



Client Services contact details

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Website
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Identification form - Australian & Foreign companies

K2 Opportunities 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.
2. 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).
3. 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 (ABN 95 085 445 094) (AFSL No. 244393) (K2) is the issuer of units in the K2 Opportunities Fund (the Fund).

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

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

Country

Place of business (if different to registered office address)
Property name/building name (if applicable)

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

Regulatory/listing details

Regulator name

Licence details

Name of stock exchange

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

3. Director details

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

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



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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.

4. Major shareholders details

Please complete for private Australian or Foreign 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)

<input type="text"/>

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"/>

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Major shareholder 2

Title Full given names

Surname

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

Major shareholder 3

Title Full given names

Surname

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

5. FATCA Information (US Foreign Account Tax Compliance Act)

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

United States Company (A company created in the US, established under the laws of the US or a US taxpayer)

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

Is the company an exempt payee for US tax purposes?

Yes No

If the company is a US Company section 5 is complete, proceed to section 6.

Financial Institution (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable.



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If the company does not have a GIIN, please provide its FATCA status.

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If the company is a Financial Institution section 5 is now complete, proceed to section 6.

Non-Financial Public Company (Public companies as per section 4 that are not Financial Institutions as described above)
If the company is a Public Company, section 5 is now complete, proceed to section 6.

Non-Financial Proprietary Company (Proprietary companies as per section 4 that are not Financial Institutions as described above)

Are any of the beneficial owners (as per section 4) US citizens or residents of the US for tax purposes Yes No

If yes, provide the name and US Taxpayer Identification Number (TIN) of each beneficial owner who is a US citizen or resident of the US for tax purposes.

Full given name(s)	Surname	US TIN
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

6. Verification procedure - Foreign companies

Verification of a Foreign company

Tick <input checked="" type="checkbox"/>	Enclose a certified copy of the following current documents.
<input type="checkbox"/>	<p>The Foreign Company's certificate or registration (or equivalent) issued by the relevant foreign registration/regulatory body indicating all of the following:</p> <ul style="list-style-type: none"> (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. Documents written in a language other than English must be accompanied by an English translation prepared by an accredited translator.

7. 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); 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 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	<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"/> DD MM YYYY
Expiry date	<input type="text"/> DD MM YYYY

■ Identification form - Australian & Foreign companies

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"/>

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"/> DD MM YYYY
Expiry date	<input type="text"/> DD MM YYYY
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 DD MM YYYY

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