



EASTWOOD SECURITIES
MORTGAGE FUND



MORTGAGE FUND APPLICATION FORM

04 MAY 2021

ARSN 146 451 792 | ACN 143 030 540

Trustee – Melbourne Securities Corporation Limited

ACN 160 326 545 | AFS Licence 428 289

Fund Manager – Eastwood Securities Pty Ltd

eastwoodsecurities.com.au

HOW TO COMPLETE AN APPLICATION FORM

Please complete all relevant sections
of the Application Form using **BLOCK LETTERS**.

SECTION 1

INVESTOR DETAILS

Enter the full name(s) and title(s) of all legal entities that are to be recorded as the registered Member(s). Up to 2 joint applicants may register. Existing Members whose personal details remain unchanged need only complete their name and the amount of the additional investment they wish to make in the Fund. However, existing Members who wish to invest in a different legal capacity must complete the appropriate sections of the Application Form in full and provide the Fund Manager with the identification documentation required in relation to the new capacity in which they now wish to invest.

APPLICATIONS BY NEW INVESTORS

In accordance with the anti-money laundering and counter-terrorism financing (AML/CTF) regulatory requirements, you must provide the Fund Manager with supporting documentation/identification along with your completed Application Form if you are a new investor in the Fund.

TAX FILE NUMBER (TFN)

Enter the Tax File Numbers ("TFN") of the Applicants. Where applicable please enter the TFN for each joint Applicant. Collection of the TFNs is authorised by taxation laws. It is not compulsory to provide your TFN, however, if you do not provide your TFN, tax will be deducted at the top marginal rate plus the Medicare Levy. If you have a TFN exemption, please provide exemption details.

SECTION 2

CONTACT DETAILS

Please enter your contact details for all correspondence. All communications to you from the Fund Manager will be emailed to the person(s) and address as shown. For joint applicants, only one address can be entered.

SECTION 3

INVESTMENT DETAILS

Please provide details of your preferred investment amount at this time. The minimum investment will be disclosed in the SPDS specific to a particular Conforming Mortgage Investment.

HOW THE INVESTMENT AMOUNT IS TO BE PAID

Remit funds directly by ELECTRONIC FUNDS TRANSFER (EFT). In this instance you must firstly email the completed Application Form to the Fund Manager at investments@eastwoodsecurities.com.au. On receipt of your completed application, Eastwood will forward your reference number. Once you have your reference number, you can proceed to EFT your investment money quoting your reference number.

SECTION 4

DISTRIBUTIONS

Complete this section for payment of your distributions. All income distributions will be paid directly into a nominated bank, credit union or building society account. Applications that do not contain bank account details for distributions may be rejected by the Fund Manager.

SECTION 5

APPLICATION DECLARATION AND SIGNATURE

Each Applicant must read the declaration and sign the form. If your investment is to be made in joint names, all Applicants must sign in the appropriate sections. If you are signing as an attorney a certified copy of the power of attorney must accompany this form. To invest in the Fund, please ensure you have completed the checklist below:

- complete all relevant details on the Application Form including section 4 Distributions;
- sign and date the Application Form, attach requisite identification documentation; and
- email or send the completed Application Form to:

investments@eastwoodsecurities.com.au

Eastwood Securities Pty Ltd
Investment Liaison Officer
Suite 5, 1 Markey Street
Eastwood SA 5063

Note that only legal entities are allowed to participate in the Fund and invest in Conforming Mortgage Investments. Applications must be in the name of a natural person or natural persons, company or any other legal entity.

SECTION 6

POWER OF ATTORNEY

Each Applicant grants the Fund Manager a power of attorney to complete any security and other document in relation to the registration, discharge, and enforcement of a mortgage on their behalf.

SECTION 7

SIGNATURES REQUIRED

Please provide each of the signatures required to enable receipt of your investment application.

EASTWOOD SECURITIES MORTGAGE FUND APPLICATION FORM

SECTION 1. INVESTOR DETAILS

INDIVIDUAL/JOINT INVESTORS			
Surname		First Name(s)	
Title		Date of Birth	
Tax File Number (TFN)			
Surname		First Name(s)	
Title		Date of Birth	
Tax File Number (TFN)			
COMPANY INVESTORS			
Company Name		Australian Company Number (ACN)	
Director Surname		First Name(s)	
Title		Date of Birth	
Director/Secretary Surname		First Name(s)	
Title		Date of Birth	
SUPERANNUATION FUND/TRUST INVESTORS			
Fund/Trust Name		Tax File Number (TFN)	
Individual Trustee(s)	Complete "Individual/Joint Investors" section in addition		
Company Trustee	Complete "Company Investors" section in addition		
MINOR INVESTORS (person under the age of 18)			
Adult (Trustee) Surname		First Name(s)	
Title		Date of Birth	
Tax File Number (TFN)		First Name(s)	
Minor (Beneficiary) Surname		Date of Birth	

DECEASED ESTATE INVESTORS

Estate Name		Tax File Number (TFN)	
Executor Surname		First Name(s)	
Title		Date of Birth	
Executor Surname		First Name(s)	
Title		Date of Birth	

PARTNERSHIP INVESTORS

Partnership Name			
Partner Surname		First Name(s)	
Title		Date of Birth	
Tax File Number (TFN)			
Partner Surname		First Name(s)	
Title		Date of Birth	
Tax File Number (TFN)			

POLITICALLY EXPOSED PERSONS (PEP'S)

Individuals who occupy a prominent, public position or function in a government body or international organisation either within or outside Australia. This definition extends to immediate family members and close associates.

☐ Yes

☐ No

NEW INVESTORS ONLY

If you are an existing Member of the Fund then you do not need to provide proof of identification.

Please proceed to Section 2 of this Application Form. If you are a **NEW** Member, then we must identify you in compliance with AML/CTF requirements. Based on the type of investor you are, please select the proof of identification below and ATTACH the documents you select to this Application Form:

*Individuals Note:

If this document is in a language other than English, please provide a translation by an accredited translator.

Certified copy of ONE of the following:

- Passport*
- Birth Certificate*
- Citizenship Certificate*

AND

Certified copy of ONE of the following:

- Drivers Licence*
- Commonwealth / State / Territory notice
- ATO notice, Council rates notice or utilities notice
- Pension Card

Companies	Provide the following:	<input type="checkbox"/> ASIC Company Search
Registered Managed Investment Schemes	Provide the following:	<input type="checkbox"/> ASIC Company Search
Wholesale Managed Investment Schemes	<p>The following declaration must be completed by an Applicant who is an unregistered managed investment scheme with Wholesale Clients (only):</p> <p><input type="checkbox"/> We confirm we are an unregistered managed investment scheme with wholesale clients ONLY and we do not make small scale offerings under section 1012E of the Companies Act.</p>	
Other Trusts	<p>Provide ALL of the documents listed below and attach them to this Application Form:</p> <p><input type="checkbox"/> a certified copy or certified extract of the trust deed;</p> <p><input type="checkbox"/> document listing each beneficiary or the details of each class of beneficiary,</p> <p>AND</p> <p><input type="checkbox"/> in relation to the trustee, select the appropriate item:</p> <ul style="list-style-type: none"> • if the trustee is an individual, provide verification material for individuals set out above; OR • if the trustee is a company, provide verification material for the type of company set out above. 	
List of Acceptable Persons for Certification	<ul style="list-style-type: none"> • a person who, under a law in force in a State or Territory, is currently licensed or registered to practise in the following occupations (as listed in Part 1 of Schedule 2 of the Statutory Declarations Regulations 1993): Dentist, Legal practitioner, Medical Practitioner, Nurse, Pharmacist; • member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the National Institute of Accountants • 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); • an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more years of continuous service with one or more licensees; • an officer with, or a credit representative of, a holder of an Australian credit licence, having 2 or more years of continuous service with one or more licensees; • a person authorised as a notary public in a foreign country. 	

SECTION 2. CONTACT DETAILS

Residential or Company Registered Address			
Street Name / PO Box			
Suburb / Town		State	
Postcode		Country	
Work Phone	()	Mobile	()
Home Phone	()	Fax	()
Email Address			
If you are an overseas investor, please complete the FACTA & CRS Tax Residency Self-Certification Form attached to this application.			

SECTION 3. INVESTMENT DETAILS

Please indicate the amount you wish to invest in the Fund:	\$	
Payment Options: Note, your payment will not be processed until completion of the specific Application Form attached to an SPDS. EFT (See details on how to EFT your investment in Section 7.8 of the PDS.) Make your payment to "Sandhurst Trustees Limited ACF Eastwood Applications Account" BSB: 083-376 Acct No: 18-164-5210		
<input type="checkbox"/> 1 - 6 months	<input type="checkbox"/> 6 -12 months	<input type="checkbox"/> 12 months or more
<input type="checkbox"/> Residential Security	<input type="checkbox"/> Established	<input type="checkbox"/> Vacant Land
<input type="checkbox"/> Regional / Rural Security	<input type="checkbox"/> Established	<input type="checkbox"/> Vacant Land
<input type="checkbox"/> Commercial / Industrial Security	<input type="checkbox"/> Established	<input type="checkbox"/> Vacant Land
<p>The Eastwood Securities Mortgage Fund ("Fund") Product Disclosure Statement provides information about participating in the Fund and investing in Conforming Mortgage Investments. The current version of the PDS can be found on the Eastwood Securities website at www.eastwoodsecurities.com.au. Any person who gives another person access to this Application Form must also give the person access to the current Eastwood Securities Mortgage Fund PDS and any supplementary documents. You should read the PDS before completing this Application Form. The Fund Manager who has provided an electronic copy of the PDS will send you a paper copy of the PDS and any supplementary document and Application Form free of charge if you so request during the period of the offer specified in the PDS.</p>		

SECTION 4. DISTRIBUTION DETAILS

Please nominate your account for receipt of income entitlements			
Financial Institution		Branch	
Account Name			
BSB		Account Number	

SECTION 5. APPLICATION DECLARATION

I/we declare that:

- all details in this Application Form are true and correct;
- I/we have received a copy of the current PDS to which this Application Form applies and have read and understand it and agreed to the offer contained in it and to be bound by the provisions of the Constitution;
- I/we have legal power to invest in accordance with this Application Form;
- (in the case of joint applications) we agree that unless expressly indicated in this Application Form, our interests will be held as joint tenants and either investor is able to operate the investment's account and bind the other investor for future transactions, including additional deposits and withdrawals, in respect of this investment;
- (if this Application Form is signed under power of attorney) I/we as attorney declare that I/ we have not received notice of revocation of that power (and a certified copy of the relevant power of attorney should be submitted with this Application Form unless the Fund Manager has already sighted it);
- (if this Application Form is signed by a sole signatory on behalf of a company), I confirm that I am signing as sole director and sole secretary of the investing company;
- (if investing as trustee of a superannuation fund or trust) I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed of the relevant superannuation fund or trust, and in the case of superannuation funds, I/we also confirm that such fund is a complying fund under the Superannuation Industry (Supervision) Act 1993;
- **I/we:**
 - acknowledge that I/we have read that section of the PDS headed "Privacy and Personal Information"
 - am/are aware that unless and until I/we inform the Fund Manager otherwise, I/we will be taken to have consented to all the uses of my/our personal information (including marketing) mentioned in that section; and
 - understand that if I/we fail to provide any information required by this Application Form or do not agree to any of the possible uses detailed above, my/our Application for investment may not be accepted;
- I/we acknowledge that investments in the Fund are subject to investment risk, including possible delays in repayment and loss of income or capital invested, and are not deposits with, or liabilities of, the Fund Manager or the Trustee; and
- I/we acknowledge that none of Eastwood Securities Pty Ltd, Melbourne Securities Corporation Limited or their related entities guarantees the performance of the Fund or the repayment of capital or any particular rate of return or any distribution.

SECTION 6. POWER OF ATTORNEY

By a person completing:

- this Application Form, having read the current PDS for the Eastwood Securities Mortgage Fund; and
- the Application Form attached to the relevant SPDS for your investment, that person appoints the Fund Manager and each of its officers as their respective attorneys in accordance with clause 19 of the Constitution ("Attorney"), amongst other things to:
- execute a mortgage, variation or discharge and, in the event of a default, a contract of sale and transfer of the mortgage security;
- take possession of any mortgage security and exercise the mortgagee power of sale;
- recover all outstanding interest or principal secured by the mortgage; and
- do all things that are necessary to give effect to any document considered to be in the interests of the investor on the terms and conditions contained in this PDS and/or the relevant SPDS.

Each Attorney may at any time, complete the schedules to the loan agreement and any security document identified in an SPDS and:

- sign any instrument (including the mortgage, loan agreement, or mortgage debenture) on behalf of;
- do any act on behalf of; and
- use the name of,

the investor to give effect to any document relating to the registration, discharge and enforcement of the mortgage or loan agreement.

An Attorney may delegate its powers (including the power to delegate) to any person for any period and may revoke the delegation.

This power of attorney is granted for valuable consideration (receipt of which is acknowledged) which includes the Fund Manager presenting this direct mortgage investment opportunity to the investor.

SECTION 7. SIGNATURES REQUIRED FOR INVESTMENT APPLICATIONS AND REDEMPTIONS

<input type="checkbox"/> Single	<input type="checkbox"/> Joint - One to Sign	<input type="checkbox"/> Joint - Both to Sign	<input type="checkbox"/> Other Signature Required
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INVESTOR 1 SIGNATURE

Please sign:		Date	/	/
Individual / Director / Trustee / Executor / Partner				
Print Name:				

INVESTOR 2 SIGNATURE

Please sign:		Date	/	/
Individual / Director / Trustee / Executor / Partner				
Print Name:				

INVESTOR 3 SIGNATURE

Please sign:		Date	/	/
Individual / Director / Trustee / Executor / Partner				
Print Name:				

PLEASE NOTE:

If signing under a power of attorney you must provide the appropriate identification and a certified copy of the power of attorney and verify that at the time of signing you have not received notice of revocation of that power.

IMPORTANT NOTICE:

It is important that you have read the current PDS before applying to invest in the Fund. This application must not be handed to any person unless provided with access to the current PDS. Eastwood Securities Pty Ltd and/or Melbourne Securities Corporation Limited may in their absolute discretion refuse any application. Persons external to Eastwood Securities Pty Ltd and Melbourne Securities Corporation Limited or other entities who market the Fund are not agents of either Eastwood Securities Pty Ltd or Melbourne Securities Corporation Limited but are independent investment advisors. Eastwood Securities Pty Ltd and Melbourne Securities Corporation Limited will not be bound by representatives or statements which are not contained in information disseminated by them. This Fund is administered by Melbourne Securities Corporation Limited (AFSL 428289).

FATCA AND CRS TAX RESIDENCY SELF-CERTIFICATION FORM



EASTWOOD SECURITIES
MORTGAGE FUND

The Australian Government has entered into agreements under which it has agreed to the automatic exchange of financial account information with other countries. These arrangements are commonly known as Foreign Account Tax Compliance Act (FATCA) in the case of exchange by Australia with the United States and Common Reporting Standard (CRS) in the case of exchange by Australia with other jurisdictions that have implemented CRS.

Tax Regulations have been introduced which require us to collect certain information about each investor's tax residency, along with further relevant information in this form. In each case, we may use the information you provided in this form for the purpose of assisting us, our affiliates and our agents to comply with the Tax Regulations, including by disclosure to the Australian Taxation Office (ATO), in certain circumstances (including if we don't receive a valid self-certification from you) we may be obliged to share information about your account(s) with the ATO. In each case, the ATO may in turn share this information with the tax authorities of any or all participating jurisdictions, including the U.S.

Terms referenced in this form have the same meaning as applicable under the relevant Inter Government Agreement, U.S. FATCA Regulations, CRS Regulations and/or Local Guidance Notes. If any of the information below regarding your tax residence or FATCA or CRS classification changes in the future, please ensure you advise us of these changes immediately.

Eastwood Securities is not able to provide you with tax or professional advice, including in respect to your tax residency or classification in respect of FATCA or CRS. If you have any questions about how to complete this form, we recommend you contact your tax advisor.

Please complete this form using BLACK INK and write clearly within the boxes in CAPITAL LETTERS. Mark appropriate boxes with a cross (x). Completed application forms should be posted or delivered to Eastwood Securities using the address provided at the end of this form.

PART 1

Provide the full name of the registered holder of the investment, including any account designation such as the name of the trust

INDIVIDUAL DETAILS

Name of registered holder:

Registered address:

PART 2

Provide the name of the Eastwood Securities investments in which you have invested

INVESTMENT DETAILS

Name of investment:

Name of investment:

PART 3

3A

INDIVIDUAL INVESTORS

Is this investment held on behalf of another individual ie. Does the Account Designation include a reference to one or more individuals (e.g. a child, an adult or a bankrupt individual) as being the beneficial owner?

☐

No - The account is held solely for the benefit of the registered holders who are individuals

☐

Yes - The account is held for the benefit of one or more individuals

In both cases Go to Part 3B.

3B

Are the individuals from Part 3A or Part 4C a U.S. citizen or a tax resident of a country other than Australia?

☐

No - All of the individuals are solely Australian citizens and/or tax residents

Your certification is complete once you sign Part 7.

☐

Yes - One or more of the individuals are U.S. citizens or are tax residents of a foreign country

In both cases Go to Part 6C.

PART 4**ALL OTHER INVESTORS****4A**

Is this investment held on behalf of an Australian regulated superannuation fund (including complying SMSF), retirement or pension fund. i.e. does the Account Designation include the superannuation fund, pension or retirement fund name?

☐

No - Go to Part 4B

☐

Yes - What is the ABN of the fund?

Your certification is complete once you sign Part 7.

4B

Is the investment held by a person(s) or an entity acting in the capacity of executor or administrator of a deceased estate?

☐

No - Go to Part 4C

☐

Yes - Have you previously provided Eastwood Securities with proof of death such as a certified copy of the Death Certificate, Grant of Probate, Letters of Administration?

☐

No - I have attached proof of death

☐

Yes - I have previously provided proof of death

What is the name of the deceased person?

Your certification is complete once you sign Part 7.

4C

Is the investment held jointly by one or more living individuals or entities (the survivors) and one of more deceased persons (the deceased)?

☐

No - Go to Part 4D

☐

Yes - Have you previously provided Eastwood Securities with proof of death such as a certified copy of the Death Certificate, Grant of Probate, Letters of Administration?

☐

No - I have attached proof of death

☐

Yes - I have previously provided proof of death

What is the name of the deceased person?

In relation to the surviving joint holders: please go to Part 3B if an individual or Part 5 if an entity.

4D

Is this investment held by a public listed company, or a majority owned subsidiary of a public listed company (other than financial institutions)?

☐

No - Go to Part 4E

☐

Yes - If registered with ASIC, what is the company's registration number?

What is the name of the public listed parent company if a majority owned subsidiary?

What is the name of the market or exchange where the company is listed?

What is the company's unique exchange code e.g. ASX Code, ticker code?

Your certification is complete once you sign Part 7.

4E

Is this investment held by or on behalf of an entity, i.e. does the Account Designation include a reference to one or more entities (e.g. a family trust or partnership etc.) as being the beneficial owners?

☐

No - The account is held solely for the benefit of the registered holders who is/are entities

☐

Yes - The account is held for the benefit of an entity

In both cases, go to Part 5 - Entities.

PART 5**ENTITIES****5A**

Please select the option that best describes the entity. Provide the entity's Australian registration number (e.g. ACN, ABN, ARBN or ARSN) where applicable. The entity is best described as:

☐

An entity or legal arrangement established under the laws of the United States (U.S) or otherwise considered to be a resident of the U.S. for tax purposes. **Go to Part 6A.**

5 B

☐**Financial Institution (other than a U.S. financial institution)**

A financial institution includes the following entity types: a Depository Institution, an Investment Entity, Specified Insurance Company or a Custodial Institution.

What is your GIIN?

If your entity does not have GIIN, select the Foreign Financial Institution (FFI) status that most applies:

☐

Deemed Compliant Financial Institution

☐

Non-Participating Financial Institution

☐

Excepted Financial Institution

☐

Other - please describe:

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

Are you an investment Entity located in a non CRS participating jurisdiction and professionally managed by Another financial institution? Note: You can review the Automatic Exchange of Information (AEOI) guidance for non-CRS participating jurisdictions on the ATO website.

☐

No - Your certification is complete once you sign Part 7.

☐

Yes - What is the non-CRS participating jurisdiction?

Go to Part 6A.

5 C

☐**Not a Financial Account**

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

Certain accounts are not considered to be Financial Accounts' for the purpose of FATCA and CRS. These include:

a) An Employee Share Scheme or Trust as defined in the Income Tax Assessment ACT 1997 (Cth)

b) An escrow established in connection with a court order, or judgement, or a sale, exchange, or lease, or real or personal property where certain requirements have been met.

Your certification is complete once you sign Part 7.

5 D

☐**Exempt Beneficial Owner**

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

Under FATCA and CRS and Exempt Beneficial Owner includes an Australian government organisation or agency, the Reserve Bank of Australia and international (including intergovernmental) organisations.

Your certification is complete once you sign Part 7.

5 E

☐**Non-Financial Entity (NFFE/NFE)**

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

A NFFE/NFE includes a company that is not a financial institution, a partnership, a trust, a co-operative, an association or club or a charitable organisation etc. Is your entity an active or passive NFFE/NFE?

☐

Active NFFE/NFE - Go to Part 6A.

The entity operates an active trade or business (other than a financial business) earning its income from providing services or is engaged in producing, manufacturing or selling products or goods. Examples include: listed and regularly traded corporations, service providers, charities, primary producers, central banks and government agencies etc.

What type of active NFFE/NFE is your entity?

☐

A corporation the stock of which is regularly traded on an established securities market or a related entity of such a corporation:

a) Name of established market

b) If you are a related entity, name of corporation in which the stock of which is regularly traded on an established securities market

☐

A government entity or central bank

☐

An international organisation

☐

Other active NFFE/NFE (e.g. start-up NFE or non-profit NFE)

☐

Passive NFFE/NFE - Go to Parts 6A, 6B and 6C.

The entity earns 50% or more of its revenue from investment activities (e.g. rent, dividends, interest or distribution) or 50% or more of the entity's assets are used to generate investment income.

TAX RESIDENCY DETAILS

Please select the option that best describes the entity. Provide the entity's Australian registration number (e.g. ACN, ABN, ARBN or ARSN) where applicable. The entity is best described as:

☐

Entity (from Part 5A, 5B and 5E)

Please provide information about the entity's tax residency

Legal name of Entity

Entity street address

Tax resident
of Australia
only?

☐

Yes

a) If the entity is a passive NFFE/NFE or an investment entity located in a participating jurisdiction and managed by another Financial Institution

b) If the entity is an active NFFE/NFE - **Your certification is complete once you sign Part 7**

☐

No

Complete the following foreign tax residency information for every country in which you are a tax resident, then **Go to Part 6B**

Country 1

Tax Residency

Country 2

Tax Residency

Country 3

Tax Residency

TIN

OR

☐

Country does not issue TINs OR

☐

TIN is available, but has not been obtained or issued

TIN

OR

☐

Country does not issue TINs OR

☐

TIN is available, but has not been obtained or issued

TIN

OR

☐

Country does not issue TINs OR

☐

TIN is available, but has not been obtained or issued

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation:

Passive NFFE/NFE (from Part 5E and Part 6A) and Foreign Controlling Persons (From Part 5B and Part 6A)

Are there any beneficial owners or controlling persons (including those with direct or indirect ownership of 25% or more) of Passive NFFE/NFE or an Investment Entity located in a participating jurisdiction and managed by another Financial Institution who is U.S. citizen, OR a resident for tax purposes in a country other than Australia?

Controlling persons include the settlor, protector or appointer of a trust. All beneficiaries of a trust are considered to be controlling persons. In relation to a company or other entity, if there are no beneficial owners or controlling persons as described above, then the person who exerts ultimate control over the entity (e.g. has the authority to make financial, policy and operating decisions) is the controlling person.

☐

No – **Your certification is complete once you sign Part 7.**

☐

Yes - **Go to Part 6C.**

☐

Individuals (from Part 3B and Beneficial Owners and Controlling Persons from Part 6B)

Complete the following information for each individual investor, or each individual beneficial owner or controlling person. If there are more than four individual investors, beneficial owners or controlling persons, please attach a sheet with the required information.

Individual 1:

Legal name of Person

Date of Birth:

(dd/mm/yyyy)

Residential Street
Address

Tax resident
of Australia
only?

☐

Yes - **Your certification is complete once you sign Part 7**

☐

No - Complete foreign tax residency information for every country in which you are a tax resident:

Country 1

Tax Residency

Country 2

Tax Residency

Country 3

Tax Residency

6A

6B

6C

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation:

Individual 2:

Legal name of Person

Date of Birth:

(dd/mm/yyyy)

Residential Street
Address

Tax resident
of Australia
only?

☐

Yes - Your certification is complete once you sign Part 7

☐

No - Complete foreign tax residency information for every country in which you are a tax resident:

Country 1
Tax Residency

Country 2
Tax Residency

Country 3
Tax Residency

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation:

Individual 3:

Legal name of Person

Date of Birth:

(dd/mm/yyyy)

Residential Street
Address

Tax resident
of Australia
only?

☐

Yes - Your certification is complete once you sign Part 7

☐

No - Complete foreign tax residency information for every country in which you are a tax resident:

Country 1
Tax Residency

Country 2
Tax Residency

Country 3
Tax Residency

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation:

Individual 4:

Legal name of Person

Date of Birth:

(dd/mm/yyyy)

Residential Street
Address

Tax resident
of Australia
only?

☐

Yes - Your certification is complete once you sign Part 7

☐

No - Complete foreign tax residency information for every country in which you are a tax resident:

Country 1 Tax Residency Country 2 Tax Residency Country 3 Tax Residency

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

TIN OR ☐ Country does not issue TINs OR ☐ TIN is available, but has not been obtained or issued

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation:

PART 7

DECLARATION & SIGNING REQUIREMENTS

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete. I/We undertake to advise the recipient promptly and provide an updated form within 30 days where any change in circumstances occurs, which causes any of the information contained in this form to be inaccurate or incomplete. Where legally obliged to do so I/We hereby consent to the recipient sharing this information with the relevant tax information authorities. If this form is signed under Power of Attorney, I/We declare I/We have not received notice of revocation of the power. (Attach a copy of the Power of Attorney).

Investor / Individual 1 or Entity (Authorised Person)

Signature

Date (dd/mm/yyyy)

Full name

Capacity (e.g. Director / Company Secretary / Authorised Officer / Trustee / Partner)

Investor / Individual 2 or Entity (Authorised Person)

Signature

Date (dd/mm/yyyy)

Full name

Capacity (e.g. Director / Company Secretary / Authorised Officer / Trustee / Partner)

Investor / Individual 3 or Entity (Authorised Person)

Signature

Date (dd/mm/yyyy)

Full name

Capacity (e.g. Director / Company Secretary / Authorised Officer / Trustee / Partner)

Investor / Individual 4 or Entity (Authorised Person)

Signature

Date (dd/mm/yyyy)

Full name

Capacity (e.g. Director / Company Secretary / Authorised Officer / Trustee / Partner)

Personal Information Collection Notification Statement:

The Tax Laws Amendment (Implementation of FATCA Agreement Act 2014 (Cth), which inserted Division 396-FATCA into Schedule 1 of the Taxation Administration Act 1953 (Cth) and Tax Laws Amendment (Implementation of the Common Reporting Standard) Act 2016 (Cth) which gave domestic legal effect to the CRS obligations by inserting Division 396-C Common Reporting Standard into the Taxation Administration Act 1953 (Cth), requires certain organisations to obtain information about your residency and/or citizenship status for tax purposes. The personal information and self-certification collected complies with the requirements of the FATCA intergovernmental Agreement (IGA) entered into between the Australian and United States governments and the OECD requirements relating to the CRS including the guidelines of the ATO. Some or all of your personal information may be disclosed to the Australian Taxation Office (ATO), the U.S. Internal Revenue Service (IRS) or other foreign competent tax authorities, or as required under other Australian law.

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