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## Identification form - Trusts & Trustees

K2 Asian Absolute Return Fund

K2 Australian Absolute Return Fund

K2 Select International 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.

- 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.
- 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.
- 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

- 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.
- Either:
  - Attach the certified copies of the ID documents used to verify your client (and any required translation)
  - Complete section 10 indicating that you have collected and verified your client's identity.
- 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 is the issuer of units in the K2 Asian Absolute Return Fund, K2 Australian Absolute Return Fund and K2 Select International Absolute Return Fund (together Funds).

K2 Asset Management Ltd 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 Privacy Policy, which can be accessed on our website www.k2am.com.

# ■ Identification form - Trusts & Trustees

## 1. Trust details

Full name of trust

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Country where trust established

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Please select the source and origin of funds being invested:

Tick ✓	
<input type="checkbox"/>	Savings
<input type="checkbox"/>	Investment
<input type="checkbox"/>	Superannuation contributions
<input type="checkbox"/>	Commission
<input type="checkbox"/>	Donation/gift
<input type="checkbox"/>	Inheritance
<input type="checkbox"/>	Normal course of business
<input type="checkbox"/>	Asset sale
<input type="checkbox"/>	Other - write the source and origin of funds below

## Type of Trust

Please select only one of the following trust types and provide the information requested.

<input type="checkbox"/>	Registered Managed Investment Scheme																							
	Australian Registered Scheme Number (ARSN)	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																						
<input type="checkbox"/>	Regulated trust (for example a self-managed superannuation fund)																							
	Name of the regulator (for example ASIC, APRA, ATO)	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																						
	Trust's ABN or registration/licensing number	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																						
<input type="checkbox"/>	Government superannuation fund																							
	Name of legislation under which the fund is established	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																						



# Identification form - Trusts & Trustees

## 2. Individuals trustee details

Please provide details for each individual trustee.

### Trustee 1

Title	Full given names
<input type="text"/>	<input type="text"/>

Surname
<input type="text"/>

Date of Birth (dd/mm/yyyy)
<input type="text"/>

Residential address. A PO Box/RMB/Locked Bag is not acceptable.  
Property name/building name (if applicable)

<input type="text"/>
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Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country
<input type="text"/>

### Trustee 2

Title	Full given names
<input type="text"/>	<input type="text"/>

Surname
<input type="text"/>

Date of Birth (dd/mm/yyyy)
<input type="text"/>

Residential address. A PO Box/RMB/Locked Bag is not acceptable.  
Property name/building name (if applicable)

<input type="text"/>
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Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country
<input type="text"/>

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

# Identification form - Trusts & Trustees

## 3. Company trustee details

### Australian company details - companies incorporated in Australia

Full name of company (as registered by ASIC )


ACN

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Registered office address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/building name (if applicable)

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Unit                  Street number          Street name


Suburb

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State

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Postcode

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Country

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Place of business (if different to registered office address)

Property name/building name (if applicable)

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Unit                  Street number          Street name


Suburb

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State

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Postcode

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Country

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### Regulatory/listing details

Regulator name

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Licence details

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Name of stock exchange

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### Foreign company details - companies incorporated outside of Australia

Full name of company




# Identification form - Trusts & Trustees

Country of formation/incorporation/registration

Registration/identification number

Name of foreign registration body (if applicable)

Registered office address. If registered as a foreign company in Australia, please provide Australian 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

Place of business (if different to registered office address)

Property name/building name (if applicable)

Unit Street number Street name

Suburb State Postcode

Country

## Regulatory/listing details

Regulator name

Licence details

Name of stock exchange

Australian listed company name if majority owned subsidiary of an Australian listed company

# Identification form - Trusts & Trustees

## 4. Additional information for private companies

Please complete if the company is a private Australian or Foreign company. Do not complete for public and listed companies.

### Directors details

How many directors are there?   Provide full name of each director

#### Director 1

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

#### Director 2

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

#### Director 3

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

#### Director 4

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

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

### Major shareholder details

Please complete for private companies that are not regulated companies. Provide details of all shareholders who own, directly or indirectly, more than 25% of the company's issued capital.

#### Major shareholder 1

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

Residential address. A PO Box/RMB/Locked Bag is not acceptable.  
Property name/building name (if applicable)

Unit	Street number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

# Identification form - Trusts & Trustees

Suburb

State

Postcode

Country

## 5. FATCA Information (US Foreign Account Tax Compliance Act) for Australian Regulated Trusts and Trustees

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 5 and can proceed to section 7.

### FATCA Status

Provide the Trust or Trustee's Global Intermediary Identification Number (GIIN), if applicable

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status

## 6. FATCA Information (US Foreign Account Tax Compliance Act) for Australian Unregulated Trusts and Trustees and Foreign Trusts

Section 6 is not required for Deceased Estates. For Deceased Estates proceed to section 7.

**FATCA Status** (select only ONE of the following categories and provide the information requested)

**United States Trust** (A trust created in the US, established under the laws of the US or a US taxpayer)

Provide the Trust's US Taxpayer Identification Number (TIN)

Is the Trust an exempt payee for US tax purposes?

Yes

No

If the Trust is a US Trust section 6 is complete, proceed to section 7.

**Financial Institution or Trust with a Trustee that is a Financial Institution** (A trust that is primarily established for custodial or investment purposes or a Trust that has a Trustee that is a Financial Institution in its own right)

Provide the Trust or Trustees 's Global Intermediary Identification Number (GIIN), if applicable

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status

If the Trust is a Financial Institution or has a Trustee that is a Financial Institution section 6 is complete, proceed to section 7.

**Other** (Trusts that are not US Trusts, Financial Institutions or do not have Financial Institution Trustees)

Are any of the Trust beneficiaries, trustees or settlors US citizens or residents of the US for tax purposes

Yes

No

If the Trustee is a company, are any of this company's beneficial owners (as per section 1) US citizens or residents of the US for tax purposes

Yes

No

Provide the name, address and US Taxpayer Identification Number (TIN) of each beneficiary, trustee, settlor or beneficial owner who is a US citizen or resident of the US for tax purposes. Addresses are only required if they have not already been provided in this form. If there are more the 3 US persons, provide the details of the additional US persons on a separate sheet.





# Identification form - Trusts & Trustees

## US Person 1

Full given name(s)

Surname

US TIN

Residential Address *(PO Box is NOT acceptable)*




Suburb

State

Country

Postcode

## US Person 2

Full given name(s)

Surname

US TIN

Residential Address *(PO Box is NOT acceptable)*




Suburb

State

Country

Postcode

## US Person 3

Full given name(s)

Surname

US TIN

Residential Address *(PO Box is NOT acceptable)*




Suburb

State

Country

Postcode

## 7. Verification procedure - unregistered trusts

### Verification for Australian and Foreign unregistered trusts

Please enclose a certified copy of ONE of the following documents.

Tick ✓	Select ONE option from this section.
<input type="checkbox"/>	A certified copy or certified extract of the trust deed. The certified extract must confirm the name of the trust.
<input type="checkbox"/>	A notice issued to the trust by a regulatory authority (must not be more than 12 months old).
<input type="checkbox"/>	A letter from a solicitor or qualified accountant that confirms the name of the trust.

Documents written in a language other than English must be accompanied by an English translation prepared by an accredited translator.

## 8. Verification procedure - individuals as trustees

### Verification of individual trustees for self-managed super funds and unregistered Australian trusts

Please enclose a certified copy of ONE of the following current documents for one of the individual trustees of the trust.

Tick ✓	Select ONE option from this section.
<input type="checkbox"/>	Driver's licence (both front and back).
<input type="checkbox"/>	Passport (only pages containing your photo, current date of passport and signature are required).
<input type="checkbox"/>	Any identification card issued under a state or territory law in Australia or by an overseas government which contains your photo, date of birth and signature.



# Identification form - Trusts & Trustees

## 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.
<input type="checkbox"/>	Driver's licence (must show the photo, date of birth, address and signature).
<input type="checkbox"/>	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.
<input type="checkbox"/>	The Foreign Company's certificate or registration (or equivalent) issued by the relevant foreign registration/regulatory body indicating all of the following: <ul style="list-style-type: none"> <li>(i) The company's identification/registration number</li> <li>(ii) The date it was incorporated or formed, AND</li> <li>(iii) The company's registered address.</li> </ul>

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	Document 1
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document name/type	<input type="text"/>
Document issuer	<input type="text"/>
Issue date	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
Expiry date	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
Document number	<input type="text"/>
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted
FATCA	The FATCA information is reasonable considering the documentation provided <input type="checkbox"/>

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# Identification form - Trusts & Trustees

ID document details	Document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document name/type	<input type="text"/>
Document issuer	<input type="text"/>
Issue date	<input type="text"/>
Expiry date	<input type="text"/>
Document number	<input type="text"/>
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted
FATCA	The FATCA information is reasonable considering the documentation provided <input type="checkbox"/>

## Financial adviser details

Date verified

Authorised Representative Number (if any)

Financial adviser name

Phone number

Dealer group name

AFSL number

FATCA

The FATCA information is reasonable considering the documentation provided