

#### **Client Services contact details**

Phone

+61 3 9691 6191

**Email** 

invest@k2am.com.au

Website

www.k2am.com.au

# **Application Form**

**K2 Asian Absolute Return Fund** 

K2 Australian Absolute Return Fund

Please use this form if you are a new investor and wish to invest in one of the above funds by making an initial application.

#### 1. Read and ensure you understand the Product Disclosure Statement (PDS).

The PDS is available on our website at www.k2am.com.au or from your financial adviser.

The law prohibits any person passing this Application Form on to another person unless it is accompanied by a complete PDS. K2 will provide on request and without charge a paper or electronic copy of the current PDS and any document which updates the PDS.

# 2. Complete all relevant sections of this Application Form in block letters and using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

Individuals — complete section 1, section 2, and then section 5 onwards.

**Companies** — complete section 1, section 3 and then section 5 onwards.

**Trusts/superannuation funds** — complete section 1, section 2 if you are an individual trustee, section 3 if you are a trust with a company as trustee, section 4, and then section 5 onwards.

#### 3. Collect and certify the identification documents.

Please refer to section 10 'Identification and verification' and complete the relevant identification document at the end of this form or on our website at www.k2am.com.au.

#### 4. Complete the tax information form.

Complete the tax information form at the end of this PDS or on our website at www.k2am.com.au. You need to provide the information requested in the tax information form to ensure compliance with regulatory obligations under the Common Reporting Standard (CRS).

#### 5. Send your documents to us.

You can return your form by post, fax or email according to the details below.

Send by Post: K2 Asset Management

GPO Box 3993 Sydney NSW 2001

Australia

Fax forms to: +61 2 9252 1987

Scan and email to: k2am@boardroomlimited.com.au

### 6. Transfer your application money to us.

Please refer to section 6 'Payment of application amount'.

Your Application Form cannot be processed until all relevant documents and cleared funds are received.

#### Legal notices

K2 Asset Management Ltd AFSL No. 244393 (K2) is the issuer of units in the K2 Asian Absolute Return Fund and K2 Australian Absolute Return Fund (together, the Funds).

K2 is committed to ensuring the confidentiality and security of your Personal Information. We handle your Personal Information in accordance with the Privacy Act 1988 and our Privacy Statement, which can be accessed on our website www.k2am.com.au.

This Application Form relates to the Product Disclosure Statement (**PDS**) dated 7 February 2023 relating to units in the K2 Asian Absolute Return Fund and the K2 Australian Absolute Return Fund (the **Funds**). The PDS contains important information about investing in the Funds and you should read it before applying for units.

COMPLETE ALL RELEVANT SECTIONS OF THIS APPLICATION FORM IN BLOCK LETTERS AND USING A BLACK PEN. IF YOU MAKE AN ERROR WHILE COMPLETING THIS FORM, DO NOT USE CORRECTION FLUID. CROSS OUT YOUR MISTAKES AND INITIAL YOUR CHANGES.

For assistance with this form, you can contact the K2 Client Services team on +61 3 9691 6191

	o you have an	existing in	vestmen	t with K2			
No,	go to section 2 onwa						
Yes,	, the account number	is			go to sectio	n 5 onwards	
2. In	ndividuals						
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All correspo	ondence will be sent	to the address provided	for investor 1.								
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f you are n	ot an Australian resid	dent for tax purposes, ple	ase indicate yo	ur country o	of reside	nce for t	ax purp	oses.			
3. <b>C</b> (	ompanies										
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Please print full name	Please print full name
Date	Date
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### **BPAY - telephone and internet banking**

You will need to quote the biller code and your reference number when making such payment. Once your Application Form is received a Client Services team member will contact you with your new Investor Account Number.

Fund name	BPAY		
K2 Asian Absolute Return Fund	B	Biller code	374579
	PAY	Reference number	Investor Account Number
K2 Australian Absolute Return Fund	įξ	Biller code	374595
	B	Reference number	Investor Account Number

Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account. More info: www.bpay.com.au

#### **EFT** - electronic funds transfer

Please ensure transfers are made to the correct bank account/s.

Fund Name	EFT - electronic funds transfer details				
K2 Asian Absolute Return Fund	Account name	K2 Asian - Application Account			
	BSB	083 - 817			
	Account number	24 308 3373			
	Reference	Investor Account Name			
K2 Australian Absolute Return Fund	Account name	K2 Australian - Application Account			
	BSB	083 - 817			
	Account number	24 308 3293			
	Reference	Investor Account Name			

7. Distribution instructions		
Please indicate your choice below.		
	Pay to my bank account	Reinvest
K2 Asian Absolute Return Fund		
K2 Australian Absolute Return Fund		

<sup>&</sup>lt;sup>®</sup> Registered to BPAY Pty Ltd ABN 69 079 137 518.

8. Bank account													
Australian bank accour Please provide the Australian Payments will only be made accounts.  Bank name	n bank accou												
Branch name									_			_	
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Please provide bank account		der to receive	your distr	ibution p	ayments	s and/o	r future	e redem	ption	payme	nts. Pa	yment	ts will
only be made to a bank acco	unt held in th	e name of the	investor/s	s. Payme	nts will r	not be n	nade ir	nto third	party	bank a	account	S.	
Bank name													
Bank address													
Bank account name													
Account number													
SWIFT/BIC													
Due to the complexity of for	eign bank ac	counts, we m	ay need t	to contac	et you fo	r more	inforn	nation.					
9. Communication	'n				-								
9. Communication	411												
Online account access													
Online access enables you will send you the necessary								details	and a	accoun	t stater	nents)	). We
Annual report options													
Please indicate if you wish to	receive an a	nnual report.											
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Authorised signatory

10. Identification and verification  Please tick one box only:	
By investor	
I am a new client to K2 and will complete the relevan this Application Form.	t K2 investor identification form which is located at the end of
	d. There is no need to complete an investor identification form
By financial adviser	
If you have a financial adviser, please ask them to con located after the 'Acknowledgement and signatures' of	nplete the 'Appointment of a financial adviser' form which is this Application Form.
11. Acknowledgements and signatures	
By signing this Application Form I/we confirm that I/we have received the K2 PDS dated 7 February 2023 and have noted the withdrawal time frames and conditions in the PDS.  I/we agree to be bound by the terms and conditions of the constitution which governs the relevant Fund and the PDS available at www.k2am.com.au.  I/we declare that all details in this form are correct and that if an individual, I am/we are at least 18 years of age. I/we agree to indemnify K2 and any other entity involved in this offering against any loss, liability, damage, claim, cost or expense incurred as a result of any information, representation, declaration, statement, acknowledgment or confirmation in this application form being untrue or incorrect; or as a result of or in connection with my direct debit request (if applicable).  If I/we have provided an e-mail address, I/we consent to receive on-going investor information including PDS information and any additional information from K2 as applicable, via email.  I/We acknowledge that K2 does not guarantee the repayment of capital or the performance of any of its Funds or any particular rate of return from the Funds.  I/we acknowledge that I/we have read K2's Privacy Statement.	<ul> <li>I/we acknowledge that the information contained in the PDS is not investment advice or a recommendation that units are suitable to me/us, given my/our investment objectives, financial situation or particular needs. It is my/our obligation to seek any advice on, and observe any legal restrictions on investment in the Fund/s which may apply to me/us and where appropriate I/we have obtained my/our own independent investment advice, having regard to the inherently complex nature of these products.</li> <li>In making an investment in the relevant Fund, I/we have not relied in any way on any statements made by K2 or its representatives and acknowledge that they have not made any representations to me/us regarding the suitability or appropriateness of the relevant Fund.</li> <li>I/We have attached the documentation referred to in the Client Identification Form as required by the Anti-Money Laundering and Counter-Terrorism Financing Act 2006, and will continue to provide any other documents reasonably required by K2 from time to time, in order to comply with this legislation. I/We declare that any documents or information provided here are complete and correct and acknowledge that where a transaction is delayed, blocked, frozen or refused, K2 will not be liable for any loss (including consequential loss) as a result of its compliance with the AML/CTF laws.</li> <li>By ticking this box, I/we do not wish to receive any promotional material from K2.</li> </ul>
Signing instructions	
Individual — where the investment is in one name, the account he	
If the company (pursuant to section 204A of the Corporations Act	the sole company secretary, this form must be signed by that person. 2001) does not have a company secretary, a sole director can also with either another director or a company secretary. Please indicate
<b>Trust</b> — the trustee(s) must sign this form. Trustee(s) signing on be with such designated powers and authority under the trust deed.	ehalf of the trust confirm that the trustee(s) is/are acting in accordance
,	of Attorney with us, please attach a certified copy of the Power of nded or revoked and that the Donor is still living.
Signature of investor 1, director or authorised signatory	Signature of investor 2, director/company secretary or authorised signatory
Please print full name	Please print full name
Date	Date
D D M M Y Y Y	D D M M Y Y Y Y
Company officer (please indicate company capacity)	Company officer (please indicate company capacity)
Director	Director
Sole director and company secretary	Company secretary

Authorised signatory

Country

# Appointment of a financial adviser If you wish to appoint a financial adviser this section of the Application Form must be completed by your financial adviser. Your financial adviser will have online access to your account. If you would like your financial adviser to receive copies of your statements by email their email address should be entered below. Email address @ Notice to financial adviser by completing this section of the Application Form, you are confirming that you hold a current Australian Financial Services Licence (AFSL), are authorised to advise on this product and that you have identified and verified the investor(s) (if applicable). Financial adviser details Dealer group name Adviser name AFSL number If you would like to register for adviser online to view your client's investment information please complete the below. Dealer group/Financial adviser contact details Residential address. A PO Box/RMB/Locked Bag is not acceptable. Property name/building name (if applicable) Unit Street number Street name Suburb State Postcode Country Postal address (if different to residential address). A PO Box/RMB/Locked Bag is acceptable. Property name/building name (if applicable) Unit Street number Street name Suburb State Postcode

Contact details	
Business number (include country and area code)	
Mobile number (include country code)	
Identification and verification	
Please complete the section below if you are a finance	ial adviser identifying and verifying your client.
As the investor's financial adviser, I:	
	ntification form available at the end of this form or the relevant ) form and any supporting identifying and verifying documents.
	relevant Financial Services Council, formerly IFSA, (FSC) standard identification ard identification form to the application form.
or	
is as stated in this application form. I have retained	or as required by the AML laws and I am satisfied that the identity of the applicant a copy of the identification documents obtained and a record of the procedure I agree to provide a copy of this information upon request to support this
As the investor's financial adviser, I represent and warrar	nt to K2 that I, as applicable:
	Note No. 24 (GN 24) in identifying and verifying the investor and any other m financing legislation (AML laws) and will continue to comply with GN 24
• will provide, upon request, original identification and v	erification records and details of the identification procedures adopted
<ul> <li>have kept a record of the investor's identification and ver relationship has ended</li> </ul>	rification and will retain these for a period of seven years after the investor/adviser
will if requested update and re-verify the investor and	provide any other additional information regarding the investor
<ul> <li>will not knowingly do anything to cause K2 to breach A breach AML laws, and</li> </ul>	AML laws and will notify K2 if I become aware of anything that would cause it to
confirm that the details provided in the application form	m and identification form are true and correct.
Please note K2 reserves the right to reject the appli (for example, if it has been incorrectly completed).	cable GN 24 form attached to this application form for whatever reason
Signature of financial adviser	Date
	D D M M Y Y Y



#### **Client Services contact details**

Phone

+61 3 9691 6191

**Email** 

invest@k2am.com.au

Website

www.k2am.com.au

### **Identification Form - Individuals**

**K2 Asian Absolute Return Fund** 

**K2 Australian Absolute Return Fund** 

Please complete this form if you are a new investor with K2 or if you are a financial adviser verifying your client who is a new investor. A separate form is required for each investor in the case of joint holdings. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

### If you are a new investor and do not have a financial adviser

- 1. Please complete the following sections of this identification form in block letters and using a black pen.
- 2. Section 1 provide your personal details
  - Section 2 provide FATCA information
  - Section 3 indicate which ID document(s) you are including with your form
- 3. Make copies of your ID document(s) and arrange for them to be certified. Please refer to the 'Forms' section of our website for more information on getting your documents certified.
- 4. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

#### If you are a financial adviser verifying your client who is a new investor

1. Please complete the following sections of this identification form in block letters and using a black pen.

Section 1 - provide your client's personal details

Section 2 - provide FATCA information

Section 4 – indicate the ID documents you have verified

2. Include this identification form and certified copies of the ID document(s) (if applicable) with the initial application form when you send it to us.

#### Legal notices

K2 Asset Management Ltd AFSL No. 244393 (K2) is the issuer of units in the K2 Asian Absolute Return Fund and K2 Australian Absolute Return Fund (together, the Funds).

K2 is committed to ensuring the confidentiality and security of your Personal Information. We handle your Personal Information in accordance with the Privacy Act 1988 and our Privacy Statement, which can be accessed on our website www.k2am.com.au.

# ■ Identification Form - Individuals

	Pers	onal d														
Γitle			Full giv	en na	ames											
Surname																
				Т	Т											
Date of b	irth															
D D	M	MY	Y	Y	Ý											
<b>Resident</b> Property						Bag is n	ot acce	ptable.								
Unit/level		Street ni	umber	Str	reet na	me										
	Ш			4	+	Ш	4									
Suburb												State		D4-		
Suburb											,	State		Posto	oue	
Country																
Tick ✓	Savii	ngs stment														
	Supe	rannuat	ion contr	ibutio	ns											
	Com	mission														
	Dona	ition/gift														
	Inhei	itance														
Щ	Norm	nal cours	e of busi	iness												
	Asse	t sale														
	Othe	r - write	the sourc	ce and	d origir	of fun	ds belo	)W								

# Identification Form - Individuals

	FATCA Informati									Cor	npl	ian	ce	Ac	t)									
Yes	dividual a US citizen or i No	residei	nt of t	ne U	S for	tax p	urpo	ses?																
163	140																							
If yes, pr	ovide the individual's U	S Taxp	oayer	Iden	tificat	ion N	Numb	er (T	IN):															
3.	Verification proc	edur	e - i	nve	esto	rs																		
Verific	ation if you are an A	ustra	alian	resi	dent																			_
	nclose a certified copy						rrent	docu	ment	ts.														
Tick ✓	Select ONE option fro	m this	secti	ion																				
	Driver's licence (both	front a	and ba	ack).																				
	Passport (only pages	contai	ining	your	photo	), cur	rent (	date (	of pa	sspo	rt an	d sig	natu	ıre a	are i	requ	uired	d).						
	Any identification card photo, date of birth an				state	e or t	errito	ory lav	w in A	Austr	alia	or by	/ an	ove	rsea	as g	gove	ernm	ent	whi	ch c	ontai	ns y	our/
Verific	ation if you are not	an Aı	ıstra	lian	resid	dent																		
Please e	nclose a certified copy ur signature. If it does n	of ONI	E of th	he fol	llowin	ng cu	rrent									our (	drive	er's	licer	nce	or pa	assp	ort n	nust
Tick ✓	Select ONE option fro	m this	secti	ion																				
	Driver's licence (must	show	your	photo	o, dat	te of	birth,	addr	ess a	and s	igna	iture)	).											
	Passport (only pages	showi	ng yo	ur ph	noto,	curre	nt da	ite of	pass	port,	date	e of b	oirth	and	sig	natı	ure a	are ı	requ	ired	).			
4	Verification prod	adıı	· .	-inc	era o i	al c	أردام	2010																
4.	Verification proc	eaur	e - I	TINE	inci	al a	QVI	sers	5															
Record	d of verification pro	cedui	e																					
Either:																								
a. Attac	h the certified copy of t	he ID	docur	nent	(as r	equir	ed ur	nder	section	on 3)	use	d to	verif	у ус	ur (	clier	nt (a	ınd a	any r	equ	iired	tran	slati	on);
b. Com	plete the details below a										Ву	comp	oletir	ng th	nis y	/ou	repi	rese	nt th	nat y	ou l	nave	veri	ified
ID docu	ument details	Docı	umen	t																				
Verified	from		Orig	jinal		Cer	tified	сору	,															
Docume	ent name/type																					I		
Docume	ent issuer																					I		
Issue da	ate	D	D	M	M	Υ	Υ	Υ	Υ															

# ■ Identification Form - Individuals

Expiry date	D D M M Y Y Y
Document number	
Accredited English translation	N/A Sighted
FATCA	The FATCA information is reasonable considering the documentation provided
Financial adviser details	
Date verified	D D M M Y Y Y Y
Authorised Representative Num	ber (if any)
Financial adviser name	
Phone number	
Dealer group name	
AFSL number	
FATCA	
The FATCA information is reaso	nable considering the documentation provided



Email invest@k2am.com.au

Website www.k2am.com.au

# **Identification Form - Australian & Foreign Companies**

**K2 Asian Absolute Return Fund** 

**K2** Australian Absolute Return Fund

Please complete this form if you are a company investing with K2 for the first time or if you are a financial adviser verifying your client. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

#### Australian public company

- 1. Please complete sections 1 and 5 of this identification form in block letters and using a black pen.
- Include this identification form with your initial application form when you send it to us. You do not need to provide any ID documents.

#### Australian private company

- 1. Please complete sections 1, 3 and 5 of this identification form in block letters and using a black pen.
- 2. Section 4 must be completed if your company is not regulated and has shareholders who own, directly or indirectly, more than 25% or the company's issued capital. For this purpose, a regulated company is defined as any company that is licensed and subject to oversight by a statutory regulator, such as ASIC, Australian Prudential Regulation Authority (APRA) or Australian Tax Office (ATO).
- Include this identification form with your initial application form when you send it to us. You do not need to provide any ID
  documents.

#### Foreign public company

- 1. Please complete sections 2, 5 and 6 of this identification form in block letters and using a black pen.
- 2. Make copies of the relevant ID documents as applicable and arrange for them to be certified. Please refer to the 'Forms' section of our website for more information on getting your documents certified.
- 3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

#### Foreign private company

- 1. Please complete sections 2, 3, 4, 5, 6 and 7 of this identification form in block letters and using a black pen.
- 2. Make copies of the relevant ID documents and arrange for them to be certified. Please refer to the 'Forms' section of our website for more information on getting your documents certified.
- 3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

#### Legal notices

K2 Asset Management Ltd AFSL No. 244393 (K2) is the issuer of units in the K2 Asian Absolute Return Fund and K2 Australian Absolute Return Fund (together, the Funds).

K2 is committed to ensuring the confidentiality and security of your Personal Information. We handle your Personal Information in accordance with the Privacy Act 1988 and our Privacy Satement, which can be accessed on our website www.k2am.com.au.

1. A	ustralian compa	ny										
Compar	ny details											
- ull name	of company (as regist	tered by ASIC if i	ncorporat	ed in Aust	ralia)							
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ACN												_
Registere	d office address. A PO	Box/RMB/Locked F	Ban is not a	accentable	(as registe	red by ASIO	C if incorpo	rated in	Australia)			
	name/building name (if		oug io not c	accoptable.	(do rogioto	iod by 7 to io	5 II III001P0	ratou iii z	taotrana)			
Jnit	Street number	Street name										
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Suburb							St	ate		Postc	ode	+
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Country												_
ountry												Т
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Place of b Property n	usiness (if different to name/building name (if	registered office fapplicable)	address)									_
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Country												
Regulate												
Pagulator	ory/listing details											
Regulator												Т
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icence de	name											I

Please s	select the source and ori	gin of funds being ir	nvested:								
Tick ✓											
	Savings										
	Investment										
	Superannuation contri	ibutions									
	Commission										
	Donation/gift										
	Inheritance										
	Normal course of busi	ness									
	Asset sale										
	Other - write the source	e and origin of fund	ls below								
2.	Foreign company										
	any details										
	ne of company										
Country	of formation/incorporation	on/registration									
Pagietra	tion/identification number	ar.									
registia	don/identification number	71									
Name of	f foreign registration bod	y (if applicable)									
Locked B	red office address. If reg ag is not acceptable. name/building name (if		company in	Australia,	please pro	ovide Au	stralian a	ddress. A	A PO Box/R	lMB/	
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Unit	Street number	Street name									_
											+

Suburb									State	е	Po	ostcode	
Country													
	less (if different to re/building name (if			dress)									
Unit	Street number	Street r	name										
Suburb									State	е	Po	ostcode	
Country													
	/listing details												
Regulator nan	ne												
Licence detail	_												
Licence detail	s												
Name of stock	k exchange												
Australian liste	ed company name	if majority	owned s	ubsidiar	y of an	Australia	an listed	compar	ıy				
3. Dire	ctor details												
	lete if the compan	ıy is a pri	vate Aus	tralian	or Fore	ign con	npany. D	o not o	omplete	for pub	lic and li	sted	
-	ectors are there?		Provide	full nan	ne of ea	ch direc	tor						

Director	1																		
Title	Full giv	en names																	
Surname																			
Director 2	2																		
Title	Full giv	en names																	
Surname																			
Director 3	3																		
Title	Full giv	en names																	
Surname																			
Director 4	4																		
Title	Full giv	en names																	
Surname																			
4. Ma Please cor shareholde	more directors, please ajor shareholder mplete for private ers who own, direct	rs details Australian	or Fo	oreign	comp	panies	s tha	at are	not	reg	ulate	ed co	ompa	anies	. Pro	ovide	deta	ails	of al
	areholder 1																		
Title	Full giv	en names				_													
Surname															_				
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Suburb												Stat	e			Post	code		
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Country																			
_ 5 5 5													Т		Т				

Maj	jor shareholder 2																		
Title	Fu	ıll give	en names	;															
Surn	ame																		
Resi	dential address. A PO B	Box/RM	IB/Locked	Bag is n	not accep	table.													
	erty name/building nar																		
Unit	Street numb	er	Street	name															
Subu	ırb												State	9			Post	code	
Cour	ntry																		
Maj	jor shareholder 3																		
Title	Fu	ıll give	en names										_	_	_		_		
Surn	ame																		
Resi	dential address. A PO B	Box/RM	IB/Locked	Bag is n	not accep	table.													
Prop	erty name/building nar	ne (if a	applicable	e)															
Unit	Street numb	er	Street	name			,						_	_	_				
Subu	ırb												State	e			Post	code	
Cour	ntry																		
5.	FATCA Information	n (US	Foreign	Accou	nt Tax C	Complia	ance.	Act)											
FATO	CA Status (select only	ONE	of the fol	lowing (	categorie	es and	provi	de th	e info	rmatio	on re	ques	sted)						
	United States Comp	any (	A compa	ny crea	ted in th	e US,	estab	lished	d unde	er the	laws	s of t	he U	S or a	a US	taxpa	ayer)		
	Dravide the company	ro He	Toynovo	r Idontii	fication !	Numbo	r /TIN	1)									Т		
	Provide the company	803	тахрауе	riueniii	iication i	vumbe	:I ( I IIV	N)			4	4		Щ.					
	Is the company an ex	kempt	payee fo	r US ta	x purpos	ses?				Yes	6		1	No					
	If the company is a U	IS Cor	mpany se	ection 5	is comp	olete, p	rocee	d to s	sectio	n 6.									
	Financial Institution FATCA purposes)	1 (A cı	ıstodial o	r depos	sitory ins	stitution	n, an i	nvest	ment	entity	or a	spe	cified	l insu	rance	con	npany	for	
	Provide the company (GIIN), if applicable.	r's Glo	bal Interr	mediary	/ Identifi	cation I	Numb	er											

If the company does not ha	ave a GIIN, please provide its FATCA	status.		
If the company is a Financi	ial Institution section 5 is now complete	e, proceed to section 6.		
Non-Financial Public Con	npany (Public companies as per secti	on 4 that are not Financia	al Institutions as	described above)
If the company is a Public 0	Company, section 5 is now complete,	proceed to section 6.		
Non-Financial Proprietary described above)	/ Company (Proprietary companies a	s per section 4 that are n	ot Financial Ins	itutions as
Are any of the beneficial ov tax purposes	vners (as per section 4) US citizens or	residents of the US for	Yes	No
	Taxpayer Identification Number (TIN) (	of each beneficial owner	who is a US citi	zen or resident of the
Full given name(s)	Surname	US TIN	١	
V/mirror ( management)				
Verification proced	ure - Foreign companies			
Verification proced				
erification of a Foreign com				
erification of a Foreign complick ✓ Enclose a certified cop	pany y of the following current documents. 's certificate or registration (or equival	ent) issued by the releva	int foreign regis	tration/regulatory boo
'erification of a Foreign complick ✓ Enclose a certified copylindicating all of the follows:	pany y of the following current documents. 's certificate or registration (or equival	ent) issued by the releva	int foreign regis	tration/regulatory boo
/erification of a Foreign complick ✓ Enclose a certified copylindicating all of the following (i) The company (ii) The date it was	pany  y of the following current documents.  's certificate or registration (or equival pwing:	ent) issued by the releva	int foreign regis	tration/regulatory boo

by independent third parties indicating the above details in addition to enclosing the certificate of registration. Documents written in a language other than English must be accompanied by an English translation prepared by an accredited translator.

# Verification procedure - Financial advisers

Record of verification procedure of a Foreign company

#### Either:

- a. Attach the certified copies of the ID documents (as required under section 6) used to verify your client (and any required translation);
- b. Complete the details below and do not attach copies of the ID documents. By completing this you represent that you have verified your client's company registration, register of members, and each major shareholder's identity according to the verification procedures in section 6.

ID document details	Document 1
Verified from	Original Certified copy
Document name/type	
Document issuer	
Issue date	D D M M Y Y Y
Expiry date	D D M M Y Y Y

Document number																				
Accredited English translation		N/A			Sig	hted														
FATCA	The	e FAT	CA in	form	ation	is rea	asona	able c	onsi	derir	ng th	e do	cum	enta	tion	provi	ded			
ID document details	Doc	umen	t 2																	
Verified from		Oriç	ginal		Cer	tified	сору	,												
Document name/type																				
Document issuer																				
Issue date	D	D	М	М	Υ	Υ	Υ	Υ												
Expiry date	D	D	M	М	Υ	Υ	Υ	Υ												
Document number																				
Accredited English translation		N/A			Sig	hted														
FATCA	The	FAT	CA in	form	ation	is rea	asona	able c	onsi	derir	ng th	e do	cum	enta	tion	provi	ded			
Financial adviser details																				
Date verified	D	D	M	M	Υ	Υ	Υ	Υ												
Authorised Representative Num	ber (i	f any)																		
Financial adviser name					Т				Т	Т							Т		Т	Т
Phone number	+	_	+	+																
Dealer group name	_		_																	
AFSL number	T	T	T																	
FATCA																				
The FATCA information is reason	onabl	e con	sider	ing th	ne do	cume	entatio	on pro	vide	d										



Client Services contact details

Phone +61 3 9691 6191

Email invest@k2am.com.au

Website www.k2am.com.au

# **Identification Form - Trusts & Trustees**

**K2** Asian Absolute Return Fund

**K2 Australian Absolute Return Fund** 

Please complete this form if you are a new investor with K2 or if you are a financial adviser verifying your client who is a new investor. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

- 1. Complete the relevant sections of this identification form, according to the type of trust as set out below, in block letters and using a black pen.
- 2. Make copies of your ID document(s) as applicable and arrange for them to be certified. Please refer to the 'Forms' section of our website for more information on getting your documents certified.
- 3. Include this identification form and certified copies of the ID documents with your initial application form when you send it to us.

Type of Trust	Sections to complete
Australian and Foreign registered trusts with individuals as trustees	Sections 1, 2 and 5 or 6. Section 8 for self-managed super funds. Registered trusts (excluding self-managed super funds) do not need to provide ID documents.
Australian and Foreign registered trusts with a public company as trustee	Sections 1, 3 and 5 or 6. Registered trusts do not need to provide ID documents.
Australian registered trusts with a private company as trustee	Sections 1, 3, 4 and 5.
Foreign registered trusts with a private company as trustee	Sections 1, 3, 4, 6 and 9.
Australian unregistered trusts with individuals as trustees	Sections 1, 2, 6, 7 and 8.
Australian unregistered trusts with companies as trustees	Sections 1, 3, 4, 6 and 7.
Foreign unregistered trusts with individuals as trustees	Sections 1, 2, 6, 7 and 8.
Foreign unregistered trusts with companies as trustees	Sections 1, 3, 4, 6, 7 and 9.

#### Financial adviser verifying your client

- 1. Complete the relevant sections of this identification form, according to the type of trust as set out above, in block letters and using a black pen.
- 2. Either:
  - a. Attach the certified copies of the ID documents used to verify your client (and any required translation)
  - b. Complete section 10 indicating that you have collected and verified your client's identity.
- 3. Include this identification form and certified copies of ID documents (if applicable) with the initial application form when you send it to us.

#### Legal notices

K2 Asset Management Ltd AFSL No. 244393 (K2) is the issuer of units in the K2 Asian Absolute Return Fund and K2 Australian Absolute Return Fund (together, the Funds).

K2 is committed to ensuring the confidentiality and security of your Personal Information. We handle your Personal Information in accordance with the Privacy Act 1988 and our Privacy Statement, which can be accessed on our website www.k2am.com.au.

1.	Trust details
Full n	ame of trust
Coun	try where trust established
Pleas	e select the source and origin of funds being invested:
Tick	✓
	Savings
	Samge Same
	Investment
	Superannuation contributions
	Commission
L	Commission
	Donation/gift
	Inheritance
	Named assume of hydinas
L	Normal course of business
	Asset sale
	Other - write the source and origin of funds below
Typ	e of Trust
	e select only one of the following trust types and provide the information requested.
	Registered Managed Investment Scheme
	Australian Registered Scheme Number (ARSN)
	Regulated trust (for example a self-managed superannuation fund)
	Name of the regulator (for example ASIC, APRA, ATO)
	Trust's ABN or registration/licensing number
	Government superannuation fund
Name	e of legislation under which the fund is established

rust description	(for example family, unit, charitable	estate)								
Beneficiary det	ails									
•	for unregistered trusts. Do not co	mplete if th	ne trust is a	registere	d manag	ed inves	tment	scheme,	regulated	d trus
•	rannuation fund.				_					
o the terms of th	ne trust identify the beneficiaries by	reference to	o members	nip of a cla	ass?					
Yes										
ovide details of	the membership class(es) (for exa	mple unit ho	olders, famil	y membe	rs of nam	ed perso	n, char	itable pui	rpose)	
N. 11-			Discourse		£	-6 1-	L C			
No Ho	w many beneficiaries are there?		Please pl	ovide the	tuli name	or each	beneti	ciary		
eneficiary 1										
tle	Full given names						_			_
ırname										
eneficiary 2										
tle	Full given names									
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eneficiary 3										
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thoro are more	beneficiaries, please provide detail	0.00.0.000	rata aboat a	and attach	thic with	vour for	<b>n</b>			_
nere are more	berieficiaries, please provide detail	s on a sepa	rate sneet a	inu allacii	uns with	your ion	11.			
	e name of the appointor of the trus			<b>.</b>	N1 - ( - 11 (					
ppointor: the ap	ppointor has the power to appoint o	r remove th	e trustees o	the trust	. Not all t	usts hav	e an a	opointor.)		
										_

2. Ind	lividuals trustee	details						
	ide details for each i							
Trustee 1								
Title	Full giv	en names						
Surname								
Date of Birth	n (dd/mm/yyyy)							
	M M Y Y	YY						
		AD/I a sked Des is a	-tut-bl-					
	address. A PO Box/RI me/building name (if		ot acceptable.					
Unit	Street number	Street name						
Outout							Destant	
Suburb					Sta	ite	Postcode	
Country				 				
Trustee 2								
Title	Full giv	en names						
Surname								
Date of Rinth	n (dd/mm/yyyy)							
		YY						
Residential a	address. A PO Box/RI me/building name (if	MB/Locked Bag is no applicable)	ot acceptable.					
	(	арриодоло)						
Unit	Street number	Street name						
Cuburt					01	4.	Destant	
Suburb					Sta	ite	Postcode	
Country				 1 1 1				

If there are more trustees, please provide details on a separate sheet and attach this with your form.

3. Company tru	stee details							
<u></u>	details - companies inc	orporated in A	ustralia					
ull name of company (as	-							
CN								
egistered office address	a. A PO Box/RMB/Locked Bag is	s not acceptable.						
roperty name/building na								
nit Street num	nber Street name							
uburb					State	Р	ostcode	
ountry								
lace of business (if differ roperty name/building na	rent to registered office addr ame (if applicable)	ress)						
nit Street num	ber Street name							
uburb					State	Р	ostcode	
ountry								
Regulatory/listing deta	sile							
egulator y/iisting deta	III O							
-								
cence details								
ame of stock exchange								
	tails - companies incorp	porated outside	e of Austra	alia				
ull name of company			1 1				1 1	
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Country of f	ormation/incorporation	on/registration							
Registration	/identification numbe	er							
Name of for	eign registration bod	y (if applicable)							
Locked Bag i	office address. If reg s not acceptable. me/building name (if	stered as a foreign c	ompany in Austi	alia, please p	rovide Austi	alian addr	ess. A PO I	Box/RMB/	
Unit	Street number	Street name							
Suburb						State		Postcode	
Country									
	siness (if different to me/building name (if	registered office addr applicable)	ress)						
Unit	Street number	Street name							
Suburb						State		Postcode	
Country									
Regulator	y/listing details								
Regulator n	ame								
Licence det	ails								
Name of sto	ock exchange								
Australian li	sted company name	if majority owned sub	osidiary of an Au	ıstralian listed	company				

	nal informa																			
Please complete		/ is a priv	ate Au	stralia	n or F	ore	ign c	omp	any. I	Do no	ot co	mple	te fo	r pub	lic aı	nd lis	ted c	omp	anie	s.
Directors detai	IIS																			
How many directo	ors are there?		Provi	de full	name	e of e	each	direc	tor											
Director 1																				
Title	Full giv	en names	3																	
Surname																				
Director 2																				
Title	Full give	en names	5																	
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#### Verification of individual trustees for unregistered Foreign trusts

Please enclose a certified copy of ONE of the following current documents for one of the individual trustees of the trust. The certified copy of the driver's licence or passport must show the individual's signature. If it does not, please have the trustee sign their name on the certified copy of the document.

Tick ✓	Select ONE option from this section.
	Driver's licence (must show the photo, date of birth, address and signature).
	Passport (only pages showing the photo, current date of passport, date of birth and signature are required).

### 9. Verification procedure - companies as trustees

### Verification of a Foreign company

Please enclose a certified copy of the following documents.

Tick ✓	Enclose a certified copy of the following current documents.
	The Foreign Company's certificate or registration (or equivalent) issued by the relevant foreign registration/regulatory body indicating all of the following:
	(i) The company's identification/registration number
	(ii) The date it was incorporated or formed, AND
	(iii) The company's registered address.

Note: If the certificate of registration does not indicate any of the above details, enclose certified copies of other documents issued by independent third parties indicating the above details in addition to enclosing the certificate of registration.

### 10. Verification procedure - Financial advisers

### Record of verification procedure

#### Either:

- a. Attach certified copies of the ID documents (as required under sections 7, 8 and/or 9) used to verify your client (and any required translation); OR
- b. Complete the details below and do not attach copies of the ID documents. By completing this you represent that you have verified your client's trust and trustee details according to the verification procedures in sections 7, 8 and/or 9.

ID document details	Docu	ımen	t 1														
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Document name/type																	
Document issuer																	
Issue date	D	D	M	M	Υ	Υ	Υ	Υ									
Expiry date	D	D	M	M	Υ	Υ	Υ	Υ									
Document number																	
Accredited English translation		N/A			Sig	hted											
FATCA	The FATCA information is reasonable considering the documentation provided																

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Verified from		Orig	ginal		Cer	tified	сору													
Document name/type																				
Document issuer																				
Issue date	D	D	М	M	Υ	Υ	Υ	Υ												
Expiry date	D	D	M	М	Υ	Υ	Υ	Υ												
Document number																				
Accredited English translation		N/A	١		Sig	hted														
FATCA	The	e FAT	CA in	form	ation	is rea	asona	ıble c	onsic	derin	ig th	e do	cum	enta	ition	prov	ided			
Financial adviser details																				
Date verified	D	D	М	М	Υ	Υ	Υ	Υ												
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Financial adviser name	,	,																		
Phone number	_																			
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AFSL number																				
FATCA																				
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#### Client Services contact details

**Phone** 

+61 3 9691 6191

**Email** 

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Website

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### Tax Information Form

### Why you need to complete this form

The Foreign Account Tax Compliance Act (**FATCA**) and Common Reporting Standard (**CRS**) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and many other foreign Governments (through their tax offices) have an agreement which means we must ask you, and you must answer, these questions. Information we gather is reported to the Australian Taxation Office (**ATO**) and in turn to global tax authorities. For more information, visit ato.gov.au.

If you are unsure of any of the answers, please contact a legal or accounting professional.

#### Which sections of the form should you complete?

- Superannuation funds, testamentary trusts, registered charities Section 1
- Individuals Section 2
- Companies and other trusts Section 3

#### What if more than one person is applying?

Each individual investor will need to complete a copy of this form.

#### HELP

#### Tell me about tax residence

You can be a resident of more than one country for tax purposes. Whether you are tax resident of a particular country for tax purposes is often based on the amount of time you spend in a country and the location of your residence and/or place of work. If you pay tax or have a tax liability somewhere, you are probably a tax resident there. Dual citizenship often brings dual tax residency. It depends on the country. For the US, tax residency can be as a result of citizenship or residency for tax purposes.

If you're unsure, ask someone who knows, usually your accountant.

OFOTION 4	CURER ANNUATION FUNDS AND OTHER OREGIAL	TOUGTO
SECTION 1	SUPERANNUATION FUNDS AND OTHER SPECIAL	IRUSIS

1.	Are you a superannuation or other special type of trust?		
		HELP	
	I am the trustee of a <b>regulated superannuation fund</b> , or this includes a self-managed superannuation fund	Regulated superannuation fund: means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or	
	I am a trustee of a <b>testamentary trust</b> , or	semi-government superannuation funds and pooled super trusts.	
	Tama tradice of a testamentary tradit, or	<b>Testamentary trust</b> : this is a trustee of a trust set up in a deceased's will.	
	I am a trustee of a registered charity		
Wh	ere to now?		
•	I ticked a box ▶ go to Section 4 Signatures		
•	I did not tick a box ▶ go to Section 2 if you are an individual, or Section 3 if you are a company or another type of trust		
SEC	CTION 2 INDIVIDUALS		
Do	not complete Section 2 if you are a non-superannuation truste	e or you are a company ▶ complete <b>Section 3</b> instead.	
2.	Are you a US resident for tax purposes?	HELP	
		NELP	
No ▶ go to question 3		What is a TIN?	
	No ▶ go to question 3	What is a TIN?  This is short for Taxpayer Identification Number, an identification number	
		What is a TIN?  This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file	
	No ▶ go to question 3  Yes – please tell us your TIN ▶ go to question 3	What is a TIN?  This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US	
П	Yes – please tell us your TIN ▶ go to question 3	What is a TIN?  This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different	
TI	Yes – please tell us your TIN ▶ go to question 3	What is a TIN?  This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US	

3.	Are you a resident of any other coun	try for tax purposes	?
	Other than the US or Australia.  No ▶ go to Section 4 Signatures  Yes – please tell us which ones, using ▶ then go to Section 4 Signatures	g the following table.	HELP  No TIN? Reasons we accept are: #1 This country does not issue TINs #2 I have asked for a TIN, but have not yet been given one – you must tell us when received #3 The laws of this country do not require me to disclose my TIN #4 I have an exemption under the laws of this country from holding a TIN – write a code or give us details
	Country	TIN	No TIN? Which reason? See HELP box above
1.			COOTILET BOX UBOVO
2.			
3.			
4.			
SEC	CTION 3 COMPANIES AND NON-SUP	ERANNUATION TR	USTS
4.	Are you a US resident for tax purpos	es?	HELP
4.	Are you a US resident for tax purpos  No ▶ go to question 5	es?	HELP What is a TIN? See HELP box on the previous page.
4.			What is a TIN?
4.	No ▶ go to question 5  Yes – please tell us your TIN ▶ then		What is a TIN?
4	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun	go to <b>question 5</b>	What is a TIN? See HELP box on the previous page.
	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun Other than the US or Australia.	go to <b>question 5</b>	What is a TIN? See HELP box on the previous page.  S? HELP
	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun	go to <b>question 5</b>	What is a TIN? See HELP box on the previous page.  PHELP No TIN? Reasons we accept are: #1 This country does not issue TINs
	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun Other than the US or Australia.	go to question 5	What is a TIN?  See HELP box on the previous page.  Fig. 1  HELP  No TIN? Reasons we accept are:  #1 This country does not issue TINs  #2 I have asked for a TIN, but have not yet been given one – you must tell us when received
	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun Other than the US or Australia.  No ▶ go to question 6  Yes – please tell us which ones, using	go to question 5	What is a TIN? See HELP box on the previous page.  Framework  HELP  No TIN? Reasons we accept are: #1 This country does not issue TINs #2 I have asked for a TIN, but have not yet been given one – you must tell us
	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun Other than the US or Australia.  No ▶ go to question 6  Yes – please tell us which ones, using	go to question 5	What is a TIN?  See HELP box on the previous page.  HELP  No TIN? Reasons we accept are: #1 This country does not issue TINs #2 I have asked for a TIN, but have not yet been given one – you must tell us when received #3 The laws of this country do not require me to disclose my TIN #4 I have an exemption under the laws of this country from holding a TIN –
	No ▶ go to question 5  Yes – please tell us your TIN ▶ then  N  Are you a resident of any other coun Other than the US or Australia.  No ▶ go to question 6  Yes – please tell us which ones, using	go to question 5	What is a TIN?  See HELP box on the previous page.  HELP  No TIN? Reasons we accept are: #1 This country does not issue TINs #2 I have asked for a TIN, but have not yet been given one – you must tell us when received #3 The laws of this country do not require me to disclose my TIN #4 I have an exemption under the laws of this country from holding a TIN –

	Country	TIN	No TIN? Which reason? See HELP box above
1.			
2.			
3.			
4.			

6. Are you a 'financial institution'?	HELP
Be careful – financial institution is broadly defined – see HELP	What is a GIIN?
box	This stands for Global Intermediary Identification Number. GIINs are 19 digit
Not relevant - I wrote my TIN in question 4 ▶ go to question 7	long, issued by US tax authorities (the IRS) to non US financial institutions and sponsoring entities for purposes of identifying their registration with the IRS under US tax laws (called FATCA).
No ▶ go to question 7	HELP
Yes – please tell us your GIIN – see HELP box	What is a financial institution? This includes:
GIIN	<ul> <li>an investment entity - any entity that conducts certain activities or operations for or on behalf of a customer, including:</li> </ul>
Where to now?	trading in money market instruments' and other relevant instruments
	- 'individual and collective portfolio management'
■ I ticked YES and completed my GIIN ■ go to question 7	<ul> <li>'investing, administering, or managing funds or money on behalf of</li> </ul>
<ul> <li>I ticked YES but did not write a GIIN – tell us below why you did not write a GIIN ▶ then go to question 7</li> </ul>	other persons'.
Excepted Financial Institution	However, any trading, investing, administering or managing of <b>financial assets</b> on behalf of other persons must be done <b>as a business</b> . Note that <b>financial assets</b> does not include direct interests in real property.
Deemed Compliant Financial Institution	An entity is also an investment entity if it is managed by another entity that is an investment entity.
Exempt Beneficial Owner	An investment entity is generally only capable of including a trust if the trust's gross income is primarily attributable to investing, reinvesting, or trading in financial assets and the trust is managed by an entity that is
Non-participating Financial Institution	a financial institution in its own right or otherwise is primarily conducting a business of trading, investing, managing or administering financial assets on behalf of other persons.
Non-reporting IGA Financial Institution	So, as general rules:
Sponsored financial institution – their GIIN is	<ul> <li>managed investment schemes are investment entities</li> <li>trusts with professional corporate trustees (and often professional corporate investment managers) often are investment entities,</li> </ul>
GIIN	such as unregistered (wholesale) managed investment schemes
7. Are you a public company listed on a stock exchange?	<ul> <li>discretionary family trusts are not usually investment entities, even if they have someone managing the trust's assets for them.</li> <li>The ATO gives some help in this, and it's worth seeking advice if you</li> </ul>
	are unsure:
No ▶ go to question 8	ato.gov.au/General/International-tax-agreements/Indetail/International-arrangements/FATCA-detailed-guidance
Yes ▶ go to Section 4 Signatures	a depository institution     you accept deposits in the ordinary course of a banking or similar
	business e.g. a bank
	<ul> <li>a custodial institution</li> <li>a substantial portion of your business (20 per cent plus of gross income)</li> <li>is held in financial assets for the account of others e.g. a custodian</li> </ul>
	certain prescribed entities
	e.g. types of insurance companies that have cash value products or annuities.
8. Are you 'active' or 'passive'?	
	HELP
I am an 'active' non financial entity ▶ go to Section 4	What is 'active' and 'passive'?

I am an 'active' non financial entity ▶ go to Section 4 Signatures

I am a 'passive' non financial entity ▶ go to question 9

- If you are answering this question, then relevant tax laws categorise you as a 'non-financial entity'.
- We require less information from active non-financial entities, and more information from passive non-financial entities.
- Please tell us if you are active or passive.
- You are active if you are not passive.
- Passive: because our income and assets are mostly passive. During the previous financial year, 50% or more of our gross income was passive income and 50% or more of our assets during that financial year were assets that produced or were held for the production of passive income. Passive assets are assets such as equities and debt securities that produce investment income such as dividends, interests, royalties and annuities.
- Passive: because we are not really a business. We are established and operated exclusively for: religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; as a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league; or as an organisation operated exclusively for the promotion of social welfare.
- Passive: because we are exempt from Australian income tax.
- Other categories of passive? They exist but are less common.
   Get advice if you are unsure.

9. Do you have any 'controlling persons' who			
resident of another country for tax purposes?	Controlling persons	0.	
I am passive, and <b>YES</b> I do have controlling persons w are resident of another country for tax purposes	<ul> <li>Controlling persons are the natural persons who:</li> <li>are residents of another country for tax purposes, and</li> <li>exercise practical control over you.</li> </ul>		
Complete the <b>controlling persons details</b> in the table below	When thinking about control, start by thinking about the people who have ownership interests:		
▶ then go to Section 4 Signatures.	<ul> <li>if you are a company, think first about sharel</li> <li>if you are a discretionary trust, list the bene</li> </ul>	nolders ficiaries who were	
If there is not enough room in the table, please copy the page and attach it to your completed form.  I am passive, but <b>NO</b> I do not have controlling persons who are resident of another country for tax purposes	<ul> <li>if you are trustee of a deceased estate, the ethe person in control</li> <li>if you are another type of trust (perhaps a unit of the person in control)</li> </ul>	paid a distribution this financial year if you are trustee of a <b>deceased estate</b> , the executor is usually the person in control if you are <b>another type of trust</b> (perhaps a unitised investment trust), think first about the unit holders or beneficiaries, and also	
It would be unusual to think of no-one. Please read the <b>HEL</b>	For companies, use 25% as a touchstone – if a p more of the issued capital or voting rights, best to		
box. If you're sure ▶ go to Section 4 Signatures.	<ul> <li>For trusts (other than discretionary trusts), law reall beneficiaries, and also requires that you drill d chain of control or ownership to find the natural pultimately control the trust.</li> <li>Where no natural persons exercise control through</li> </ul>	quires that you list lown through the ersons that gh ownership,	
	consider who might exercise control through othe and perhaps senior managing officials.	r means – directors	
Controlling person	Controlling person		
Title Given names	Title Given names		
Surname	Surname		
Date of birth (DD/MM/YYYY)	Date of birth (DD/MM/YYYY)		
City and country of birth	City and country of birth		
Residential address	Residential address		
Number Street name	Number Street name		
Suburb/City State	Suburb/City	State	
Post code/Zip Country	Post code/Zip Country		
Country of tax residence TIN No TIN? Which reason? See HELP at questions	tax reas	TIN? Which on? HELP at questions 3	
or 5	or 5		
2.	2.		
3.	3.		
4.	4.		

Controlling person	Controlling person
Title Given names	Title Given names
Surname	Surname
D. I. Chi II (DDAMAAAAA)	Date of Link (DDAMANAAA)
Date of birth (DD/MM/YYYY)	Date of birth (DD/MM/YYYY)
City and country of birth	City and country of birth
Residential address	Residential address
Number Street name	Number Street name
Suburb/City State	Suburb/City State
Post code/Zip Country	Post code/Zip Country
Country of TIN No TIN? Which	Country of TIN No TIN? Which reason?
tax reason? residence See HELP at questions 3	tax residence reason? See HELP at questions 3
or 5	or 5
1.	1.
2.	2.
3.	3.
4.	4.
Controlling person	Controlling person
Controlling person Title Given names	Controlling person Title Given names
Title Given names	Title Given names
Title Given names  Surname	Title Given names  Surname
Title Given names	Title Given names
Title Given names  Surname	Title Given names  Surname
Title Given names  Surname	Title Given names  Surname
Title Given names  Surname  Date of birth (DD/MM/YYYY)	Title Given names  Surname  Date of birth (DD/MM/YYYY)
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name	Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name	Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name	Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of TIN No TIN? Which	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of TIN No TIN? Which
Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax No TIN? Which reason?	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax IN No TIN? Which reason?
Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax residence  TIN No TIN? Which reason? See HELP at questions 3 or 5	Title Given names  Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Country of tax residence  TIN No TIN? Which reason? See HELP at questions 3 or 5
Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax residence TIN No TIN? Which reason? See HELP at questions 3 or 5	Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax residence TIN No TIN? Which reason? See HELP at questions 3 or 5
Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax residence TIN No TIN? Which reason? See HELP at questions 3 or 5  1. 2.	Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / / / / / / / / / / / / / / / / /
Title Given names  Surname  Date of birth (DD/MM/YYYY)  / / / City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax residence TIN No TIN? Which reason? See HELP at questions 3 or 5	Surname  Date of birth (DD/MM/YYYY)  City and country of birth  Residential address Number Street name  Suburb/City State  Post code/Zip Country  Country of tax residence TIN No TIN? Which reason? See HELP at questions 3 or 5

#### SECTION 4 SIGNATURES

#### Important information

Nothing in this form is advice (and any 'help' is general guidance only). Seek professional advice to be sure of your answers.

It is a condition of investing that you keep your details (including tax details) with us, up to date. We recommend that you review this tax information form at the end of the financial year and update your details if required. You must contact us when you learn new things about the matters in this form. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form again and emailing, faxing or posting it to our Unit Registry.

By completing and signing this form:

- you represent having read and understood this form
- you represent this form is complete and accurate
- if you have applied for but not received your TIN or GIIN, you undertake to inform us within 30 days of receiving it
- you undertake that if information in this form changes, you will tell us within 30 days.

#### How to sign

**Individual**: sign in the left box, and have someone witness in the right box. If you are investing jointly, you need a separate form for each individual.

**Company**: two directors, or a director and a secretary sign, or if you are a sole director company, that sole director signs in the left box and a witness in the right box.

witness in the right box.	
Signature	Signature
Please print full name	Please print full name
Trease print fair fairte	ricase print ruii riame
Date (DD/MM/YYY)	Date (DD/MM/YYY)

**K2**>