation and Development ('OECD') to provide greater transparency and reduce offshore tax evasion in over 100 participating countries and jurisdictions.

In accordance with CRS, banks and other financial institutions in Australia are required to collect financial account information from their customers who are resident in countries other than Australia for tax purposes and provide financial information to the Australian Tax Office ('ATO') where it will be exchanged with other participating countries. These changes are a legislative requirement, therefore must be complied with.

#### Submitting your application without the assistance of a financial adviser

If you are submitting this Application Form directly, without having consulted with a financial adviser, you must submit original certified copies of your identification documents with the Application Form. The required identification documents are set out under 'Applying for different types of investment accounts' on page 5.

## Certification of documents

Where your identification documents need to be certified, we suggest that the person certifying the document(s) for you use the following statement on the copy being certified:

**'I certify this to be a true copy of the [name of document] of [name of investor], the original of which, was produced to me at the time of signing.'**

The document must also be dated, and have the signature, printed name, occupation, employer and address of the person certifying the document.

Persons who may certify copies of original identification documents include:

- Officer with or authorised representative by an Australian Financial Services licence holder with two or more years of continuous service with one or more licensees.
- Chartered Accountant, CPA or member of the National Institute of Accountants with two or more years of continuous membership.
- Officer of a financial institution or finance company with two or more years of continuous service with one or more institutions or companies.
- Permanent employee of the Australian Postal Corporation with two or more years of continuous service, or someone who operates as an agent of the Australian Postal Corporation.
- Police Officer.
- A person who, under the law in force in a state or territory, is currently licensed or registered to practice as a: Chiropractor, Dentist, Legal Practitioner, Medical Practitioner, Nurse, Optometrist, Pharmacist, Physiotherapist, Psychologist or Veterinary Surgeon.
- Lawyer, Magistrate, Registrar of the Court, Justice of the Peace.
- Notary Public (including persons authorised as a notary public in a foreign country).

A complete list of persons who may certify documents can be obtained from our website [australianunity.com.au/wealth](http://australianunity.com.au/wealth) or by contacting us on 13 29 39.

## 4. Completing the Application Form

The following information is provided to assist you in completing and lodging the Application Form.

- Use a blue or black ballpoint pen.
- Print in **BLOCK** letters inside the boxes.
- Answer all sections unless otherwise indicated (if a section does not apply, please indicate using 'N/A').
- Ensure you sign on page 15.
- Complete the Direct Debit Request section on pages 11 & 12 or if you are paying by cheque, make it payable to: Australian Unity – <name of investor(s)> and crossed 'not negotiable'.

## Providing your Tax File Number ('TFN')

You may decide whether you wish to provide your TFN on the Application Form. If we do not receive your TFN, ABN or appropriate exemption information, we must withhold tax at the highest marginal tax rate (plus levies) from distributions paid to you.

## Signing the Application Form

Read the declaration section carefully before signing the Application Form. Each signatory to the investment account must sign the Application Form.

- If signed under Power of Attorney, the Attorney must certify that they have not received notice of revocation of the Power. We require a certified true copy of the Power of Attorney for our reference.
- Company applications must be signed in accordance with the constitution or rules of the company.

## Lodgement

Please send the completed application together with a cheque or your DDR instructions to:

**Australian Unity  
Investor Services - Wealth  
Reply Paid 64466  
South Melbourne VIC 3205**

(No stamp required if mailed in Australia)

The application will be considered lodged when it is received in our Melbourne office on a Melbourne business day prior to 3.00 pm.

## Incomplete applications

Please take your time to complete the Application Form, ensuring that all of the required information is included, or we may not be able to process your application.

If we do not receive sufficient information from you, we will contact you to request the necessary information. Any delay in providing the necessary information may result in you receiving a different unit price than you expected. We recommend you carefully complete the Application Form and use the 'Completing the Application Form' instructions on this page and the 'Application Form checklist' on page 6 to ensure that you provide all of the required information. If you require assistance with completing the Application Form, please call us on 13 29 39.

If your application is incomplete and the additional information is not provided on request, we may return the application and your application monies to you.

## 5. Applying for different types of investment accounts

If you are applying through a financial adviser, your financial adviser will assist you in providing the necessary identification documents. The following identification documents are required if you are submitting your application directly, without the assistance of a financial adviser.

**Please note:** Certain types of entities may also be required to provide information and identification documents in relation to your Beneficial Owners (see page 3). You will be required to complete the 'Beneficial Owner Information' Form.

Type of investor	Your account must be in the name of:	TFN(s) or exceptions to be submitted	Signature(s) required	Identification documents required (in support of the Application Form)
<b>Individual account</b>	The applicant, e.g. Jane Citizen	The applicant's	The applicant's	Original certified copy of any of the following that identify your (the applicant's) full name, date of birth and/or residential address: <ul style="list-style-type: none"> <li>• Driver Licence; or</li> <li>• Passport containing photo identification.</li> </ul>
<b>Joint account</b>	Both or all joint applicants, e.g. Jane Citizen & John Citizen	Each applicant's	All joint applicants	
<b>Partnership</b>	All partners, e.g. Jane Citizen & John Citizen	The partnership's	All partners	<ul style="list-style-type: none"> <li>• Original certified copy or certified extract of a partnership agreement;</li> <li>• Original certified copy or certified extract of minutes of meeting.</li> </ul> <p>For an individual partner, please provide the same type of information requested for an <b>Individual account</b> (referred to as Partnership – Individual).</p> <p>For a corporate partner, please provide the same type of information requested for a <b>Company</b> (referred to as Partnership – Corporate).</p>
<b>Company</b>	The name of the company, e.g. Sample Company Pty Ltd.	The company's	Two directors; or a director and a company secretary or if there is only one director, by that director	<ul style="list-style-type: none"> <li>• Copy of the Certificate of Registration/ Incorporation confirming the company's name, identification number and whether the company is a public or proprietary company.</li> </ul> <p>For each director and/or secretary, please provide the same type of information requested for an <b>Individual account</b>.</p>
<b>Superannuation fund</b>	The trustee(s) of the fund and not the name of the Super Fund, e.g. ABC Trustees ATF Jane Citizen Super Fund	The superannuation fund's	The trustee(s), 'as trustees(s) for...'	<ul style="list-style-type: none"> <li>• Original certified copy of first page and schedule of the Trust Deed.</li> <li>• For each trustee, please provide the same type of information requested for an <b>Individual account</b>.</li> <li>• For corporate trustees, please provide the same type of information requested for a <b>Company</b>.</li> </ul>
<b>Trust</b>	The trustee(s) of the Trust and not the name of the Trust, e.g. ABC Trustees ATF Jane Citizen Trust	The trust's		
<b>Estate</b>	The executors of the estate, e.g. Estate of the late Jane Citizen	The deceased person's	The executor(s)	<ul style="list-style-type: none"> <li>• Original certified copy of the grant of probate or Letters of Administration; or</li> <li>• Death Certificate.</li> </ul> <p>For each executor, please provide the same type of information requested for an <b>Individual account</b>.</p>
<b>Minor (a person under 18 years of age)</b>	The adult's name in trust for the minor's name, e.g. Jane Citizen ITF John Citizen Jr.	All adults	All adults investing on behalf of the minor	<ul style="list-style-type: none"> <li>• Original certified copy of birth certificate or birth extract of the minor.</li> </ul> <p>For adults please provide the same type of information requested for an <b>Individual account</b>.</p>

## 6. Application Form checklist

Ensure you complete the relevant section according to your investor type outlined in the table below:

Investor type	Application Form Part A	Application Form Part B
Individual	Complete Section 1–10	Not applicable
Joint	Complete Section 1–10	Not applicable
Partnership - Individual	Complete Section 1–10	Not applicable
Partnership - Corporate	Complete Section 1–10	Complete relevant sections
Company	Complete Section 1–10	Complete relevant sections
Superannuation fund	Complete Section 1–10	Complete relevant sections
Trust	Complete Section 1–10	Complete relevant sections
Estates – Individual Executor	Complete Section 1–10	Complete relevant sections
Estates – Corporate Executor	Complete Section 1–10	Complete relevant sections
Other applicant types	Please contact us on 13 29 39 for assistance	

To ensure that we are able to process your Application Form quickly and efficiently, please 'X' that you have completed all of the following:

- Section 1 Account details**  
Indicate whether you are a new investor or if you have an existing investor number (mandatory). Please note that if you have an existing investor number with us, you are not required to supply the required identification documents.
- Section 2 Investor details**  
Indicate your investment type and provide your personal details (mandatory).
- Section 3 Mailing address**  
Provide only if different from your residential address.
- Section 4 Contact details**  
Provide your contact details.
- Section 5 Investment details**  
Indicate the Fund you wish to invest in and the amount you wish to invest (mandatory) and provide details for your Regular Savings Plan and Direct Debit Request instructions (if applicable).
- Section 6 Payments from your investment**  
Indicate your preferred method of payment for distribution.
- Section 7 Adviser arrangements**  
This section is to be completed by your financial adviser. If you are not using the services of a financial adviser, please leave blank.
- Section 8 Statements**  
If you wish to access your statements online and receive an email alert to notify you when your statements are available please indicate at this section and include your email address at **Section 2**.
- Section 9 Annual reports**  
Indicate if you would like to receive a printed copy of the Annual Report. The Annual Report is available from our website at [australianunity.com.au/wealth](http://australianunity.com.au/wealth).
- Section 10 Declaration and investor signature(s) (mandatory)**
  - Individual investors** – Provide your signature and date the form.
  - Joint investors** – Provide your signatures and date the form.
  - Partnership** – Provide your signatures and date the form.
- Corporate partnership** – Provide the signatures of two directors; or a director and a company secretary or if there is only one director, by that director and date the form. Ensure you also complete the relevant sections in **Part B**.
- Company** – Provide the signatures of two directors (or a director and a company secretary); or if there is only one director, by that director and date the form. Ensure you also complete the relevant sections in **Part B**.
- Superannuation fund** – Provide the signatures of the trustees and date the form. Ensure you also complete the relevant sections in **Part B**.
- Trust** – Provide the signatures of the trustees and date the form. Ensure you also complete the relevant sections in **Part B**.
- Estate** – Provide the signature of the executor and date the form. Ensure you also complete the relevant sections in **Part B**.
- Power of Attorney** – Provide your signature and date the form. Attach a certified copy of the Power of Attorney. A Justice of the Peace, Solicitor or Notary Public must certify each page of the Power of Attorney. You also need to provide the same type of information requested for an Individual account as it relates to the Attorney named in the application. Should the Power of Attorney document not contain a sample of the Attorney's signature, please provide a certified copy of identification documents for the Attorney, containing a sample of their signature, e.g. Driver Licence or passport containing photo identification.
- Your Beneficial Owners** – Certain types of entities may also be required to provide information and identification documents in relation to your Beneficial Owners (see page 3). You will be required to complete the 'Beneficial Owner Information' Form.

# Application Form

30 September 2018



## New and additional investments

Please:

- Use **BLOCK** letters and a black or blue pen to complete this Application Form.
- Indicate using an 'X' where appropriate. If a section does not apply to you, please indicate using 'N/A'.
- Refer to page 3 for the definition of a 'Politically Exposed Person' ('PEP').
- You may also be required to provide information and identification documents in relation to your Beneficial Owners and Common Reporting Standard requirements. Refer to "Non-Individual Entities – Your Beneficial Owners" and Automatic Exchange of Information ('AEOI') on page 3 to assess whether you are required to include a 'Beneficial Owner Information Form' and/or Tax Residency Information Form with your Application Form.

Reference Number

Office use only

## Section 1 Account details

**New investor:** Are you a new investor with Australian Unity?

- Yes – Go to **Section 2** and complete all details
- No – See below

**Existing investor:** Is this investment to be in the same name?

- No – Go to **Section 2** and complete all details
- Yes – Please specify your existing account number and account name

Account number

Account name

Investor TFN  or TFN exemption\*

\*If exempt, please specify reason.

If any of your details have changed please provide them below, otherwise go to **Section 5**.

## Section 2 Investor details

### Part A

What type of investment are you opening? (Please indicate using an 'X')

- Individual  Joint  Partnership  Company  Superannuation fund  Trust  Estate

### Investor 1 (Individual/Joint/Partnership – Individual)

Title  Mr  Mrs  Ms  Miss Date of birth

Surname

Given name(s)

Occupation

Email

TFN  or TFN exemption\*

\* If exempt, please specify reason. If due to pension or allowance, please state full name of benefit (e.g. Age Pension)

Country of residence for tax purposes: (if outside Australia)

Are you a US Citizen or US tax resident?

 Yes  No

If 'Yes', please provide your Taxpayer Identification Number ('TIN')

Are you a Politically Exposed Person?

 Yes  No

Please identify source of your investable assets or wealth

 Gainful employment Inheritance/gift Financial investments Business activity Superannuation savings Other – please specify:

Investor 1 Residential address (not a P.O. Box)

Unit

Street number

Street name

Suburb

State

Postcode

Country (if not Australia)

Investor 2 (Individual/Joint/Partnership – Individual)

Title

 Mr  Mrs  Ms  Miss

Date of birth

Surname

Given name(s)

Occupation

Email

TFN

or TFN exemption\*

\* If exempt, please specify reason. If due to pension or allowance, please state full name of benefit (e.g. Age Pension)

Country of residence for tax purposes (if outside Australia)

Are you a US Citizen or US tax resident?

 Yes  No

If 'Yes', please provide your Taxpayer Identification Number ('TIN')

Are you a Politically Exposed Person?

 Yes  No

Please identify source of your investable assets or wealth

 Gainful employment Inheritance/gift Financial investments Business activity Superannuation savings Other – please specify:

Investor 2 Residential address (not a P.O. Box)

Unit

Street number

Street name

Suburb

State

Postcode

Country (if not Australia)



**Minor (Child under the age of 18 years)**

Surname

Given name(s)

Is the child a US Citizen or US tax resident?  Yes  No If yes, please provide the child's Taxpayer Identification Number ('TIN')

Is the child a Politically Exposed Person?  Yes  No

Please identify source of the child's investable assets or wealth:

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Inheritance/gift	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other – please specify: <input type="text"/>

**Superannuation fund**

Are you a complying superannuation fund, an exempt public sector superannuation scheme, an approved deposit fund or a pooled superannuation trust? Please refer to [superfundlookup.gov.au](http://superfundlookup.gov.au) to confirm the complying status of your superannuation fund.

Yes  No – You will need to complete the FATCA section contained in Part B of this Application Form.

Name of entity

A.R.B.N. or A.B.N.

TFN  or TFN exemption\*  \* If exempt, please specify reason.

Name of Custodian or Trustee (if applicable)

Country of residence for tax purposes (if outside Australia)

Country of incorporation or creation

Contact person

Email

Please identify source of your investable assets or wealth:

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Inheritance/gift	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other – please specify: <input type="text"/>

**Company/Trust/Estate/Partnership - Corporate**

If you are applying as a Partnership - Corporate, please call us on 13 29 39 before you complete this section.

Name of entity

A.R.B.N. or A.B.N.

TFN  or TFN exemption\*  \* If exempt, please specify reason.

Name of Custodian or Trustee (if applicable)

Country of residence for tax purposes (if outside Australia)

Country of incorporation or creation

Contact person

Email

Please identify source of your investable assets or wealth

- Gainful employment       Inheritance/gift       Financial investments  
 Business activity       Superannuation savings       Other – please specify:

Nature of business

**Registered business address (not a P.O. Box)**

Unit  Street number   
Street name   
Suburb  State   
Postcode  Country (if not Australia)

**Part B**

Are any above named individuals or entities resident of a country for tax purposes other than Australia?  Yes  No

If you answered Yes above, please complete the Tax Residency Information Form, available on [australianunity.com.au/wealth/forms-and-downloads](http://australianunity.com.au/wealth/forms-and-downloads)

**Section 3 Mailing address**

- Same as Investor 1 residential address/business address OR  
 Same as Investor 2 residential address

Otherwise complete mailing address details below:

Unit  Street number  P.O. Box   
Street name   
Suburb  State   
Postcode  Country (if not Australia)

**Section 4 Contact details**

Contact name   
Phone (after hours)  -  -  Phone (business hours)  -  -   
Mobile  -  -  Facsimile  -  -   
Email

**Section 5 Investment details**

Please specify the Fund(s) you wish to invest in and the amount that you wish to invest. The minimum initial investment is \$5,000 and \$500,000 for the Australian Unity Wholesale Cash Fund. The minimum additional investment is \$1,000 and \$100,000 for the Australian Unity Wholesale Cash Fund. The minimum for a Regular Savings Plan is \$100 per month (e.g. \$300 per quarter). Regular Savings Plan is not applicable to Australian Unity Wholesale Cash Fund.

Fund Name	ARSN	Initial or additional investments	Regular Savings Plan	Frequency* (M, Q, H or Y)
Altius Bond Fund	150 873 395	\$	\$	
Altius Sustainable Bond Fund	601 618 179	\$	\$	
Australian Unity A-REIT Fund	140 274 728	\$	\$	
Australian Unity Wholesale Cash Fund	111 933 361	\$	n/a	n/a
Platypus Australian Equities Fund	119 236 403	\$	\$	
Platypus Systematic Growth Fund	140 274 737	\$	\$	
Pro-D Balanced Fund	160 421 063	\$	\$	
Pro-D Growth Fund	160 421 161	\$	\$	
Pro-D High Growth Fund	160 420 986	\$	\$	
Talaria Global Equity Fund – Wholesale Units	132 393 705	\$	\$	
Talaria Global Equity Fund - Hedged	159 504 275	\$	\$	

\* If you would like to commence a Regular Savings Plan, please indicate your desired frequency (M = monthly, Q = quarterly, H = Half yearly and Y = yearly).

**Direct debit request for investments to your account**

If you would like us to deduct your investment directly from your nominated Australian financial institution account or you have selected the Regular Savings Plan, please complete the section below.

- Initial investment by direct debit to be deducted from my account at time of application.
- Regular Savings Plan direct debits to commence from   /   /

- Note:
- Quarterly debits will only occur in the months of March, June, September and December.
  - Half yearly debits will only occur in the months of June and December.
  - Yearly debits will only occur in June.
  - Regular Savings Plan is not applicable to Australian Unity Wholesale Cash Fund

Providing your nominated Australian financial institution account details means that you authorise the use of this information for all future deposit transaction requests that you initiate.

Name of Australian financial institution

Branch name

Name of account holder(s)

Branch number (BSB)    -

Account number

- I/We request Australian Unity User ID 063678 to debit funds from my/our nominated Australian financial institution account according to details specified Section 5.

- I/We have read and understood the Australian Unity Direct Debit Request ('DDR') Service Agreement on page 2 of this Application Form.

All account signatories must sign below.

Signature of Australian financial institution account holder or company officer

Surname

Given name(s)

Date:   /   /

Signature of Australian financial institution account holder or company officer

Surname

Given name(s)

Date:   /   /

## Section 6 Payments from your investment

### Distributions

How would you like your distributions to be paid?

- Reinvested       Credited to my nominated Australian financial institution account (details provided below)

If left blank or no banking details are provided below, then your distributions will automatically be reinvested.

### Your Australian financial institution account details (for distributions and withdrawals)

You must be named on the Australian financial institution account for a payment to be made into that nominated account.

- Use banking details previously provided in Section 5.

Providing your nominated Australian financial institution account details means that you authorise the use of this information for all future payment transaction requests that you initiate.

Name of Australian financial institution	<input type="text"/>
Branch name	<input type="text"/>
Name of account holder(s)	<input type="text"/>
Branch number (BSB)	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>
Account number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

If you do not have a financial adviser, please proceed to Section 8.

### Advice fee payment election

Have you agreed to have an advice fee deducted from your investment account?

(Please refer to 'Payments to your financial adviser' in the PDS for further details.)

- Yes, I request that the Responsible Entity deduct an ongoing advice fee of  .   % on a monthly basis from my investment in the Fund
- No

## Section 7 Adviser arrangements (Adviser use only)

If you are an existing adviser with us, please provide your name, Australian Unity ('AU') adviser code and affix your adviser stamp below. Otherwise, please complete all details below.

Adviser's business name	<input type="text"/>
Adviser's title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss
Adviser's surname	<input type="text"/>
Adviser's given name(s)	<input type="text"/>

Telephone   -     -     Facsimile   -     -

Mobile     -    -

Email

Dealer Group/Licensee

AU Adviser Code           AFS Licence No

**Adviser mailing address**

Unit     Street number     P.O. Box

Street name

Suburb  State

Postcode     Country (if not Australia)

Adviser stamp

**Investor identity verification declaration**

I certify in accordance with the FSC/FPA Industry Guidance Note 24 (‘GN 24’), that I have:  
(Mark the appropriate box with an ‘X’)

- 1. Collected, verified and retained the appropriate customer identification documentation to confirm the identity of all individuals/investors with this application to meet my obligations in respect of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (‘AML/CTF laws’) and agree to provide access to these records as required.  
OR
- 2. Attached a copy of the industry ‘Customer Identification Form’ which confirms that I have sighted and verified all of the documentation required to identify a customer under AML/CTF laws.  
OR
- 3. Attached a copy of the source documents from which I have identified the customer as required by the AML/CTF laws.

If no box is marked, I agree that Option 1 applies.

In addition, as the Investor’s financial adviser, I warrant and represent to AU that I, as applicable:

- have followed and complied with GN 24 and any other applicable AML/CTF laws in identifying and verifying all individuals/investors with this application;
- will continue to comply with GN 24;
- will provide, upon request, original identification and verification records and details of the identification procedures adopted;
- have kept a record of the investor’s identification and verification and will retain these for a period of seven years after the investor/adviser relationship has ended;
- will if requested update and re-verify the investor and provide any other additional information regarding the investor;
- will not knowingly do anything to cause AU to breach AML/CTF laws and will notify AU if I become aware of anything that would cause AU to breach AML/CTF laws; and
- confirm that the details provided in any identification and verification records are true and correct.

Please note, AU reserves the right to reject any applicable GN 24 form attached to this Application Form for whatever reason (for example, if it has been incorrectly completed).

Adviser signature

Date   /   /

## Section 8 Statements

Your tax and distribution statements can be accessed from our website at [australianunity.com.au/wealth](http://australianunity.com.au/wealth).

If you wish to access your statements online and receive an email alert to notify you when your statements are available, please provide your email address at **Section 2** and indicate using an 'X':

## Section 9 Annual report

The Annual Report will be available from our website at [australianunity.com.au/wealth](http://australianunity.com.au/wealth).

If you wish to receive a printed copy of the Annual Report, please indicate using an 'X':

## Section 10 Declarations and investor signature(s)

I/We agree and acknowledge:

- to be bound by the terms and conditions of the relevant Product Disclosure Statement ('PDS') and the Application Form; and in the relevant Fund's Constitution (as amended from time to time);
- to be bound by the terms and conditions of the 'Direct Debit Request Service Agreement' in this application where I have opted to use the Direct Debit Service;
- that none of the entities mentioned throughout the PDS and the Application Form guarantee the performance of the Fund, payment of interest or any return of capital;
- that monies invested in the Fund do not represent investments in Australian Unity Funds Management Limited, nor with a member of the Australian Unity Group;
- that the investment is subject to investment risk including possible delays in repayment, loss of income or principal invested;
- having read and understood the relevant PDS and Application Form, and where the documents have been obtained through electronic means, then I/we declare that I/we received a printout which comprised the whole relevant PDS and the Application Form before making an application for units in the Fund (s);
- that Australian Unity Funds Management Limited and its related bodies corporate may offer goods and services appropriate for my needs and interests. I/we consent to my/our information being disclosed between those entities and to its use for direct marketing (subject to my/our right of opt-out by calling 13 29 39), product management and development and for other related purposes;
- that Australian Unity Limited may give information relating to my/our account and investment in that account to my/our adviser whose stamp appears on the Application Form;
- that if this application is signed under a Power of Attorney, the Attorney verifies that no notice of revocation of that power has been received at the date of completing this application;
- for all account types other than individual and joint account(s), that the application is signed in accordance with the governing rules and/or constituent documents;
- that all of the information provided in this Application Form is complete and accurate to the best of my/our ability/abilities;
- that I/we will provide any supporting or additional information which might be required in order to process this application, or subsequently, as a consequence of my holding units in the Fund(s);
- that I/we agree that the advice fee nominated in Section 6 of the Application Form – Part A will be deducted from my/our investment through the redemption of units in my/our investment;
- that I/we have no reason to suspect that the monies used to fund this application, or any subsequent contributions into the Fund(s), is or will be derived from or related to any money laundering, terrorism financing or other illegal activities;
- that the information provided for meeting US Foreign Account Tax Compliance Act ('FATCA') requirements (where applicable) is true and correct and that I/we will provide all necessary co-operation and assistance in order for us to comply with obligations under Australian legislation designed to give effect to the FATCA agreement between Australia and the United States;
- that by providing my/our email address at Section 2, the Responsible Entity may use this address to provide me/us, where permitted by law or regulation, with information via email about my/our investment and the Fund(s), including to satisfy any continuous disclosure requirements; and
- that my/our personal information will be collected, used and disclosed by Australian Unity in accordance with its Privacy Policy and in accordance with the law.

### Who signs the Application Form?

If the account is held for one or more <b>individuals</b>	THEN	those individuals sign.
If the account is held for a <b>partnership</b>	THEN	all partners or those authorised to sign on behalf of the partnership.
If the account is held for a <b>company or corporate partnership or corporate trustee</b>	THEN	two directors; or a director and a company secretary; or if there is a single director, by that director. By signing as a single director you confirm that your company is a single director company.
If the account is held for a <b>superannuation fund or trust</b>	THEN	the trustee(s), 'as trustee(s) for...'

#### Investor 1

Capacity  Individual  Joint  Director  Partner  Trustee  Other:

Surname

Given name(s)

Investor signature  Common Seal (if applicable)

Date / /

#### Investor 2

Capacity  Individual  Joint  Director  Partner  Trustee  Other:

Surname

Given name(s)

Investor signature  Common Seal (if applicable)

Date / /

#### Submitting your Application Form

1. Corporate partnership, company, superannuation fund, trust, unincorporated body or estate applications please also complete complete **Application Form – Part B** on page 17.
2. Certain types of entities may also be required to provide information and identification documents in relation to your Beneficial Owners (see page 3). You will be required to complete the 'Beneficial Owner Information' Form.
3. Sign the Application Form.
4. Where identity verification as required by Anti-Money Laundering legislation has not been undertaken by a financial adviser, please enclose the additional documentation outlined in the 'Application Form checklist' on page 6.
5. Complete the Direct Debit details in **Section 5** or enclose your cheque. Please make your cheque payable to: Australian Unity - <name of investor> and crossed 'Not Negotiable'.
6. Mail the completed Application Form and cheque (if not paying by DDR) to:

Australian Unity  
Investor Services - Wealth  
Reply Paid 64466  
South Melbourne VIC 3205

(no stamp required when mailed within Australia)

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# Application Form Part B

30 September 2018

## Additional information required for special account types

Please:

- Complete all relevant sections below as incomplete applications may not be accepted. Ensure that you also complete all relevant sections in **Part A**.
- Use **BLOCK** letters and a black or blue pen to complete this Application Form.
- Indicate using an 'X' where appropriate. If a section does not apply to you, please indicate using 'N/A'.
- Refer to page 3 for the definition of a 'Politically Exposed Person ('PEP')'.
- You may also be required to provide information and identification documents in relation to your Beneficial Owners and Common Reporting Standard requirements. Refer to "Non-Individual Entities – Your Beneficial Owners" and Automatic Exchange of Information ('AEOI') on page 3 to assess whether you are required to include a 'Beneficial Owner Information Form' and/or Tax Residency Information Form with your Application Form.

Reference Number

Office use only

## Account details

What type of investment account are you opening? (Please indicate using an 'X')

Please also complete the sections below that are relevant to your investor type. **Note that all fields that apply to your account type are mandatory.**

Company   
  Superannuation fund   
  Trust   
  Estate   
  Partnership - Corporate

**Please note:** If you wish to invest for an **Association, Co-Operative** or **Government Body**, please call us on 13 29 39 for details of the additional information we may require from you.

### Company/Corporate trustee/Executor (if applicable)/Partnership-Corporate

\*Individuals signing this Application Form must confirm their names and PEP status below. If you are a domestic proprietary company or a foreign company please provide the names and PEP status of all directors. If you are applying as a Corporate Partnership or more than four directors exist for a proprietary company or a foreign company, please call us on 13 29 39 before you complete **Part B**.

Director 1's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No      If Yes, please provide your Taxpayer Identification Number ('TIN')

Director 2's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No      If Yes, please provide your Taxpayer Identification Number ('TIN')

Director 3's full name\*

Are you a Politically Exposed Person?

Yes  No

Are you a US Citizen or US tax resident?

Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN')

Director 4's full name\*

Are you a Politically Exposed Person?

Yes  No

Are you a US Citizen or US tax resident?

Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN')

**Individual trustee/Individual executor (if applicable)**

\* If more than four individual trustees exist for the trust, please call us on 13 29 39 before you complete **Part B**.

Trustee 1's full name\*

Are you a Politically Exposed Person?

Yes  No

Are you a US Citizen or US tax resident?

Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN')

Trustee 2's full name\*

Are you a Politically Exposed Person?

Yes  No

Are you a US Citizen or US tax resident?

Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN')

Trustee 3's full name\*

Are you a Politically Exposed Person?

Yes  No

Are you a US Citizen or US tax resident?

Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN')

Trustee 4's full name\*

Are you a Politically Exposed Person?

Yes  No

Are you a US Citizen or US tax resident?

Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN')

Trust beneficiary details

\* Please specify the beneficiaries of the trust. If more than four beneficiaries exist for the trust, please call us on 13 29 39 before you complete **Part B**.

Beneficiary 1's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN'):

Beneficiary 2's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN'):

Beneficiary 3's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN'):

Beneficiary 4's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No

If Yes, please provide your Taxpayer Identification Number ('TIN'):

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# US Foreign Account Tax Compliance Act ('FATCA') Questionnaire

To be completed by all 'non-individual' account types other than complying superannuation funds\*

\*Complying superannuation funds, exempt public sector superannuation schemes, approved deposit funds or pooled superannuation trusts do not need to complete this section.

## 1. Are you a US Company<sup>†</sup>, US Trust<sup>‡</sup>, or US Partnership<sup>¶</sup>?

<sup>†</sup>US Company - A company organised in or under the laws of the United States.

<sup>‡</sup>US Trust - A trust under the authority of United States courts and the substantial decisions are controlled by a US citizen or resident.

<sup>¶</sup>US Partnership - A partnership organised in or under the laws of the United States.

Yes - Please go to question 1.1

No - Please go to question 2

### 1.1 Are you an exempt payee for US tax purposes?

Yes

No - Please provide your US Taxpayer Identification Number ('TIN'):

If you have completed question 1.1, **Part B** is complete. Please remember to include it with **Part A** of the Application Form.

## 2. Are you an Australian Financial Institution ('AFI') or Other Partner Jurisdiction Financial Institution ('FI')?

In answering this question, it is anticipated that AFIs and FIs will have an awareness of the FATCA regime and should be able to complete this question. All other entities should answer 'No'.

Yes - Please go to question 2.1

No - Please go to question 3

2.1 Please provide your Global Intermediary Identification Number ('GIIN'), if applicable:

If you do not have a GIIN, please provide your FATCA status:

Non-reporting IGA FFI

Exempt Beneficial Owner

Non-participating FFI

Deemed Compliant FFI

Excepted FFI

GIIN applied for but not yet issued

If you have completed question 2.1, **Part B** is complete. Please remember to include it with **Part A** of the Application Form.

## 3. Do any of the following apply to you? (tick all that apply)

Less than 50% of our income in the previous financial year is passive income<sup>#</sup>

<sup>#</sup>Passive Income - includes rental income and income not generated from active participation, such as interest, dividends, trust distributions or royalties.

Less than 50% of our assets held in the previous financial year produce passive income<sup>#</sup>

Our stock is regularly traded on an established securities market or more than 50% of our stock is controlled by a non financial entity regularly traded on an established securities market

Our entity is a government body, agency or instrumentality

Our entity is exempt from tax in our jurisdiction of residence - If ticked why?

**Please note:** if you have not selected any of the checkboxes in question 3 above, you will need to complete the 'Beneficial Owner Information Form', which is available on our website [australianunity.com.au/wealth](http://australianunity.com.au/wealth) or by calling our Investor Services team on 13 29 39.