

# ANTI-MONEY LAUNDERING (AML) & KNOW YOUR CUSTOMER (KYC) FORM

## Instructions to complete

- Please complete all relevant sections of the AML/KYC Form using BLACK INK.
- Print within the boxes in CAPITAL LETTERS and mark boxes with 'X' where appropriate.
- Ensure the form is signed by all relevant authorised signatories.
- Send all required documentation for AML/CTF purposes as detailed on the 'Verification Documents Checklist' for your investor type.

## 1. Investor name and type

### a) Investor number and name

Existing Portfolio/Investor number

Account name

### b) Type of investor

Please select one of the investor types below and complete the relevant sections of the form that apply to you. Ensure you also provide certified copies of the relevant identification documentation as per the Verification Documents Checklist.

|                          | Individual / Joint Investors / Sole Trader  | Companies / Partnerships / Associations / Registered Co-operatives / Government body  | Trusts  |                            |
|--------------------------|---|---|---|----------------------------|
| Select Investor Type     | <input type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/>  |                            |
| Sections to be completed | 1 <ul style="list-style-type: none"> <li>• Individual Investors</li> <li>• Individual Trustees</li> <li>• Directors / Secretaries of Corporates</li> <li>• Partners of a partnership</li> </ul> | <ul style="list-style-type: none"> <li>• Australian public company</li> <li>• Australian proprietary company</li> <li>• Foreign company</li> <li>• Partnership</li> <li>• Associations</li> <li>• Registered Co-operative</li> <li>• Government body</li> </ul> | <ul style="list-style-type: none"> <li>• Corporate Trustee</li> <li>• Self-managed superannuation funds</li> <li>• Registered managed investment schemes</li> <li>• Unregistered wholesale managed investment schemes</li> <li>• Government superannuation funds</li> <li>• Other trusts (such as family trusts and charitable trusts)</li> </ul> |                            |
|                          | 2   | ✓   | ✓   | ✓                          |
|                          | 3   |   | ✓   | ✓ (Corporate Trustee ONLY) |
|                          | 4   |   |   | ✓                          |
|                          | 5-9   | ✓   | ✓   | ✓                          |

For partnerships, associations, registered co-operatives and government bodies, please contact Apex for assistance with completing your form and the required verification documentation.

## 2. Individual details – All individuals, including individual investors, individual trustees, directors/secretaries of corporates and partners of a partnership to complete this section.

Please indicate the investor type

Individual/Joint investors
  Individual Trustee
  Company director
  Sole trader

Complete the below sections for the indicated individual. Please note that all fields are mandatory.

### a) Individual 1

Title  Surname   
 Given name(s)   
 Date of birth / /  City or town of birth  Country of birth   
 Residential street address (cannot be a PO Box)  
 Unit/Street numbers and street name   
 Suburb  State  Postcode   
 Phone number         Email address   
 Tax File Number<sup>1</sup>          
 OR Reason for Exemption  
 Non-resident  Charity  Other (specify)   
 Occupation

### b) Individual 2

Title  Surname   
 Given name(s)   
 Date of birth / /  City or town of birth  Country of birth   
 Residential street address (cannot be a PO Box)  
 Unit/Street numbers and street name   
 Suburb  State  Postcode   
 Phone number         Email address   
 Tax File Number<sup>1</sup>          
 OR Reason for Exemption  
 Non-resident  Charity  Other (specify)   
 Occupation

#### 1. Please note:

Failure to quote a Tax File Number (TFN) or Australian Business Number (ABN) is not an offence, however, we are required to withhold tax from your distributions at the highest marginal rate of tax (plus Medicare levy) until your TFN or ABN is provided. Collection of TFN and ABN information is authorised and its use and disclosure are strictly regulated by tax and privacy laws.

**c) Sole trader**

**COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER**

Full business name (if any)

ABN<sup>1</sup> (if any)

Principal Place of Business (if any) (cannot be a PO Box)

Unit/Street numbers and street name

Suburb

State

Postcode

Country

**3. Company details – All companies, margin lenders, custodians, partnerships, incorporated and unincorporated associations, registered co-operatives and government bodies to complete this section.**

Ensure Section 2 (individual details) is also completed for 2 office holders such as:

- 2 Directors
- Director and secretary
- 1 Partner for a partnership

**a) Company information**

Full name

Full registered business name (if applicable) of the partnership

Full street address of registered office (cannot be a PO Box)

Unit/Street numbers and street name

Suburb

State

Postcode

Full street address of principal place of business

Unit/Street numbers and street name

Suburb

State

Postcode

Tax File Number<sup>1</sup>

ABN<sup>1</sup>  Or ACN/ARBN

OR Reason for Exemption

**1. Please note:**

Failure to quote a Tax File Number (TFN) or Australian Business Number (ABN) is not an offence, however, we are required to withhold tax from your distributions at the highest marginal rate of tax (plus Medicare levy) until your TFN or ABN is provided. Collection of TFN and ABN information is authorised and its use and disclosure are strictly regulated by tax and privacy laws.

**b) Beneficial owners - To be completed for all companies that are not public listed companies, majority owned by an Australian public listed company or companies regulated in Australia.**

**Beneficial owners of company:** Please provide details for each shareholder who is beneficially entitled to 25% or more of issued capital in the company. If no shareholder owns more than 25% of the company's shares, please list the persons who directly or indirectly control the company. *Please attach additional pages if there are more than two beneficial owners.*

**i) Beneficial owner 1**

Cross this box if same as 'Individual 1' in Section 2. If different, please complete below.

Title  Surname

Given name(s)  Date of birth    /   /

Residential address (cannot be a PO Box)  
Unit/Street numbers and street name

Suburb  State  Postcode

Country

Country of tax residence (if more than one, please specify all)

**ii) Beneficial owner 2**

Cross this box if same as 'Individual 2' in Section 2. If different, please complete below.

Title  Surname

Given name(s)  Date of birth   /   /

Residential address (cannot be a PO Box)  
Unit/Street numbers and street name

Suburb  State  Postcode

Country

Country of tax residence (if more than one, please specify all)

**c) Type of company**

Please indicate company type by selecting one of the following:

- Public listed company → **complete (i)**
- Foreign company → **complete (iv)**
- Majority owned subsidiary of a listed public company → **complete (ii)**
- Proprietary (including corporate trustees) → **complete (v)**  
 If applying on behalf of a trust → **go to Section 4**  
 If not → **go to Section 5**
- Licensed and subject to the regulatory oversight of a commonwealth, state or territory regulator in relation to its activities as a company → **complete (iii)**
- Unlisted public company → **go to Section 5**

**i) Public listed company**

Name of exchange on which shares are listed

**ii) Majority owned subsidiary of a listed public company**

Name of parent

Exchange of parent listing

ACN  ABN (if any)

**iii) Licensed company subject to regulatory oversight**

Name of regulator

Regulatory details (e.g. Regulatory ID)

**iv) Foreign company**

**A) Registered with ASIC**

Full business name

ARBN

Name and address of local agent in Australia

Name of agent

Unit/Street numbers and street name

Suburb

State

Postcode

Country

Country of formation/incorporation/registration

Registered address in country of formation

**B) Registered by foreign registration body. Please ensure you complete (A) above if you are also registered with ASIC.**

Name of foreign registration body

Registration number

Country of formation/incorporation/registration

Registered address in country of formation



Please indicate company type by selecting one of the following:

Private/Proprietary
  Public
  Other (specify)

**C) Not registered by foreign registration body or ASIC**

Address of principal place of business in country of formation

Unit/Street numbers and street name

Suburb

State

Postcode

Country

**v) Directors (Required for all Proprietary Companies, NOT required for Public Companies)**

Provide the names of all directors.

|    | Full given names(s)  | Surname              |
|----|----------------------|----------------------|
| 1) | <input type="text"/> | <input type="text"/> |
| 2) | <input type="text"/> | <input type="text"/> |
| 3) | <input type="text"/> | <input type="text"/> |
| 4) | <input type="text"/> | <input type="text"/> |

If there are more directors, provide details on a separate sheet and tick this box.

**4. Trust details – All regulated superannuation funds (including SMSF’s), other unregulated trusts, managed investment schemes and charities to complete this section.**

**Ensure Section 2 (individual details) is also completed for all individual trustees.**

**a) Trust information**

Name of trust / Superannuation fund

Business name (if applicable, in full)

ABN<sup>1</sup>           Tax File Number<sup>1</sup>

OR Reason for Exemption

Country where trust established (only required if not Australia)

**1. Please note:**

Failure to quote a Tax File Number (TFN) or Australian Business Number (ABN) is not an offence, however, we are required to withhold tax from your distributions at the highest marginal rate of tax (plus Medicare levy) until your TFN or ABN is provided. Collection of TFN and ABN information is authorised and its use and disclosure are strictly regulated by tax and privacy laws.

**b) Type of trust**

Please indicate trust structure by selecting one of the following:

- Trust is registered and subject to domestic regulatory oversight in its activities as a trust (e.g. SMSF- the regulator is generally the ATO).  
Name of regulator
- Managed investment scheme registered with ASIC  
ARSN
- Managed investment scheme which is not registered with ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies.
- Trust is a government superannuation fund established by legislation  
Name of legislation
- Other unregulated trust  
Specify type of trust

**c) Trust beneficiaries**

**i) Trust beneficiary 1**

- Cross this box if same as 'Individual 1' in Section 2. If different, please complete below.  
Name

**ii) Trust beneficiary 2**

- Cross this box if same as 'Individual 2' in Section 2. If different, please complete below.  
Name

→ Please provide full name of each beneficiary or a description of each class of beneficiaries. If there are more than two beneficiaries, please attach additional pages.

**d) Beneficial owner of trust**

**⚠ Required for unregulated trusts only.**

A beneficial owner is the person who controls the activities of the trust.

Please select one of the following:

- Cross this box if same as 'Individual 1' in Section 2.  Cross this box if same as 'Individual 2' in Section 2.
- None of the above. Please complete below and provide the required identification documents. Refer to the Verification Documents Checklist for more information.

Title  Surname

Given name(s)  Date of birth ,,

Residential address (cannot be a PO Box)  
Unit/Street numbers and street name

Suburb  State  Postcode

Country

Country of tax residence (if more than one, please specify all)

## 5. Politically exposed persons

A 'politically exposed person' (PEP) is an individual who holds a prominent public position or function in a government body or international organisation, both within and outside Australia. This definition also extends to their immediate family members or close associates.

Please identify any individual named in this Form as a PEP or is an immediate family member or close associate of a PEP.

## 6. Investor contact details (address must be investor's own details and completed in full)

### a) Investor contact details (joint investors please include one set of contact details for all communications)

Please indicate below your preferred option for correspondence.

Regular mail; or  Email

Contact name

Postal address (if different to Section 2)

Unit/Street numbers and street name

Suburb

State

Postcode

Phone number (business hours)

Phone number (after hours)

Mobile number

Fax number

Email address

## 7. Investment details (must be completed)

### a) What is the purpose of investment? (select all applicable options)

Savings  Growth  Income  Retirement  Business Account

Other (specify)

### b) Detail the source of your investment amount (select all applicable options)

Savings  Growth  Income  Retirement  Business Account

Other (specify)

## 8. FATCA / CRS Self Certification

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

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

**You can find terminology guidance of certain terms on page 18 of the AML/KYC Form. For more information, visit [ato.gov.au](http://ato.gov.au).**

**You do not need to complete this section if you are a Regulated Australian Super Fund.**

### a) Foreign Account Tax Compliance Act (FATCA)

#### i) Individual/Joint Investors

Are you a US citizen or resident for tax purpose?

Individual 1

No  Yes, please provide your US Taxpayer Identification Number (TIN)

Individual 2

No  Yes, please provide your US Taxpayer Identification Number (TIN)

**⚠ Please attach additional pages if there are more than two individuals.**

#### ii) Entities

Complete **one** of the following:

##### 1) US trust, company or partnership

Please provide your US Taxpayer Identification Number (TIN)

Is the trust, company or partnership exempt for US tax purposes?  Yes  No

Once complete → **go to Section 8.b**

**OR**

##### 2) Financial institution or trust with a trustee that is a financial institution

Please provide your Global Intermediary Identification Number (GIIN), if applicable. If no GIIN is available, please provide FATCA status.

Once complete → **go to Section 8.b**

**OR**

##### 3) Other entity types

Please indicate other entity type by selecting one of the following:

Non-financial proprietary company → **go to Section 8.a.iii**

Partnership → **go to section 8.a.iii**

Charity → **go to section 8.a.iii**

Trust (including testamentary trust) → **go to section 8.a.iii**

Registered co-operation → **go to section 8.b**

Government entity → **go to section 8.b**

Association → **go to section 8.b**

**iii) US citizens or residents**

Are any of the partners, trust beneficiaries, trustees, beneficial owners of corporate trustees, settlors or beneficial owners US citizens or residents of the US for tax purposes?

Yes, please complete below for each person. Attach additional pages if there are more than three.

No → go to **Section 8.b**

| US Person 1  | US Person 2  | US Person 3  |
|--|--|--|
| Full given names(s) / Company name<br><input style="width: 100%; height: 30px;" type="text"/>  | Full given names(s) / Company name<br><input style="width: 100%; height: 30px;" type="text"/>  | Full given names(s) / Company name<br><input style="width: 100%; height: 30px;" type="text"/>  |
| Surname<br><input style="width: 100%; height: 20px;" type="text"/>   | Surname<br><input style="width: 100%; height: 20px;" type="text"/>   | Surname<br><input style="width: 100%; height: 20px;" type="text"/>   |
| US TIN <input style="width: 150px; height: 20px;" type="text"/>  | US TIN <input style="width: 150px; height: 20px;" type="text"/>  | US TIN <input style="width: 150px; height: 20px;" type="text"/>  |
| Residential address (cannot be a PO Box)<br>Unit/Street numbers and street name<br><input style="width: 100%; height: 30px;" type="text"/> | Residential address (cannot be a PO Box)<br>Unit/Street numbers and street name<br><input style="width: 100%; height: 30px;" type="text"/> | Residential address (cannot be a PO Box)<br>Unit/Street numbers and street name<br><input style="width: 100%; height: 30px;" type="text"/> |
| Suburb<br><input style="width: 100%; height: 20px;" type="text"/>  | Suburb<br><input style="width: 100%; height: 20px;" type="text"/>  | Suburb<br><input style="width: 100%; height: 20px;" type="text"/>  |
| State <input style="width: 80px; height: 20px;" type="text"/> Postcode <input style="width: 80px; height: 20px;" type="text"/>             | State <input style="width: 80px; height: 20px;" type="text"/> Postcode <input style="width: 80px; height: 20px;" type="text"/>             | State <input style="width: 80px; height: 20px;" type="text"/> Postcode <input style="width: 80px; height: 20px;" type="text"/>             |
| Country<br><input style="width: 100%; height: 20px;" type="text"/>   | Country<br><input style="width: 100%; height: 20px;" type="text"/>   | Country<br><input style="width: 100%; height: 20px;" type="text"/>   |

**b) Common Reporting Standard (CRS)**

**Tax residency**

**i) Individual/Joint account holder(s)**

Is the Account Holder a tax resident in a jurisdiction other than Australia?

Yes, please complete details in the table below

No, please → go to **8.b.iii**

**Individual 1**

Please complete the table below to indicate each country you are a tax resident (that is, where you are liable to pay tax) and provide your Taxpayer Identification Number (TIN), such as your US TIN, or equivalent number.

| Country of tax residence 1   | Country of tax residence 2   | Country of tax residence 3   |
|--|--|--|
| Country<br><input style="width: 100%; height: 20px;" type="text"/>   | Country<br><input style="width: 100%; height: 20px;" type="text"/>   | Country<br><input style="width: 100%; height: 20px;" type="text"/>   |
| TIN or equivalent number<br>(if none, list reason A,B or C)<br><input style="width: 100%; height: 20px;" type="text"/> | TIN or equivalent number<br>(if none, list reason A,B or C)<br><input style="width: 100%; height: 20px;" type="text"/> | TIN or equivalent number<br>(if none, list reason A,B or C)<br><input style="width: 100%; height: 20px;" type="text"/> |

**Reason A:** The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

**Reason B:** The account holder is otherwise unable to obtain a TIN or equivalent number.

**Reason C:** Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

**Individual 2**

Please complete the table below to indicate each country you are a tax resident (that is, where you are liable to pay tax) and provide your Taxpayer Identification Number (TIN), such as your US TIN, or equivalent number.

| Country of tax residence 1  | Country of tax residence 2  | Country of tax residence 3  |
|---|---|---|
| Country<br><input type="text"/>   | Country<br><input type="text"/>   | Country<br><input type="text"/>   |
| TIN or equivalent number<br>(if none, list reason A,B or C)<br><input type="text"/> | TIN or equivalent number<br>(if none, list reason A,B or C)<br><input type="text"/> | TIN or equivalent number<br>(if none, list reason A,B or C)<br><input type="text"/> |

**Reason A:** The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

**Reason B:** The account holder is otherwise unable to obtain a TIN or equivalent number.

**Reason C:** Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

**⚠ Please attach additional pages, signed and dated, if the investor is a tax resident in more than three (3) countries.**

**ii) Other account holders**

Is the account holder a tax resident of a country?

Yes, please complete the table below to indicate where the account holder is a tax resident (that is, where the account holder is liable to pay tax) and provide your Taxpayer Identification Number (TIN), such as your US TIN, or equivalent number.

No, please provide the country where effective management takes place or where the principal office is located.

| Country of tax residence 1  | Country of tax residence 2  | Country of tax residence 3  |
|---|---|---|
| Country<br><input type="text"/>   | Country<br><input type="text"/>   | Country<br><input type="text"/>   |
| TIN or equivalent number<br>(if none, list reason A,B or C)<br><input type="text"/> | TIN or equivalent number<br>(if none, list reason A,B or C)<br><input type="text"/> | TIN or equivalent number<br>(if none, list reason A,B or C)<br><input type="text"/> |

**Reason A:** The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

**Reason B:** The account holder is otherwise unable to obtain a TIN or equivalent number.

**Reason C:** Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

**⚠ Please attach additional pages, signed and dated, if the investor is a tax resident in more than three (3) countries.**

**iii) CRS entity classification**

Please indicate CRS Entity classification by selecting one of the following:

- 1)  Financial institution- Investment entity (specify entity type below)
  - An investment entity located in a non- participating jurisdiction and managed by another financial institution → **go to Section 8.d**
  - Other investment entity → **go to Section 9**
- 2)  Other financial institution (specify entity type below)
  - Depository institution → **go to Section 9**
  - Custodial institution → **go to Section 9**
  - Specified insurance company → **go to Section 9**
- 3)  Financial institution - Non reporting (specify entity type below)
  - Government entity → **go to Section 9**
  - International organisation → **go to Section 9**
  - Central bank → **go to Section 9**
  - Broad participation retirement fund → **go to Section 9**
  - Narrow participation retirement fund → **go to Section 9**
  - Pension fund of government entity, international organisation or central bank → **go to Section 9**
  - Exempt collective investment vehicle → **go to Section 9**
  - Trustee - documented trust → **go to Section 9**
  - Qualified credit card issuer → **go to Section 9**
  - Other (specify entity classification and jurisdiction under which this type of classification is named)
 
 → **go to Section 9**

⚠ You can only select this option if the entity type is contained within your jurisdiction legislation where you are a resident.
- 4)  Active non-financial entity (NFE) - a corporation the stock of which is regularly traded on an established securities market → **go to Section 9**
- 5)  Active NFE - an entity related to a corporation whose stock is regularly traded on an established securities market → **go to Section 9**
- 6)  Active NFE - a government entity → **go to Section 9**
- 7)  Active NFE - an international organisation → **go to Section 9**
- 8)  Active NFE - other than above (for example, a start-up NFE or a non-profit NFE) → **go to Section 9**
- 9)  Passive NFE → **go to Section 8.d**

**d) Identification of controlling persons**

A controlling person is the natural person(s) who exercises control over the entity. This will vary depending on the nature of the entity, ownership arrangement and may encompass direct ownership. For example, it includes:

- For a company other than a listed company, any person holding more than 25% of the company’s shares
- For a trust, any person exercising ultimate effective control over the trust.

Please complete the table below. Indicate the type of controlling person by using the list provided.

**Description of types of controlling person**

|               |   |               |  |
|---------------|---|---------------|--|
| <b>Type A</b> | Controlling person of a legal person<br>- <i>control by ownership</i>     | <b>Type I</b> | Controlling person of a legal arrangement (non-trust)<br>- <i>settlor - equivalent</i>     |
| <b>Type B</b> | Controlling person of a legal person<br>- <i>control by other means</i>   | <b>Type J</b> | Controlling person of a legal arrangement (non-trust)<br>- <i>trustee - equivalent</i>     |
| <b>Type C</b> | Controlling person of a legal person<br>- <i>senior managing official</i> | <b>Type K</b> | Controlling person of a legal arrangement (non-trust)<br>- <i>protector - equivalent</i>   |
| <b>Type D</b> | Controlling person of a trust - <i>settlor</i>                            | <b>Type L</b> | Controlling person of a legal arrangement (non-trust)<br>- <i>beneficiary - equivalent</i> |
| <b>Type E</b> | Controlling person - <i>trustee</i>                                       | <b>Type M</b> | Controlling person of a legal arrangement (non-trust)<br>- <i>other - equivalent</i>       |
| <b>Type F</b> | Controlling person of a trust - <i>protector</i>                          |               |  |
| <b>Type G</b> | Controlling person of a trust - <i>beneficiary</i>                        |               |  |
| <b>Type H</b> | Controlling person of a trust - <i>other</i>                              |               |  |

**Controlling person 1**

Full given names(s)

Surname

Type of controlling person

Residential address (cannot be a PO Box)  
 Unit/Street numbers and street name

Suburb

State                      Postcode  
                     

Country

Date of birth  
/ /

Country of citizenship

Country of tax residence

TIN (if none, list reason A, B, C).  
 IF you select B, please explain why

**Controlling person 2**

Full given names(s)

Surname

Type of controlling person

Residential address (cannot be a PO Box)  
 Unit/Street numbers and street name

Suburb

State                      Postcode  
                     

Country

Date of birth  
/ /

Country of citizenship

Country of tax residence

TIN (if none, list reason A, B, C).  
 IF you select B, please explain why

**Controlling person 3**

Full given names(s)

Surname

Type of controlling person

Residential address (cannot be a PO Box)  
 Unit/Street numbers and street name

Suburb

State                      Postcode  
                     

Country

Date of birth  
/ /

Country of citizenship

Country of tax residence

TIN (if none, list reason A, B, C).  
 IF you select B, please explain why

**Reason A:** The country where the controlling person/ owner is liable to pay tax does not issue a TIN or equivalent number to its residents.  
**Reason B:** The controlling person/owner is otherwise unable to obtain a TIN or equivalent number.  
**Reason C:** Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

### 9. Declaration and signature (must be completed)

I/We declare and agree that;

- All details in this form are true and correct. I/We agree to advise GRES in writing and provide a new declaration (if applicable) within 30 days if there are any changes to my/our personal information/ circumstances which causes any of the information contained in this form to be incorrect, incomplete or which affects my tax residency status;
- I/We am/are an individual over 18 years of age, or I am a duly incorporated body;
- If this form is signed under Power of Attorney, the Attorney declares that 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);
- Sole signatories signing on behalf of a company confirm that they are signing as a sole director and sole secretary of the company; and powers and authority under the application trust deed in the case of a superannuation fund.

I/We understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with the FI setting out how that FI may use and share the information supplied by me.

I/We acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

#### Individual(s)/Sole trader/Partnership/Trustee

Name

Signature

Date

/  /   

Name

Signature

Date

/  /   

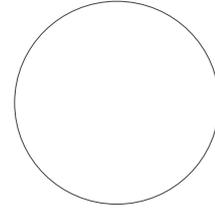
For Individual(s)/Sole trader/Partnership/Trustee investors, please indicate who is to sign  Any 1 to sign  2 to sign  All to sign  
If you do not indicate a choice, GRES will assume any one signatory can sign.

**Company/Margin lender/Custodian/Incorporated or Unincorporated association/  
Registered co-operatives/Government body  
(at least 2 to sign unless you indicate you are a Sole director/Secretary)**

Name and title (eg. Director, Secretary or Sole director/Secretary)

Signature

Date

/   /  

Company seal  
(if applicable)

Name and title (eg. Director, Secretary or Sole director/Secretary)

Signature

Date

/   /  

**12. Additional authorised signatories (including attorneys/agents)**

Name

Signature

Name

Signature

Name

Signature

Name

Signature

**Note:** Changes to any details in regard to your investment will be required in writing and approved by the authorised signatories.

# VERIFICATION DOCUMENTS CHECKLIST



You are required to send the completed AML/KYC Form and required identification documentation to us by mail or email. If you email your identification documents to us, we may request certified copies of the originals to follow in the mail for our records and your account may not be opened until they have been received.

Please provide certified copies of the identification requested for the appropriate investor type along with your completed AML/KYC Form.

**Section A**  
**Individual/Joint**  
**Applicants**

Minimum identification required. For each Investor please provide:

- a) An original or certified copy of a valid Driver's Licence (Australian State or Territory, or Foreign Country equivalent) with photograph; or
- b) An original or certified copy of a passport issued by Australian Commonwealth or expired passport which has not been cancelled and was current within the preceding two years; or
- c) Passport or similar document issued for the purpose of international travel that contains a photograph and signature of the person and is issued by a foreign government, UN or UN Agency, with English translation provided by an accredited translator if not in English.

**OR**

d) Both:

i) an original or certified copy of a valid primary ID document

- National Identity Card with a photograph and signature issued by Australian Commonwealth, State or Territory; or
- Foreign National Identity Card with a photograph and signature issued by foreign government, UN or UN Agency, with English translation provided by an accredited translator, if not in English; or
- Birth Certificate or birth extract issued by Australian State or Territory; or
- Birth Certificate issued by foreign government, UN or UN Agency, with English translation provided by an accredited translator if not in English; or
- Citizenship Certificate issued by Commonwealth government; or
- Citizenship Certificate issued by foreign government, UN or UN Agency, with English translation provided by an accredited translator if not in English; or
- Pension card issued by Centrelink;

**AND**

ii) an original or certified copy valid secondary ID document:

- Notice issued to an individual by Centrelink within preceding 12 months which records the provision of financial benefits to an individual and the individual's name and residential address; or
- Notice of a foreign welfare department equivalent within preceding 12 months which records the provision of financial benefits to an individual and the individual's name and residential address; or
- Notice issued to an individual by the ATO relevant foreign Taxation authority within the preceding 12 months which records the name and residential address of the individual; or
- Notice issued to an individual by a local government body or utilities provider; or
- For persons under 18, a notice issued by a school principal within the preceding three months containing the name of the person and their residential address and recording the period of time that the person attended the school.

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| <p><b>Section B<br/>Regulated Trust</b></p>  | <p>Registered managed investment schemes, regulated trusts and Government Superannuation Fund - Original or certified copies of:</p> <p><input type="checkbox"/> National Identity Card with a photograph and signature issued by an Australian Commonwealth, State or Territory; or</p> <p><input type="checkbox"/> A search of the relevant regulator e.g. ASIC, ATO, APRA etc</p> <p><b>AND</b></p> <p>For Self Managed Superannuation Fund - Original or certified copies of:</p> <p><input type="checkbox"/> ATO database search of the trust/superannuation;</p> <p><b>AND</b></p> <p>In respect of the trustees:</p> <p><input type="checkbox"/> If the trustee is an individual, then ID required as per the individual requirement set out in Section A; or</p> <p><input type="checkbox"/> If the trustee is a company, then ID required as per the company requirements set out in Section C</p> |
| <p><b>Section C<br/>Private and Unlisted/<br/>Unlicensed Public<br/>Australian Companies</b></p>                         | <p>Minimum Identification Required - Original or certified copies of:</p> <p><input type="checkbox"/> A Certificate of Incorporation, recent registration certificate, search of the relevant ASIC database, or other appropriate document(s) including reliable independent electronic data (e.g. Dun &amp; Bradstreet report); and</p> <p><input type="checkbox"/> Where a beneficial owner has 25% or more of issued capital, the identification requirements set out in Section A must also be satisfied.</p>   |
| <p><b>Section D<br/>Foreign Listed/Licensed<br/>Company (Australian<br/>Registered)</b></p>                              | <p>Australian Registered Foreign Company - Original or certified copies of:</p> <p><input type="checkbox"/> A Certificate of Incorporation, recent registration certificate, search of the relevant ASIC database, search of the licence or other records of the relevant regulator, other appropriate document(s) including reliable independent electronic data (e.g. Dun &amp; Bradstreet report) and</p> <p><input type="checkbox"/> Where a beneficial owner has 25% or more of issued capital, the identification requirements set out in Section A must also be satisfied.</p>   |
| <p><b>Section E<br/>Listed/Licensed<br/>Australian Companies</b></p>   | <p>Original or certified copies of:</p> <p><input type="checkbox"/> A search of the relevant ASIC database or relevant stock exchange or other appropriate document(s) including reliable independent electronic data (e.g. Dun &amp; Bradstreet report)</p>  |
| <p><b>Section F<br/>Foreign Private and<br/>Unlisted/Unlicensed<br/>Public Companies<br/>(Australian Registered)</b></p> | <p>Australian Registered Foreign Company - Original or certified copies of:</p> <p><input type="checkbox"/> A search of relevant ASIC or other government database, a search of the relevant foreign stock exchange, a search of the licence or other records of the relevant regulator or other appropriate document(s) including reliable independent electronic data (e.g. Dun &amp; Bradstreet report); or</p> <p><input type="checkbox"/> Certificate of Incorporation or recent extract of public company register or document issued by the foreign government (including a registration certificate).</p>   |
| <p><b>Section G<br/>Foreign Companies (not<br/>registered in Australia)</b></p>  | <p>Unregistered Foreign Company - Original or certified copies of:</p> <p><input type="checkbox"/> Foreign registration certificate, Certificate of Incorporation, recent extract of company register; or</p> <p><input type="checkbox"/> Other appropriate document(s) including a search of the relevant government database, a search of the relevant stock exchange, a search of the licence or other records of the relevant regulator, or other appropriate document(s) including reliable independent electronic data (e.g. Dun &amp; Bradstreet report); and</p> <p><input type="checkbox"/> Where a beneficial owner has 25% or more of issued capital, the identification requirements set out in Section A must also be satisfied.</p>   |
| <p><b>Section H<br/>Other Trust Types</b></p>  | <p>Original or certified copies of:</p> <p><input type="checkbox"/> The Trust Deed</p> <p><input type="checkbox"/> If the Settlor of the Trust has made a material asset contribution of &gt;\$10,000 and is still living, the identification requirements set out in Section A must be satisfied;</p> <p><b>AND</b></p> <p>In respect of one of the trusts</p> <p><input type="checkbox"/> If the trustee is an individual, the ID required as per individual requirements as per Section A; or</p> <p><input type="checkbox"/> If the trustee is a company, the ID required as the company requirements as per Section C, D, E, F, or G.</p>  |

**Section I  
Deceased Estate**

Identification as per Section A for trust, and original or certified copies of:

- Last Will and Testament of deceased; and
- Death certificate; or
- Grant of Probate.

**Category of acceptable certifier**

Certified Copy means a document that has been certified as a true copy of an original document by one of the following persons:

- 1) A person who, under a law in force in a State or Territory, is currently licensed or registered to practice in an occupation listed in Part 1 of Schedule 2 of the Statutory Declarations Regulations 2018;
- 2) 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);
- 3) A person listed in Part 2 of Schedule 2 of the Statutory Declarations Regulations 2018. For the purposes of these Rules, where Part 2 uses the term '5 or more years of continuous service', this should be read as '2 or more years of continuous service';
- 4) 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;
- 5) 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; and
- 6) A person in a foreign country who is authorised by law in that jurisdiction to administer oaths or affirmations or to authenticate documents.

The Statutory Declaration Regulations 2018 are accessible through the following website: [www.legislation.gov.au](http://www.legislation.gov.au).

**Annual Financial Reports**

Annual / Half Annual Financial Reports are available at our website: <https://www.gsfm.com.au/fund-hub/reporting/>

**FATCA and CRS key definitions**

These selected definitions are provided to assist you with the completion of the FATCA and CRS Self Certification forms. They are a summary only. More information can be found at <https://www.ato.gov.au/about-ato/international-tax-agreements/in-detail/international-arrangements/automatic-exchange-of-information-crs-and-fatca>

**Active NFE** is an NFE that meets any of these criteria:

- a) active by reason of income and assets (less than 50% of the NFE's gross income for the preceding year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) publicly listed NFE or related entity;
- c) Governmental Entity, International Organisation, Central Bank, or their wholly owned entity;
- d) holding NFE that is a member of a non-financial group (generally where substantially all of the activities of the NFE consist of holding the shares of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses);
- e) NFE that is not yet operating a business and has no prior operating history, (a start-up NFE) but is investing capital into assets with the intent to operate a business;
- f) NFE that is liquidating or emerging from bankruptcy;
- g) treasury centre that is a member of a nonfinancial group; or
- h) not-for-profit NFE operating exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or a professional organisation, business league, chamber of commerce, labour organisation, or other organisation operated exclusively for the promotion of social welfare.

**Entity** means a legal person or a legal arrangement, such as a corporation, partnership, trust, or foundation.

**Financial Institution** means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.

**Non-Financial Entity (NFE)** means an Entity that is not a Financial Institution. An NFE can be either a Passive NFE or an Active NFE.

**Passive NFE** means any NFE that is not an Active NFE or an Investment Entity that is not a Participating Jurisdiction Financial Institution.

**TIN** (including functional equivalent) means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the following link: <https://www.oecd.org/en/topics/taxation.html>