

# AML FORM ONE REGISTRY SERVICES PTY LIMITED

In order to comply with Australia's Anti-Money Laundering and Counter-Terrorism Financing (**AML/CTF**) legislation, verification of the identity of all investors and their beneficiaries is required.

To assist with the completion of your AML/CTF please tick one box below and complete the relevant Sections of this form.

Investor Type	Complete
<input type="checkbox"/> Individual/Joint Investors/Sole Traders	Sections 1, 2, 5, 6 and 7
<input type="checkbox"/> Company	Sections 1, 3, 5, 6 and 7
<input type="checkbox"/> Trust/Superannuation Fund with Individual Trustee	Sections 1, 2, 4, 5, 6 and 7
<input type="checkbox"/> Trust/Superannuation Fund with Corporate Trustee	Sections 1, 3, 4, 5, 6 and 7

**Process:**

**Step 1 - Complete Form** (i.e. fill in all relevant sections of this form in blue or black pen)

**Step 2 - Send your form**

**Post/Delivery** - Please post completed form and all supporting documents to:  
One Registry Services  
PO Box R1479  
Royal Exchange NSW 1225

**Questions**

If none of the above categories are applicable to you, or you have other questions relating to this Form, please contact the help desk on +61 2 8188 1510 or email [info@oneregistryservices.com.au](mailto:info@oneregistryservices.com.au).

## 1. INVESTMENT DETAILS

### 1.1 DETAILS

#### Source of Investment Funds

Please identify the source of your investable assets or wealth:

Gainful employment       Inheritance/gift       Business activity

Superannuation savings       Financial Investments

Other - please specify

#### What is the purpose of this investment?

Savings       Growth       Income

Retirement       Business account

## 2. INDIVIDUAL/JOINT INVESTORS/SOLE TRADERS/INDIVIDUAL TRUSTEES

Complete this section if you are invested in your own name, including as a sole trader.

### 2.1 INVESTOR DETAILS

#### INVESTOR 1

Title

Date of Birth

Given Names

Surname

Place of Birth (City/Town)

Country of Birth

Residential Address (not a PO Box)

Suburb

State

Postcode

Country

Email

Mobile Number

Telephone

Occupation

**INVESTOR 2** (only applicable for joint investors)

Title				Date of Birth	
Given Names				Surname	
Place of Birth (City/Town)				Country of Birth	
Residential Address (not a PO Box)					
Suburb	State	Postcode	Country		
Email					
Mobile Number				Telephone	
Occupation					

If there are more than two individuals please provide details and attach to this Application Form.

**ADDITIONAL INFORMATION FOR SOLE TRADERS** (only applicable if applying as a Sole Trader)

Full Business Name (if any)			
Australian Business Number (if obtained)			
Address of Principal Place of Business (not a PO Box). If same as residential address given above, mark 'As Above'.			
Suburb	State	Postcode	Country

**2.2 IDENTIFICATION DOCUMENTS**

To comply with Australia's Anti-Money Laundering and Counter-Terrorism Financing (**AML/CTF**) legislation, we must collect certain information from prospective investors and their beneficial owners supported by **CERTIFIED COPIES** of relevant identification documents for all investors and their beneficial owners.

Please refer to Section 8 for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

**Select one of the following options** to verify each investor and Beneficial Owner.

- Provide a certified copy of a driver's licence that contains a photograph of the licence/permit holder; or
- Provide a certified copy of a passport that contains a photograph and signature of the passport holder.

### 3. COMPANY/CORPORATE TRUSTEE

Complete this section if you are invested for, or on behalf of, a company.

#### 3.1 COMPANY DETAILS

Full Company Name

Country of Formation, Incorporation or Registration

ARBN (if registered with ASIC)

ACN/ABN (if registered in Australia)

Tax File Number or Exemption Code (Australian residents)

AFS Licence Number (if applicable)

Name of Regulator (if licenced by an Australian Commonwealth, State or Territory statutory regulator)

Registered Business Address in Australia or in Country of Formation

Suburb

State

Postcode

Country

Principal Place of Business (not a PO Box address)

Suburb

State

Postcode

Country

**If an Australian Company**, registration status with ASIC.

Proprietary Company

Public Company

**If a Foreign Company**, registration status with the relevant foreign registration body.

Private/Proprietary Company

Public Company

Other - Please Specify

Name of Relevant Foreign Registration Body

Foreign Company Identification Number

**Is the Company Listed?**

No

Yes - Name of Market/Stock Exchange

**Is the company a majority-owned subsidiary of an Australian listed company?**

No

Yes - Name of Australian Listed Company

- Name of Market/Stock Exchange

#### 3.1.2 DIRECTORS OF THE COMPANY/CORPORATE TRUSTEE

If the company is **registered as a proprietary company by ASIC** or a **private company by a foreign registration body**, please list the name of each director of the company.

Director 1 - Full Name

Director 4 - Full Name

Director 2 - Full Name

Director 5 - Full Name

Director 3 - Full Name

Director 6 - Full Name

*If there are more than six directors please provide their full names on a separate page and attach to this Application Form.*

#### 3.1.3 BENEFICIAL OWNERS OF THE COMPANY/CORPORATE TRUSTEE

Please provide details of the Beneficial Owner of the company who directly or indirectly control the company in Section 5.6. Please refer to Section 9 if you are unsure as to what Beneficial Owner means.

### 3.2 CONTACT PERSON DETAILS *(Financial Adviser details not accepted)*

Given Names

Surname

Postal Address

Suburb

State

Postcode

Country

Email

Mobile Number

Telephone

### 3.3 IDENTIFICATION DOCUMENTS

To comply with AML/CTF legislation, we must collect certain identification documents from prospective investors and their beneficial owners supported by CERTIFIED COPIES of relevant identification documents for all investors and their beneficial owners.

Please refer to Section 8 for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

**Select one of the following options** to verify the company.

- Perform a search of the ASIC database (unit registry to perform on behalf of the investor); or
- Provide a certified copy of the certification of registration issued by ASIC or the relevant foreign registration body (must show full name of company, name of registration body, company identification number and type of company - private or public).

**Select one of the following options** to verify the Officeholders who have signed the Application Form and Beneficial Owners identified in Section 5.6.

- Provide a certified copy of a driver's licence that contains a photograph of the licence/permit holder; or
- Provide a certified copy of a passport that contains a photograph and signature of the passport holder.

## 4. TRUST/SUPERANNUATION FUND

Complete this section if you are invested for, or on behalf of, a Trust/Superannuation Fund.

### 4.1 TRUST/FUND DETAILS

Full Name of Trust/Superannuation Fund

Country of Establishment

Tax File Number or Exemption Code

Australian Business Number (if any)

#### 4.1.1 TYPE OF TRUST

(Please tick **ONE** box from the list below to indicate the type of Trust and provide the required information)

**Type A:**  Regulated Trust (e.g. self-managed superannuation fund)

Name of regulator (e.g. ASIC, APRA, ATO)

Registration/Licensing details

**Type B:**  Government Superannuation Fund

Name of the legislation establishing the fund

**Type C:**  Foreign Superannuation Fund

Name of Regulator

Registration/Licensing Details

**Type D:**  Other Type of Trust/Unregulated Trust

Trust Description (e.g. family, unit, charitable)

## 4.2 ADDITIONAL INFORMATION FOR TYPE C AND TYPE D TRUSTS

### 4.2.1 SETTLOR OF THE TRUST

The material asset contribution to the trust by the settlor at the time the trust was established was less than \$10,000.00.

The settlor of the trust is deceased.

Neither of the above is correct:  
Provide the full name of the settlor of the trust.

### 4.2.2 BENEFICIARY DETAILS

Do the terms of the Trust identify the beneficiaries by reference to a membership of a class?

**Yes** - Describe the class of beneficiaries below (e.g. unit holders, family members of named person, charitable purposes)

**No** - Provide the full names of each beneficiary in respect of the trust in Section 5.6 (includes beneficial owners who ultimately own 25% or more of the trust). Refer to Section 9 if you are unsure as to what Beneficial Owner means.

## 4.3 TRUSTEE DETAILS

If a trustee is an individual, please complete Section 2. If a trustee is a company, please complete Section 3.

## 4.4 IDENTIFICATION DOCUMENTS

To comply with AML/CTF legislation, we must collect certain information from prospective investors and their beneficial owners supported by CERTIFIED COPIES of relevant identification documents for all investors and their beneficial owners.

Please refer to Section 8 for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

**For Trusts identified under 4.1.1 as Type A & Type B** - select one of the following options to verify the Trust.

Perform a search of the relevant regulator's website e.g. 'Super Fund Lookup' (unit registry to perform on behalf of the investor);

Provide a copy of an offer document of the managed investment scheme e.g. a copy of a Product Disclosure Statement; or

Provide a copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.

**For Trusts identified under 4.1.1 as Type C & Type D** - select one of the following options to verify the Trust.

Provide a certified copy or a certified extract of the Trust Deed containing the cover page, recitals and signature page;

Provide an original letter from a solicitor or qualified accountant that confirms the name of the Trust and full name of the settlor of the Trust; or

Provide a notice issued by the Australian Taxation Office within the last 12 months (e.g. a Notice of Assessment).

**For Trusts identified under 4.1.1 as Type C & Type D** – select one of the following options to verify the Beneficiaries and the Beneficial Owners identified in Section 5.6.

- Provide a certified copy of a driver's licence that contains a photograph of the licence/permit holder; or
- Provide a certified copy of a passport that contains a photograph and signature of the passport holder.

**AND** relevant identification documents for the trustee as specified in Section 2 or 3 (as applicable).

## 5. ACCOUNT HOLDER'S TAX RESIDENCY AND CLASSIFICATION - FATCA & CRS

The account holder is the person listed or identified as applicant in Sections 2, 3 and 4 (**Account Holder**).

The Account Holder's Country of Tax Residence, Tax payer Identification Number (**TIN**) or Tax File Number (**TFN**), Global Intermediary Identification Number (**GIIN**), FATCA Status, CRS Status and Controlling Persons (includes Beneficial Ownership details) should be provided in this section. If the person opening the account is not a Financial Institution and is acting as an intermediary, agent, custodian, nominee, signatory, investment advisor or legal guardian on behalf of one or more other account holders this form must be completed by or on behalf of that other person who is referred to as the Account Holder.

If you are unable to complete this form please seek appropriate advice relating to the tax information required. For further details relating to the implementation of FATCA and CRS, please refer to the Australian Taxation Office's guidance material link:

<https://www.ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/Automatic-exchange-of-information---CRS-and-FATCA/>

If you are invested:

- i. **As an Individual/Joint Investors/Sole Trader** please complete Section 5.1.
- ii. **All other types of entities** please complete Sections 5.2, 5.3, 5.4, 5.5 and 5.6.

### 5.1 TAX RESIDENCE - INDIVIDUAL/SOLE TRADER

#### 5.1.1 INVESTOR 1

Please provide details for all jurisdictions in which the Account Holder is resident for tax purposes (including Australia).

Country of Tax Residence 1	TIN 1/TFN	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	
Country of Tax Residence 2 (if applicable)	TIN 2/TFN (if applicable)	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	
Country of Tax Residence 3 (if applicable)	TIN 3/TFN (if applicable)	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	

**TIN Unavailable Explanation(s)** – If any 'TIN Unavailable' box is checked, please provide an explanation.

- I certify the tax residence countries provided represent all countries in which I am considered a tax resident.**  
If Account Holder has additional countries of tax residence please attach a statement to this form containing the Country and TIN for each such additional country.

#### 5.1.2 IS THE ACCOUNT HOLDER A U.S. PERSON?

A U.S. person includes a U.S. citizen or resident alien of the U.S. even if residing outside the U.S.

- Yes** If 'Yes', the Account Holder's U.S. country of residence and U.S. Tax Identification Number must be provided above.
- No**

*(If individual, proceed to Section 6. If Joint Investor, proceed to Section 5.1.3)*

### 5.1.3 INVESTOR 2

Please provide details for all jurisdictions in which the Account Holder is resident for tax purposes (including Australia).

Country of Tax Residence 1	TIN 1/TFN	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	
Country of Tax Residence 2 (if applicable)	TIN 2/TFN (if applicable)	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	
Country of Tax Residence 3 (if applicable)	TIN 3/TFN (if applicable)	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	

**TIN Unavailable Explanation(s)** - If any 'TIN Unavailable' box is checked, please provide an explanation.

**I certify the tax residence countries provided represent all countries in which I am considered a tax resident.**  
If Account Holder has additional countries of tax residence please attach a statement to this form containing the Country and TIN for each such additional country.

### 5.1.4 IS THE ACCOUNT HOLDER A U.S. PERSON?

A U.S. person includes a U.S. citizen or resident alien of the U.S. even if residing outside the U.S.

**Yes** If 'Yes', the Account Holder's U.S. country of residence and U.S. Tax Identification Number must be provided above.

**No**

(Proceed to Section 6)

### 5.2 ACCOUNT HOLDER'S GIIN (IF ANY) - COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

Account Holder's GIIN (if any)

Sponsoring Entity's Name (if the Account Holder is a sponsored entity, please provide the sponsor's GIIN)

### 5.3 TAX RESIDENCE OF THE ACCOUNT HOLDER - COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

Please provide details for all jurisdictions in which the Account Holder is resident for tax purposes (including Australia).

Country of Tax Residence 1	TIN 1/TFN	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	
Country of Tax Residence 2 (if applicable)	TIN 2/TFN (if applicable)	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	
Country of Tax Residence 3 (if applicable)	TIN 3/TFN (if applicable)	TIN Unavailable: <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	

**TIN Unavailable Explanation(s)** - If any 'TIN Unavailable' box is checked, please provide an explanation.

**I/We certify the tax residence countries provided represent all countries in which the Account Holder is considered a tax resident.**

If Account Holder has additional countries of tax residence please attach a statement to this form containing the Country and TIN for each such additional country.

### 5.4 FATCA STATUS - COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

#### 5.4.1 U.S. PERSON CERTIFICATION

Is the Account Holder a specified U.S. person?

**Yes** Provide a U.S. Taxpayer Identification Number (TIN):

**No** (Proceed to Section 5.4.2)



## 5.4.2 NON U.S. PERSON CERTIFICATION

Select a classification that matches your FATCA status:

Select only a single category.

- Exempt Beneficial Owner (includes self-managed superannuation fund)** *(Proceed to Section 5.5)*
- Active NFFE** *(Proceed to Section 5.5)*
- Passive NFFE** *(Complete Section 5.5 and 5.6)*
- Direct Reporting NFFE** *(Provide GIIN in Section 5.2 then proceed to Section 5.5)*
- Participating FFI** *(Provide GIIN in Section 5.2 then proceed to Section 5.5)*
- Local/Partner Jurisdiction FFI** *(Provide GIIN in Section 5.2 then proceed to Section 5.5)*
- Deemed-Compliant FFI**  
Select deemed-compliant category:
- Trustee-Documented Trust** *(Provide GIIN and Trustee name in Section 5.2 then proceed to Section 5.5)*
- Sponsored Investment Vehicle** *(Provide GIIN and Sponsor's name in Section 5.2 then proceed to Section 5.5)*
- Registered-Deemed Compliant FFI** *(Provide GIIN in Section 5.2 then proceed to Section 5.5)*
- Other Deemed-Compliant Category** *(Proceed to Section 5.5)*
- Nonparticipating FFI** *(Proceed to Section 5.5)*
- Sponsored Direct Reporting NFFE** *(Provide GIIN and Sponsor's name in Section 5.2 then proceed to Section 5.5)*
- Other - describe the FATCA status**  
  
*(Proceed to Section 5.5)*

## 5.5 CRS STATUS - COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

### 5.5.1 FINANCIAL INSTITUTION

Is the entity an Investment Entity managed by another Financial Institution?

- Yes** If any tax residence country provided is not a participating CRS jurisdiction, then complete Section 5.6.
- No** *(Proceed to Section 5.5.2)*

### 5.5.2 NON-FINANCIAL ENTITY (NFE)

If the Account Holder is a Non-Financial Entity (NFE), select a classification that matches your CRS status:

- Non-Reporting Financial Institution (includes Broad Participation Retirement Fund, Narrow Participation Retirement Fund, Exempt Collective Investment Vehicle, Trustee Documented Trust and Self-managed Superannuation Fund)**  
*(Proceed to Section 6)*
- Other Active NFE** *(Proceed to Section 6)*
- Passive NFE** *(Complete Section 5.6)*
- Government Entity, International Organisation and Central Bank** *(Proceed to Section 6)*
- A corporation, the stock of which is regularly traded on an established securities market (or entity related to such a corporation):**  
Name of Securities Market:   
OR  
Name of Related Entity:   
*(Proceed to Section 6)*
- Other - describe the CRS Status**  
  
*(Proceed to Section 6)*

**5.6 CONTROLLING PERSONS (INCLUDES BENEFICIARY DETAILS UNDER SECTIONS 3.1.3 AND 4.2.2)**

**This section is considered an integral part of the self-certification to which it is associated. If there is a change in Controlling Persons/Beneficial Ownership, please submit an updated form within 30 days.**

**5.1.1  CONTROLLING PERSON 1 AND/OR  BENEFICIAL OWNER 1**

First Name  Family Name/Surname

Current Residential Address

City/Town  State/Province  Postcode  Country (do not abbreviate)

Date of Birth (DD/MM/YYYY)  City/Town of Birth  Country of Birth

Country of Tax Residence 1  TIN/TFN 1

Country of Tax Residence 2  TIN/TFN 2

Country of Tax Residence 3  TIN/TFN 3

**TIN Unavailable Explanation(s)** - If TIN is not provided above, please provide an explanation.

**5.1.2  CONTROLLING PERSON 2 AND/OR  BENEFICIAL OWNER 2**

First Name  Family Name/Surname

Current Residential Address

City/Town  State/Province  Postcode  Country (do not abbreviate)

Date of Birth (DD/MM/YYYY)  City/Town of Birth  Country of Birth

Country of Tax Residence 1  TIN/TFN 1

Country of Tax Residence 2  TIN/TFN 2

Country of Tax Residence 3  TIN/TFN 3

**TIN Unavailable Explanation(s)** - If TIN is not provided above, please provide an explanation.

If there are more than 2 Controlling Persons or Beneficial Owners or Countries of Tax Residence, please provide the details on a separate page and attach to this Application Form.

## 6. POLITICALLY EXPOSED PERSON (PEP) – Refer to Section 9 for details

Are there any PEPs under this Application Form?

Yes

No

If yes, please provide the name of anyone that is named in this Application Form as a PEP (includes investors, company directors and beneficial owners) or is an immediate family member or close associate of a PEP.

**Name of the PEP**

**Description of PEP's position**

**Name of the PEP**

**Description of PEP's position**

If there more than 2 PEPs please provide the details on a separate page and attach to this Application Form

## 7. INVESTOR DECLARATION AND SIGNATURES

### DECLARATION AND SIGNATURES

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

- The information provided in my/our Form is true, correct and complete in all respects;
- I/we agree to be bound by the provisions of the Constitution governing the Fund and the terms and conditions of the PDS, each as amended from time to time;
- If this Form is signed under Power of Attorney, each Attorney declares he/she has not received notice of revocation of that power (a certified copy of the Power of Attorney should be submitted with this Form);
- I/we have all requisite power and authority to execute and perform the obligations under the PDS and this Form;
- I/we have read the information on privacy and personal information contained in the PDS and consent to my/our personal information being used and disclosed as set out in the PDS;
- I/we indemnify the Issuer and each of its related bodies corporate, directors and other officers, shareholders, servants, employees, agents and permitted delegates (together, the **Indemnified Parties**) and to hold each of them harmless from and against any loss, damage, liability, cost or expense, including reasonable legal fees (collectively, a **Loss**) due to or arising out of a breach of representation, warranty, covenant or agreement by me/us contained in any document provided by me/us to the Issuer, its agents or other parties in connection with my/our investment in the Fund. The indemnification obligations provided herein survive the execution and delivery of this Application Form, any investigation at any time made by the Issuer and the issue and/or sale of the investment;
- To the extent permitted by law, I/we release each of the Indemnified Parties from all claims, actions, suits or demands whatsoever and howsoever arising that I/we may have against any Indemnified Party in connection with the PDS or my/our investment;
- Other than as disclosed in this Form, no person or entity controlling, owning or otherwise holding an interest in me/us is a United States citizen or resident of the United States or any other country for taxation purposes;
- I/we will promptly notify the Issuer of any change to the information I/we have previously provided to the Issuer, including any changes which result in a person or entity controlling, owning or otherwise holding an interest in me/us;
- I/we consent to the Issuer disclosing any information it has in compliance with its obligations under the US Foreign Account Tax Compliance Act (**FATCA**) and the OECD Common Reporting Standards for Automatic Exchange of Financial Account Information (**CRS**) and any related Australian law and guidance implementing the same. This may include disclosing information to the Australian Taxation Office, who may in turn report that information to the relevant tax authorities as required;
- I/we acknowledge that the collection of my/our personal information may be required by the Financial Transaction Reports Act 1988, the Corporations Act 2001, the Income Tax Assessment Act 1936, the Income Tax Assessment Act 1997, the Taxation Administration Act 1953, the FATCA and CRS (includes any related Australian law and guidance) and the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Otherwise, the collection of information is not required by law, but I/we acknowledge that if I/we do not provide personal information, the Issuer may not allow me/us to invest in the Fund;
- I am/we are not aware and have no reason to suspect that the monies used to fund my/our investment in the Fund have been or will be derived from or related to any money laundering, terrorism financing or similar or other activities illegal under applicable laws or regulations or otherwise prohibited under any international convention or agreement (**AML/CTF Law**);
- I/we will provide the Issuer with all additional information and assistance that the Issuer may request in order for the Issuer to comply with the AML/CTF Law, FATCA and CRS;

- I/we acknowledge that the Issuer may decide to delay or refuse any request or transaction, including by suspending the issue or redemption of investment in the Fund, if the Issuer is concerned that the request or transaction may breach any obligation of, or cause the Issuer to commit or participate in an offence (including under the AML/CTF Law, FATCA and CRS).

Signature 1\*

Full Name

Date

Tick capacity (mandatory for companies):

- Sole Director and Company Secretary  
 Director  
 Secretary

Company Seal (if applicable)

Signature 2\*

Full Name

Date

Tick capacity (mandatory for companies):

- Sole Director and Company Secretary  
 Director  
 Secretary

\*Joint applicants must both sign;

\*Company applications must be signed by two Directors, a Director and Secretary or the Sole Director and Secretary of the company, details of which appear in Section 3.1; or

\*For trust/superannuation fund applications each individual trustee must sign.

**Next Steps:**

**Step 1 – Complete Form** (i.e. fill in all relevant sections of this form in blue or black pen)

**Step 2 – Send your form**

**Post/Delivery** – Please post completed form and all supporting documents to:  
 One Registry Services  
 PO Box R1479  
 Royal Exchange NSW 1225

## 8. CERTIFYING A COPY OF AN ORIGINAL DOCUMENT

All documents must be provided in a certified copy format – in other words, a copy of the original document that has been certified by an eligible certifier.

A 'certified extract' means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described below.

Please note that we require the copy which was actually signed by the certifier (i.e. the original penned signature of the certifier).

### People who can certify documents or extracts are:

1. A lawyer, being a 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).
2. A judge of a court.
3. A magistrate.
4. A chief executive officer of a Commonwealth court.
5. A registrar or deputy registrar of a court.
6. A Justice of the Peace.
7. A notary public (for the purposes of the *Statutory Declaration Regulations 1993*).
8. A police officer.
9. An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public.
10. A permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public.
11. An Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*).
12. An officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the *Statutory Declaration Regulations 1993*).
13. A finance company officer with 2 or more continuous years of service with one or more financial companies (for the purposes of the *Statutory Declaration Regulations 1993*).
14. An officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees.
15. A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

## 9. KEY DEFINITIONS

### CONTROLLING PERSON(S)

'Controlling Persons' means with respect to an entity that is a legal person, natural person(s) who exercises control over an entity.

This should be interpreted in a manner consistent with relevant Financial Action Task Force Recommendations on the terms "beneficial owner". Investors that are Passive NFFEs or NFEs under FATCA and CRS respectively should consult their own advisors regarding any Control Person(s) they may have.

### POLITICALLY EXPOSED PERSONS (PEP)

To comply with AML/CTF laws, we require you to disclose whether you 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.

### BENEFICIAL OWNER

To comply with AML/CTF laws, we require you to disclose the Beneficial Owners. Beneficial Owner means an individual who ultimately owns or controls (directly or indirectly) the investor.

'Owns' means ownership (either directly or indirectly) of 25% or more of the investor.

'Controls' includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising and control through the capacity to determine decisions about financial and operating policies.

### TAXPAYER IDENTIFICATION NUMBER (TIN)

Taxpayer Identification Number (**TIN**) means the number assigned by each country for the purpose of administering tax laws. This is the equivalent of a Tax File Number (**TFN**) in Australia or an Employer Identification Number (**EIN**) in the U.S.

### GLOBAL INTERMEDIARY IDENTIFICATION NUMBER (GIIN)

Global Intermediary Identification Number (**GIIN**) means the Global Intermediary Identification Number (**GIIN**) and it is a unique identification number that non-US financial institutions receive from the IRS (i.e. IRS of the U.S.) when they register as a financial institution for FATCA.

### FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)

FATCA means the U.S. Foreign Account Tax Compliance Act.

### COMMON REPORTING STANDARDS (CRS)

CRS means OECD Common Reporting Standards for Automatic Exchange of Financial Account Information.