

# Zurich Investments Funds Application Booklet

This information in this document forms part of several Product Disclosure Statements issued by Zurich Investment Management Limited ABN 56 063 278 400 AFSL 232511 (Zurich Investments). We may update this document from time to time in accordance with the relevant Funds' Constitution and the law. The updated document will be available on our website, [www.zurich.com.au](http://www.zurich.com.au), and you can also obtain a copy free of charge upon request. You should keep a copy of this document and any updates to it for your reference.

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## Important information

This booklet contains an Application Form for the Zurich Investments Funds (Funds). An application to invest in one or more of the Funds can only be made using this form if you have also received a copy of the current Product Disclosure Statement (PDS) for the relevant Fund(s) you wish to invest in. A copy of the current PDS for each Fund is available at [www.zurich.com.au/pds](http://www.zurich.com.au/pds) or by contacting us directly on 131 551 (+61 2 9995 1111). Please ensure you read the PDS and incorporated materials before submitting an application. You must also provide us with any relevant identification information.

### **Anti-Money Laundering, Counter-Terrorism Financing Requirements, International Automatic Exchange of Information for Tax Purposes and Customer Tax Compliance & Other Relevant Laws**

Zurich is required to satisfy various regulatory and compliance obligations, including under the Anti-Money Laundering/ Counter-Terrorism Financing Act 2006 (Cth) and international exchange of information for tax purposes (such as Common Reporting Standards and U.S. Foreign Account Tax Compliance Act (FATCA)).

In connection with legal and regulatory requirements regarding the international exchange of information for tax purposes, including the Common Reporting Standards and U.S. Foreign Account Tax Compliance Act (FATCA) and laws and regulations related thereto, we are required to apply certain due diligence procedures to identify the tax residency or tax residencies of certain persons related to the investment.

In order to comply with this obligation, the investor and any person entitled to access the cash value, change the beneficiary or perform certain other actions with respect to the investment as described by law (together "Investor") must at our request provide us with an accurate self-certification regarding the jurisdiction or jurisdictions in which the Investor is a tax resident and, if applicable, respond to our request for documentary evidence and a taxpayer identification number or equivalent as is requested under the relevant regulation.

At our request and based upon an indication that a self-certification of tax residency is required, if it is considered that the most recent self-certification may no longer be reliable or accurate, you must provide within 30 days a (new) self-certification and other supporting documentation.

In accordance with applicable law, we will periodically report certain information about Investors, including name and address, date of birth, and financial details relating to the policy to the appropriate tax authority/ies or other authority/ies designated by law.

We reserve all rights to take any steps that we deem appropriate, including the right not to execute payment instructions until we have received all information and documentation to our satisfaction, or to cancel the policy, with immediate effect, in the event that we discover that an Investor and/or contractual beneficiary provided an incorrect self certification, that any other information or documentation provided in connection with identification and due diligence procedures is inaccurate or incomplete or a Investor and/or contractual beneficiary did not provide us with a self-certification or other information as requested by us within the response time set out in our request.

Failure to fully respond to our request within the time period may still result in the reporting of information about the Investor and/or contractual beneficiary to the appropriate tax authority or other authorities.

As an investor in the Funds, you must complete the Customer Identification forms (either included in this PDS or available from us on request), and provide the required identity verification information.

Zurich may, from time to time, require additional information from you, which you must provide. In accordance with our obligation, Zurich will monitor your transactions; may also delay or refuse to process certain transactions. We may also be required to disclose information about you to a regulator or law enforcement body.

In addition, the Zurich worldwide group of companies has obligations under various Australian and foreign laws. Despite anything to the contrary in this PDS or any other document related to the products described in this PDS, the products' terms will operate subject to all laws with which a Zurich worldwide company considers it must comply.

### **Appointing an investor representative (optional)**

By appointing an investor representative you authorise another person to operate your investment. This person could be your financial adviser, solicitor, accountant or someone you trust to act on your behalf. If you appoint an investor representative, your right to operate your investment remains unchanged. Please read the following terms and conditions if you wish to appoint an investor representative.

## Terms and conditions for appointing an investor representative

1. An investor representative must be an individual over 18 years old.
2. Your investor representative has authority, until we receive written notice from you revoking that authority:
  - to apply for additional units in the nominated Fund/s on your behalf and to sign all documents for that purpose
  - to make written requests to withdraw units from the nominated Fund/s and to receive the proceeds
  - to enquire about your investment
  - to make changes to your investment including change of address, bank account details etc
  - to access your personal information held by Zurich.
3. Payment by us of any withdrawal amount to your investor representative or as your investor representative directs, will constitute good discharge to you by us.
4. We may, after giving you 14 days prior written notice, vary these conditions or cancel the appointment of your investor representative during the term of their appointment.
5. You hereby irrevocably ratify each and every action taken by your investor representative and agree that you and every person claiming through or under you shall have no claim in relation to any such action or any payment made or purporting to be made to or at the direction of your investor representative, against the Funds, us or any person from time to time guaranteeing any of our obligations.
6. You and your investor representative will release and indemnify us from and against all actions, proceedings, claims, losses and any other liabilities incurred directly or indirectly in consequence of the appointment of your investor representative. This release and indemnity will not apply, to the extent that the loss or liability is attributable to any wilful, unlawful or negligent act or omission by us.
7. An investor representative cannot appoint other investor representatives. Only you have this power.
8. Once you have appointed your investor representative they may act on your behalf without your consent until we receive written notice from you revoking that authority.
9. In relation to any personal information we collect about an authorised investor representative, Zurich will be bound by the same terms and conditions as set out under the section Privacy in the **“Zurich Investments Funds: Additional Information Guide”**.

## Facsimile terms and conditions

You can fax most of your written requests to us, including withdrawal requests. By investing in this PDS you understand and agree:

- that there is a greater risk of fraud on your account where you choose to fax a transaction request to us
- to release us from, and indemnify us against, all losses and liabilities arising from any payment we make or action we take based on any instruction (even if not genuine) that we receive by facsimile bearing your investment number and a signature that is apparently yours or that of an authorised signatory on your account
- that neither you nor anyone claiming through you has any claim against us or the Funds in relation to these payments or actions
- that you bear the risk of any fraudulent redemption requests made by someone who has access to your investment number and a copy of your signature and which may be facilitated by reliance on fax authorisation

- that we reserve the right to confirm with you fax requests received on your account and to add further requirements at any time, but will in no way be liable to make such requests or for not making such requests
- that any additional investments received by fax will not be accepted until we receive your cheque or money transfer
- that in some circumstances we may not be able to receive faxed instructions including any documents relating to your initial application.

If you do not want us to accept any future instructions by fax you will need to indicate this in Section C of the application form or you can send us an original signed request.

## Accepting your application

If, for whatever reason, we are unable to finalise your application, Zurich Investments will immediately hold any monies paid by you in trust for you until we are able to do so. Under current legislation this money can normally only be held in trust for one month. If one month has expired and we are unable to issue you with an interest pursuant to your instructions, we will normally return your money to you. If we are still following up outstanding requirements, and it is not reasonably practicable to return your money after one month, we may retain it for as long as it is reasonable in the circumstances (this period will generally not exceed three months).

Any interest earned on any monies held in trust for you may be retained by Zurich Investments for its own purposes. Should the interest be paid to you, tax at the highest marginal rate plus the Medicare levy will be deducted from the interest payment if your tax file number is not provided.

## Payment options

An investment in the Funds can be made via either cheque or bank transfer.

### Cheque

Cheques must be in Australian dollars and drawn on an Australian bank, building society or credit union.

Any cheque should be made payable to:

**Zurich Investment Management Limited**

To lodge your completed application form mail it to:

**Zurich Investment Management Limited**

**PO Box 3721 Rhodes NSW 2138**

### Bank transfers

Payments may also be made to:

**Account name:** Zurich Investment Management Limited

**BSB number:** 012-366

**Account number:** 836304741

If you are investing via bank transfer you must ensure that the account name on the application form is provided in the reference section of the bank transfer details.

If you are investing via bank transfer, your application will be processed based on the receipt of the later of a completed application form and the application monies received or cleared into Zurich's bank account.

# How to invest

The only way you can apply to invest in a Zurich Investments Fund is to complete and submit the application form attached to the PDS for the Fund plus any relevant identification information. Provided below is a guide as to what you will need to provide us (which we are legally required to collect) to complete your application, based on your customer type.

Investor type	Which name should be on the application form?	Who signs the application form?	Which identification form should be filled out?
<b>Individuals</b> (over the age of 18) eg. John Smith	John Smith	John Smith	<b>Identification form – Individuals</b> (page 15)
<b>Joint investors</b> eg. John and Jane Smith	John and Jane Smith	John and Jane Smith Note: if you only require one investor to sign for future transactions you must indicate this in Section C of the application form.	<b>Identification form – Individuals</b> (page 15) You must complete the form for each individual
<b>Sole trader</b> John Smith	John Smith	John Smith	<b>Identification form – Individuals</b> (page 15)
<b>Australian Companies</b> eg. John Smith Pty Ltd	John Smith Pty Ltd	Either <ul style="list-style-type: none"> <li>• Two directors, or</li> <li>• A director and a company secretary, or</li> <li>• A sole director</li> </ul>	<b>Identification form – Australian Companies</b> (page 16)
<b>Australian Regulated Trusts</b> <ul style="list-style-type: none"> <li>• Superannuation funds</li> <li>• Self Managed Superannuation Funds</li> <li>• Registered Managed Investment Schemes</li> </ul>	eg. John Smith Pty Ltd as trustee for the Smith Family Super Trust	John Smith Note: if the trustee is a company then the signatory requirements of a company apply (as above)	<b>Identification form – Australian Regulated Trusts &amp; Trustees</b> (page 21) Note: you must provide information relating to the trust and ALL of the trustees. If the trustee being identified is a company then the identification form – company must be completed
<b>Trusts – Other</b> <ul style="list-style-type: none"> <li>• Family trusts</li> <li>• Deceased estates</li> <li>• Charitable trusts</li> </ul>	eg. John and Jane Smith as trustee for the Smith Family Trust (example of a family trust)	John and Jane Smith Note: if the trustee is a company then the signatory requirements of a company apply (as above)	Contact us or search for identification forms on the Zurich web site
<b>Investor Representative</b> eg. John Smith as Investor Representative for Jane Smith	Jane Smith	Jane Smith Note: John Smith must sign the section 'Authorising an Investor Representative' in Section B of the application form	Both <ul style="list-style-type: none"> <li>• <b>Identification form – Individuals</b> (page 15) for the owner</li> <li>• <b>Identification form – Individuals</b> (page 15) for the Investor Representative</li> </ul>
<b>Power of Attorney</b> John Smith as attorney for Jane Smith	John Smith With the TFN details for Jane Smith	John Smith Note: John Smith must complete the section 'Power of Attorney' in Section B of the application form	Both <ul style="list-style-type: none"> <li>• <b>Identification form – Individuals</b> (page 15) for the owner</li> <li>• <b>Identification form – Individuals</b> (page 15) for the Power of Attorney</li> </ul> You must also attach a certified copy of the Power of Attorney

If you are an investor type not mentioned above or you are unsure how to fill out your application form or the relevant identification form please contact us on 131 551 (+61 2 9995 1111) for assistance.

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# Zurich Investments Funds Application Form

Before you sign this application form, make sure that you have read and retained a copy of a valid Product Disclosure Statement (PDS) for the Fund you wish to invest in. The PDS will help you to understand the Funds and decide if they are appropriate for your needs. Please ensure you read the PDS carefully before you sign this application form.

While the PDS is current, Zurich Investments will send paper copies of the PDS, the additional information booklet and the application booklet, on request without charge. Please call us on 131 551 (+61 2 9995 1111) with any enquiries.

Do you have an existing account with Zurich Investments?

Yes  No

If "yes", please provide your account number

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## Section A – Investor details

Account Name \_\_\_\_\_

### Investor type

Please tick the relevant box:

Individual

Joint Investors

Sole Trader

Partnership

Australian Public Company

Australian Private / Proprietary Company

Foreign Company

Registered Managed  
Investment Scheme

Self Managed Superannuation Fund

Superannuation Fund

Other (please specify)

### 1. Investor 1 (individuals, joint investors or trustees)

Title \_\_\_\_\_ Surname \_\_\_\_\_ Date of birth / /

Given name \_\_\_\_\_ Other name(s) \_\_\_\_\_

Occupation \_\_\_\_\_ Industry \_\_\_\_\_

#### Residential address (PO Boxes not allowed)

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country (if other than Australia) \_\_\_\_\_

Business number \_\_\_\_\_ Home number \_\_\_\_\_

Email address \_\_\_\_\_ Mobile number \_\_\_\_\_

#### Postal address (if different to above)

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country (if other than Australia) \_\_\_\_\_

#### Tax details

Please provide Tax File Number (TFN) or reason for exemption:

Tax file number

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Reason for exemption: \_\_\_\_\_



(Investor continued)

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

Please answer **both** tax residency questions: Is the individual a tax resident of Australia?  Yes  No

Is the individual a tax resident of another Country?  Yes  No

**If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.**

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>

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

**Reason A** The country of tax residency does not issue TINs to tax residents

**Reason B** The individual has not been issued with a TIN

**Reason C** The country of tax residency does not require the TIN to be disclosed

#### Identification requirements

Under the Anti-Money Laundering and Counter Terrorism Financing Act 2006, we require specific forms of identification in order to open your account. In addition to the proof of identification requirements outlined on page 14 of this application form, we are legally required to identify Politically Exposed Persons (PEP).

**IMPORTANT: You must answer the following question before Zurich will be able to process your application.**

Are you a **Politically Exposed Person** (PEP) (as defined on page 7)?  Yes  No

If "yes", please provide details of how you meet the definition of a PEP:

\_\_\_\_\_

Please identify the source of your investable assets or wealth

Gainful employment  Inheritance/gift  Financial investments

Business activity  Superannuation savings  Sale of property

Other – please specify

(Investor continued)

## Investor 2 (Joint investors or trustees)

Title \_\_\_\_\_ Surname \_\_\_\_\_ Date of birth / / \_\_\_\_\_

Given name \_\_\_\_\_ Other name(s) \_\_\_\_\_

Occupation \_\_\_\_\_ Industry \_\_\_\_\_

#### Residential address (PO Boxes not allowed)

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country (if other than Australia) \_\_\_\_\_

Business number \_\_\_\_\_ Home number \_\_\_\_\_

Email address \_\_\_\_\_ Mobile number \_\_\_\_\_

#### Postal address (if different to above)

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country (if other than Australia) \_\_\_\_\_

#### Tax details

Please provide Tax File Number (TFN) or reason for exemption: Tax file number

Reason for exemption: \_\_\_\_\_

(Investor continued)

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

Please answer **both** tax residency questions:      Is the individual a tax resident of Australia?       Yes     No  
Is the individual a tax resident of another Country?     Yes     No

**If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.**

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

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

**Reason A** The country of tax residency does not issue TINs to tax residents

**Reason B** The individual has not been issued with a TIN

**Reason C** The country of tax residency does not require the TIN to be disclosed

#### Identification requirements

Under the Anti-Money Laundering and Counter Terrorism Financing Act 2006, we require specific forms of identification in order to open your account. In addition to the proof of identification requirements outlined on page 14 of this application form, we are legally required to identify Politically Exposed Persons (PEP).

**IMPORTANT: You must answer the following question before Zurich will be able to process your application.**

Are you a **Politically Exposed Person** (PEP) (as defined on page 7)?     Yes     No

If "yes", please provide details of how you meet the definition of a PEP:

Please identify the source of your investable assets or wealth

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Inheritance/gift	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Sale of property
<input type="checkbox"/> Other – please specify		

## Who are Politically Exposed Persons (PEPs)

Any individual:

- a. who holds a prominent public position or function in a government body or an international organisation, including:
  - Head of State or head of country or government;
  - government minister or equivalent senior politician;
  - senior government official;
  - Judge of the High Court or Federal Court of Australia, a Supreme Court of a State or Territory, or a Judge of a court of equivalent seniority in a foreign country or international organisation;
  - governor of a central bank or any other position that has comparable influence; or
  - senior foreign representative, ambassador, or high commissioner;
  - high-ranking member of the armed forces; or
  - board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation;
- b. who is an immediate family member of a person referred to in paragraph (a), including a spouse, de facto partner, child, child's spouse or de facto partner, or parent;
- c. who is a close associate of a person referred to in paragraph (a), which means any individual who is known to have:
  - joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph (a); or
  - sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph (a).

## 2. Companies, trusts and other investors

Full company or trust name (as registered with ASIC)

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Account name (if investments held on behalf of others eg. Super Fund, trust, Estate Minor)

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Place of business (if different to registered office)

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Suburb

State

Postcode

Country (if other than Australia)

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Country established (if other than Australia)

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ACN (ARSN if registered scheme)

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▶ If sole trader, provide ABN

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Industry

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### Tax details

Please provide Tax File Number (TFN) or reason for exemption:

Tax file number

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Reason for exemption:

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Please identify the source of your investable assets or wealth

Gainful employment

Inheritance/gift

Financial investments

Business activity

Superannuation savings

Sale of property

Other – please specify

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## 3. Communication preferences

To reduce the use of paper and Zurich Investments environmental footprint, Zurich's preferred delivery of correspondence is through our online portal.

An email with your application confirmation will include a link to the online portal for registration.

When new correspondence is available we will let you know via the email address you provide below.

Email address

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Alternatively, if you wish to opt in to receive paper copies of your correspondence via mail please tick the box.





### 3. Target Market Determination

#### 3.1 What is your primary investment objective?

Please select only one

- Capital Growth**  
You seek to invest in a product designed to generate capital return. You prefer exposure to growth assets (such as shares or property) or otherwise seek an investment return above the current inflation rate.
- Capital Preservation**  
You seek to invest in a product to reduce volatility and minimise loss in a market down-turn. You prefer exposure to defensive assets (such as cash or fixed income securities) that are generally lower in risk and less volatile than growth investments.
- Capital Guaranteed**  
You seek a guarantee or protection against capital loss whilst still seeking the potential for capital growth (typically gained through a derivative arrangement). You would likely understand the complexities, conditions and risks that are associated with such products.
- Income Distribution**  
You seek to invest in a product designed to distribute regular and/or tax-effective income. You prefer exposure to income-generating assets (typically, high dividend-yielding equities, fixed income securities and money market instruments).

#### 3.2 What is your intended use of this investment (% of Investable Assets) in your investment portfolio?

Please select only one

- Solution/Standalone (75-100%)**  
You intend to hold the investment as either a part or the majority (up to 100%) of your total investable assets<sup>1</sup> (see definition below). You typically prefer exposure to a product with at least High<sup>2</sup> portfolio diversification (see definition below).
- Core Component (25-75%)**  
The consumer intends to hold the investment as a major component, up to 75%, of their total investable assets<sup>1</sup> (see definition below). The consumer typically prefers exposure to a product with at least Medium<sup>2</sup> portfolio diversification (see definition below).
- Satellite/small allocation (<25%)**  
The consumer intends to hold the investment as a smaller part of their total portfolio, as an indication it would be suitable for up to 25% of the total investable assets<sup>1</sup> (see definition below). The consumer is likely to be comfortable with exposure to a product with Low<sup>2</sup> portfolio diversification (see definition below).

##### <sup>1</sup>Investable assets

Those assets that the investor has available for investment, excluding the residential home.

##### <sup>2</sup>Portfolio diversification

Low - Single asset class, single country, low or moderate holdings of securities - e.g. high conviction Aussie equities.

Medium - 1-2 asset classes, single country, broad exposure within asset class, e.g. Aussie equities "All Ords".

High - Highly diversified across either asset classes, countries or investment managers, e.g. Australian multi-manager balanced fund or global multi-asset product (or global equities).

#### 3.3 What is your intended investment timeframe?

Please select only one

- Short (equal to or less than 2 years)**  
You have a short investment timeframe and may wish to redeem within two years.
- Medium (greater than 2 years)**  
You have a medium investment timeframe and unlikely to redeem within two years.
- Long (more than 8 years)**  
You have a long investment timeframe and unlikely to redeem within eight years.

### 3.4 What is your risk (your ability to bear loss) and return profile?

Please select only one  **Low**

You are moderate or medium risk in nature, seeking to minimise potential losses (e.g. has the ability to bear up to 4 negative returns over a 20 year period (SRM 3 to 5)) and comfortable with a moderate target return profile. You prefer a balance of growth assets such as shares, property and alternative assets and defensive assets such as cash and fixed income.

**Medium**

You are moderate or medium risk in nature, seeking to minimise potential losses (e.g. has the ability to bear up to 4 negative returns over a 20 year period (SRM 3 to 5)) and comfortable with a moderate target return profile. You typically prefer a balance of growth assets such as shares, property and alternative assets and defensive assets such as cash and fixed income.

**High**

You are higher risk in nature and can accept higher potential losses (e.g. has the ability to bear up to 6 negative returns over a 20 year period (SRM 6)) in order to target a higher target return profile. You typically prefer predominantly growth assets such as shares, property and alternative assets with only a smaller or moderate holding in defensive assets such as cash and fixed income.

**Very High**

You have a more aggressive or very high risk appetite, seeks to maximise returns and can accept higher potential losses (e.g. has the ability to bear 6 or more negative returns over a 20 year period (SRM 7) and possibly other risk factors, such as leverage). You typically prefer growth assets such as shares, property and alternative assets.

### 3.5 What are your needs to withdraw money?

Please select only one  Daily  Weekly  Monthly  Quarterly  Annually or longer

### 3.6 Have you received personal financial advice from a licensed financial adviser in relation to this investment?

Yes  No

### 3.7 If so, did your financial adviser consider you to be within the Target Market Determination (TMD) for the product (s) you are investing in?

Yes  No

## 4. Authorising an investor representative

► **Please note** that by authorising an investor representative you are enabling this person to have full access in relation to your account as explained by the 'Terms and Conditions for appointing an investor representative' in the Application Booklet.

### Details of investor representative

Title Surname Date of birth / /

Given name Other name(s)

### Residential address (PO Boxes not allowed)

Suburb State Postcode

Country (if other than Australia)

Business number Home number

Email address Mobile number

### Declaration and signatures

#### 1. Investor Representative

By signing this document, I declare that I accept the appointment to be the investor's authorised investor representative in accordance with the 'Terms & Conditions for appointing an investor representative' in the Application Booklet.

Signature of **Investor Representative**

Date / /

#### 2. Investor

By signing this document I / we declare that I / we have read and understood the 'Terms & Conditions for appointing an investor representative' in the Application Booklet.

Signature of **Investor**

Date / /

Signature of **Investor 2** (if required)

Date / /

**Identification Requirements** You must also submit the identification information requested in the 'Identification form – Individuals' on page 14.

## 5. Power of Attorney

### Details of attorney

Title Surname Date of birth / /

Given name Other name(s)

### Residential address (PO Boxes not allowed)

Suburb State Postcode

Country (if other than Australia)

**Important** You must also read and sign the declaration on page 11 and submit the application, together with the identification information requested in the 'Identification form – Individuals' on page 14.

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## Section C – Declaration

This application is part of the Product Disclosure Statement (PDS) for the Zurich Investment Funds issued by Zurich Investment Management Limited which contains information about investing in the Funds and which should be read before applying. If you give another person access to this application form, you must, at the same time and by the same means, give them access to the PDS and any supplementary material.

By signing this application form, I certify that the information provided is true, accurate and complete to the best of my knowledge. I acknowledge/agree:

- to be bound by the provisions of the Constitutions as amended from time to time for the Funds
- to have read and understood the PDS (including the additional information guide) to which this application relates and in particular agree to be bound by the terms and conditions that apply to the fax transactions and the appointment of an investor representative
- to have read and understood the information on 'How we invest your money' in the PDS
- that there is no guarantee of the repayment of capital and/or the payment of income by Zurich Investments or the Funds, the performance of the Funds or the achievement of the investment objectives of the Funds
- to have read and understood the information titled 'Privacy' in the PDS and agree that unless I/we give advice to the contrary, my/our personal information may be used by Zurich, or disclosed to other Zurich group companies, for the purpose of notifying me/us of other products and services
- to have received this PDS at the same time and by the same means as receiving this application form
- that Zurich reserves the right to refuse applications for units in any Fund at its discretion
- to the fees and other costs outlined in the PDS, and following pages.

**Faxed transactions opt out** – refer to facsimile terms and conditions on page 2 of the Application Booklet.

Do not accept transactions from me received via fax.

### Signatures

#### Important

If signing on behalf of a company, unless the sole director/company secretary, two (2) directors, or a director and company secretary must sign.

If signing under a Power of Attorney, at the time of signing this application form, you declare that it is valid and you have not received notice of revocation of that power. Please attach a duly signed certified copy of the Power of Attorney under which you have been appointed with this application.

#### Signature 1

Signature 1

Date     /     /

Full name

Capacity

#### Signature 2

Signature 1

Date     /     /

Full name

Capacity

#### Joint investors

Indicate the account signing authority for future transactions (if left blank we will assume both to sign):

Either to sign     Both to sign

## Adviser details (Adviser use only)

Surname	
Given name(s)	
Phone number (     )	Adviser number
Dealer Group name	
AFSL Licensee name	
AFSL number	
<div style="border: 1px solid black; height: 80px; width: 100%; padding: 5px;">Adviser stamp</div>	
<b>Adviser verification</b>	
I have undertaken verification on this customer and have attached a copy of the original or certified identification document(s) as outlined below.	
Document 1	
Document 2	
Date verified     /     /	
<div style="border: 1px solid black; height: 40px; width: 60%; padding: 5px;">Signed</div>	Date     /     /
Print name	

## Checklist – completing your application

**Have you included everything you need to complete your application?**

Have you completed all the relevant sections of the application form relating to yourself and your investment?  
▶ Make sure you sign the application form and if you are appointing an investor representative to act on behalf of your investment ensure that they have also signed on page 9.

Have you read and completed all the necessary identification forms for your investor type?

Have you attached the required certified documents to support your identification form?

Once you have completed all the necessary requirements for investing in the Funds post your signed application, cheque and any relevant identification forms plus supporting documents to:

**Zurich Investment Management Limited**  
**PO Box 3721**  
**Rhodes NSW 2138**

For assistance on completing the application or identification requirements refer to page 3 – 'How to invest' or call us on 131 551 (+61 2 9995 1111).

# Identification forms

If you have invested in a Zurich Investments Fund before you may not need to fill out an identification form. However you must ensure that you have provided your existing Zurich Investments account number in Section A of the application form.

## Who must fill out an identification form?

If you have not invested with us before you will need to complete an identification form and send it in with your application.

The identification forms that follow should be completed by the following 'investor types':

- **an individual**, including;
  - an individual in the role of trustee,
  - an individual in the role of an investor representative,
  - an individual acting under a Power of Attorney<sup>^</sup>
  - a sole trader

▶ Refer to page 15

- **an Australian company**, including;
  - a company in the role of trustee

▶ Refer to page 16

- **a trust**, including;
  - a superannuation fund

▶ Refer to page 19

<sup>^</sup>If you are acting under a Power of Attorney or completing an application on behalf of another person you will also need to send a certified copy of the relevant document confirming your authority to act.

**Please note: any identification documents that are in a foreign language must be accompanied by an English translation from an accredited translator.**

## Who should not fill out the identification form?

If you are investing as one of the following please contact us and we will send you the appropriate requirements. Forms for the below are also available at [www.zurich.com.au](http://www.zurich.com.au)

- A partnership
- An incorporated association
- A co-operative
- A government body
- A foreign company
- Other Investor types not listed.

## Margin lending customers

Individuals investing with a loan from a margin lender do not need to complete the identification requirements above. Under the margin lending arrangement the lender will become the investor and they will provide us the required identification.

## Who can certify copies of documents?

- A **financial adviser** – or officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees;
- A **lawyer** – or person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia or New Zealand, as a legal practitioner (however described);
- An **accountant** – or member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership;
- An **officer of a financial institution** – with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);
- A **post office worker** – being a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public, OR agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- A **police officer, Justice of the Peace, Magistrate or judge** of a court in Australia or New Zealand.

## Other people who can certify copies of documents:

- An Australian consular officer or an Australian diplomatic officer,
- A chief executive officer of a Commonwealth court;
- A registrar or deputy registrar of a court; and
- A notary public (for the purposes of the Statutory Declaration Regulations 1993).

## How to certify a copy of a document

The law requires that we receive certified copies of the identification documents you provide us. A certified copy is a document that has been certified as a true copy of an original document by certain persons.

### An example of a certified document:

I, John Smith of 123 Park Street, Sydney NSW 2000 in the capacity of a Justice of the Peace certify that this copy is a true and accurate copy of the original.

Signature: J. Smith

Date: 1 / 7 / 2008

***There may be instances where we are required to collect further information. Where this is the case we will contact you.***



# Identification form – Individuals

In addition to completing the application form if you are making an application as yourself (an individual) or as an Investor representative or acting under a Power of Attorney we are required by law to collect and verify information relating to you.

We need to verify 2 items of information you provided us in the application form:

- Your full name, and
- **Either** your date of birth **or** residential address

## 1. Individual identification details

Please indicate which Individual is being identified

Please select  
which one applies

- An Individual as the owner(s) of the account (including sole traders and joint investors)
- An Individual authorised as an Investor Representative on the account
- An individual acting under a Power of Attorney

## 2. What identification items do we need from you?

You need to attach a certified copy (see page 13) of ONE of the following photographic documents:

- An **Australian passport** (provide the pages that identify you, including the page with your photograph).  
A passport that has expired up to 2 years ago is also acceptable;
- An **Australian State or Territory driver's licence bearing your photograph** (front and back copies are required);
- A **proof of age card** issued by an Australian State or Territory (must contain a photograph of you);
- A **Foreign passport containing your photograph and signature** (see page 13 for information on providing foreign language documents);

**OR**

### Alternative identification

If you cannot provide a certified copy of ONE of the above documents then you must provide certified copies of TWO documents from the table below; ONE from column A and ONE from column B.

A	B
Australian birth certificate	A document issued to you within the last 12 month by the Commonwealth or a State or Territory that records the provision of financial benefits showing your name and residential address.
Australian citizenship certificate	Utilities bill or local government notice issued to you within the last three months showing your name and address.
Pension card issued by Department of Human Services (front and back copies)	Notice from school principal showing name, address and period of attendance of person under 18 issued within previous three months.

If you cannot provide any of these documents or you are unsure how to complete your identification form please contact us on 131 551 (+61 2 9995 1111) for assistance.

# Identification form – Australian Companies

In addition to completing the application form if you are investing on behalf of a company we will need to collect and verify some information relating to the identity of the company.

## 1.1 General Information

Full name as registered by ASIC

---

ACN

---

Industry

---

**Registered office address** (PO Box is NOT acceptable)

Street

---

Suburb

State

Postcode

---

Country

---

**Principal place of business** (if any) (PO Box is NOT acceptable)

Street

---

Suburb

State

Postcode

---

Country

---

For companies registered outside of Australia please contact us so we can provide you with a foreign companies identification form.

## 1.2 Regulatory/Listing Details

If the company is regulated or listed, select the relevant category and provide the information requested

Please select which one applies

**Regulated company** (A company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body)

Examples include:

- Australian Financial Services Licensees (AFSL);
- Australian Credit Licensees (ACL); or
- Superannuation Entity (RSE) Licensees.

Regulator name

---

Licence details (e.g. AFSL, ACL, RSE)

---

**Australian listed company**

Name of market / exchange

---

**Majority-owned subsidiary of an Australian listed company**

Australian listed company name

---

Name of market / exchange

---

## 1.3 Company Type

Select only **ONE** of the following categories

**Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies) **Go to Section 2**

**Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) **Go to Section 1.4**

(Section 1 continued)

## 1.4 Directors

To be completed for proprietary companies, not required for public companies as per 1.3

How many directors are there?  
\_\_\_\_\_

Provide full name of each director

Full given name(s)	Surname
1	
2	
3	
4	

If there are more directors, provide details on a separate sheet.

Are any of the company directors a **Politically Exposed Person** (PEP) (as defined on page 7)?  Yes  No

If "yes", please provide details of how you meet the definition of a PEP:  
\_\_\_\_\_  
\_\_\_\_\_

## 1.5 Beneficial owners

To be completed for proprietary companies, not required for public companies as per 1.3.

### 1.5.1 Shareholder Beneficial Owners

Provide details of **ALL individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

#### Beneficial owner 1

Full given name(s) \_\_\_\_\_ Surname \_\_\_\_\_

**Residential address** (PO Box is NOT acceptable)

Street \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country \_\_\_\_\_

#### Beneficial owner 2

Full given name(s) \_\_\_\_\_ Surname \_\_\_\_\_

**Residential address** (PO Box is NOT acceptable)

Street \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country \_\_\_\_\_

#### Beneficial owner 3

Full given name(s) \_\_\_\_\_ Surname \_\_\_\_\_

**Residential address** (PO Box is NOT acceptable)

Street \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country \_\_\_\_\_

## 1.5.2 Other Beneficial Owners

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control\* the company.

\* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

**Complete separate individual customer ID Forms for each of these individuals.**

Full given name(s)	Surname	Role (such as Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

## What identification items do we need from you?

You need to attach a certified copy (see page 13) of ONE of the following photographic documents:

- An **Australian passport** (provide the pages that identify you, including the page with your photograph).  
A passport that has expired up to 2 years ago is also acceptable;
- An **Australian State or Territory driver's licence bearing your photograph** (front and back copies are required);
- A **proof of age card** issued by an Australian State or Territory (must contain a photograph of you);
- A **Foreign passport containing your photograph and signature** (see page 13 for information on providing foreign language documents);

**OR**

## Alternative identification

If you cannot provide a certified copy of ONE of the above documents then you must provide certified copies of TWO documents from the table below; ONE from column A and ONE from column B.

A	B
Australian birth certificate	A document issued to you within the last 12 month by the Commonwealth or a State or Territory that records the provision of financial benefits showing your name and residential address.
Australian citizenship certificate	Utilities bill or local government notice issued to you within the last three months showing your name and address.
Pension card issued by Department of Human Services (front and back copies)	Notice from school principal showing name, address and period of attendance of person under 18 issued within previous three months.

**If you cannot provide any of these documents or you are unsure how to complete your identification form please contact us on 131 551 (+61 2 9995 1111) for assistance.**

## 2.1 Tax Status

Tick  one of the Tax Status boxes below or on the next page

(if the company is a Financial Institution, please provide all the requested information below)

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

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

If the Company is a Financial Institution but does not have a GIIN, provide its FATCA status (select  ONE of the following statuses)

- Deemed Compliant Financial Institution
  - Excepted Financial Institution
  - Exempt Beneficial Owner
  - Non Reporting IGA Financial Institution
  - Nonparticipating Financial Institution
  - Other (describe the company's FATCA status in the box provided)
- 
- 

**Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company or Australian Registered Charity** (Public listed companies or majority owned subsidiaries of Australian listed companies as per 1.2 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)

**An Active Non-Financial Entity (NFE)** (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)

If the company is an Active NFE, please proceed to section 2.3 (Country of Tax Residency).

**Other** (Entities that are not previously listed – Passive Non-Financial Entities)

Please proceed to section 2.2 (Foreign Beneficial Owners).

## 2.2 Foreign Beneficial Owners (Individuals)

Are any of the company's Beneficial Owners tax residents of countries other than Australia? Yes  No

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

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in section 1.5).

Full given name(s)	Surname	Role (such as Managing Director)
<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"/>

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

Please proceed to section 2.3 (Country of Tax Residency).

## 2.3 Country of Tax Residency

Is the Company a tax resident of a country other than Australia? Yes  No

If Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>

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

**Reason A** The country of tax residency does not issue TINs to tax residents

**Reason B** The individual has not been issued with a TIN

**Reason C** The country of tax residency does not require the TIN to be disclosed

We are required to verify the details you have provided us in this section which may include performing a search of the relevant regulator's database. In circumstances where this is not available we will be in touch with you to obtain further verification documentation.

# Identification form – Australian Regulated Trusts & Trustees

In addition to completing the application form if you are making an application on behalf of a trust we are required by law to collect and verify information relating to the trust.

## 1.1 General Information

Full name of Trust

---

Country where trust established (only required if not Australia)

---

Full business name of trustee in respect of the trust (if any)

---

## 1.2 Type of Regulated Trust

Select **ONE** of the following type of Regulated Trust

**Self-Managed Superannuation Fund**

Provide the SMSF's ABN

---

**Registered managed investment scheme**

Provide Australian Registered Scheme Number (ARSN)

---

**Government superannuation fund**

Provide name of the legislation establishing the fund

---

**Other regulated Trust**

(A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund)

Provide name of the regulator (e.g. ASIC, APRA, ATO)

---

Provide the Trust's ABN or registration/licensing details

---

For other types of Trusts (e.g. family, unit, charitable, estate) or Trusts regulated by a foreign regulatory body, do not use this form but rather contact us for a copy of the UNREGULATED TRUSTS AND TRUSTEES IDENTIFICATION FORM.

**Please complete EITHER section 2.1 OR section 2.2** For Australian Regulated Trusts, identification information is required for one of the Trustees. This information is only required for one Trustee, even if the Trust has a number of Trustees. Please provide identification information for either an individual Trustee (section 2.1) or a corporate Trustee (section 2.2).

## 2.1 Individual Trustee

To be completed if the selected Trustee is an individual

Full given name(s)

---

Surname

---

Date of Birth Date of birth / /

---

Residential Address (PO Box is not acceptable)

Street

---

Suburb

---

State

---

Postcode

---

Country

---

**OR**

## 2.2 Company Trustee

To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then contact us for a copy of the FOREIGN COMPANY IDENTIFICATION FORM in addition to this form.

(Section 2.2 Company Trustee continued)

## 2.2.1 Company Details

Full name as registered by ASIC ACN

Residential Address (PO Box is not acceptable)

Street

Suburb

State

Postcode

Country

Principal Place of Business (if any) (PO Box is not acceptable)

Street

Suburb

State

Postcode

Country

## 2.2.2 Regulatory / Listing Details

If the company is regulated or listed, select the relevant category and provide the information requested

**Regulated company**

(A company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context 'Regulated' means subject to supervision beyond that provided by ASIC as a company registration body. Examples of regulated companies include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) or Registrable Superannuation Entity (RSE) Licensees.)

Regulator name

Licence details (e.g. AFSL, ACL, RSE)

**Australian listed company**

Name of market / exchange

**Majority-owned subsidiary of an Australian listed company**

Australian listed parent company name Name of market / exchange

## 2.2.3 Company Type

Select one of the following company types

**Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies) **Go to Section 3**

**Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies) **Go to section 2.2.4**

## 2.2.4 Directors

To be completed for proprietary companies, not required for public companies as per 2.2.3

How many directors are there?

Provide full name of each director

Full given name(s)	Surname
1	
2	
3	
4	

If there are more directors, provide details on a separate sheet.



(Section 2.2 Company Trustee continued)

## 2.2.5 Beneficial owners

To be completed for proprietary companies, not required for public companies as per 2.2.3)

Provide details of **ALL individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

### Beneficial owner 1

Full given name(s) \_\_\_\_\_ Surname \_\_\_\_\_

Residential address (PO Box is NOT acceptable) \_\_\_\_\_

Street \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country \_\_\_\_\_

### Beneficial owner 2

Full given name(s) \_\_\_\_\_ Surname \_\_\_\_\_

Residential address (PO Box is NOT acceptable) \_\_\_\_\_

Street \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country \_\_\_\_\_

### Beneficial owner 3

Full given name(s) \_\_\_\_\_ Surname \_\_\_\_\_

Residential address (PO Box is NOT acceptable) \_\_\_\_\_

Street \_\_\_\_\_

Suburb \_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Country \_\_\_\_\_

## 3. Tax Information

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Regulated superz funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 3 and can proceed to section 4.

### 3.1 Tax Status

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

If the Trust is a Financial Institution but does not have a GIIN, provide its FATCA status (select  ONE of the following statuses)

Deemed Compliant Financial Institution

Excepted Financial Institution

Exempt Beneficial Owner

Non Reporting IGA Financial Institution  
(If the Trust is a Trustee-Documented Trust, provide the Trustee's GIIN)

Nonparticipating Financial Institution

Other (describe the Trust's FATCA status in the box provided)

## 4. Identifying a trustee

In addition to providing the details of one of the trustees in the section above you must also provide a certified identification for one of the trustees.

The requirements for identifying a trustee vary depending on whether the trustee is an individual or a company.

If the trustee being identified is an **individual** you need to attach a certified copy of ONE of the following photographic documents:

- An **Australian passport** (provide the pages that identify you).  
A passport that has expired up to 2 years ago is also acceptable;
- An **Australian State or Territory driver's licence** bearing your photograph, name and date of birth is acceptable (front and back copies are required);
- A **proof of age card** issued by an Australian State or Territory (must contain a photograph of you);
- A **Foreign passport containing your photograph and signature**;

If you cannot provide one of the items above refer to page 15 for acceptable alternative identification for individuals.

If the trustee being identified is a **company** you will need to fill out the Identification form – companies on page 16 and attach it with this form to your application.

If you cannot provide this information or you are unsure how to complete your identification form please contact us on 131 551 (+61 2 9995 1111) for assistance.

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