

## Application form – companies or other investors

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**For assistance please contact Investor Services on 1800 002 217**

This application form accompanies the IOOF WealthBuilder Product Disclosure Statement (PDS) (and any Supplementary Product Disclosure Statement (SPDS)) which provides important information about investing in IOOF WealthBuilder. We recommend you read the PDS (and any SPDS) thoroughly before making an application to invest. We will only consider applications for initial investments on receipt of this application form, which has been read together with the PDS (and any SPDS).

If you have received the PDS (and any SPDS) electronically, we can send you a paper copy including this application form free of charge upon request. Simply contact Investor Services on 1800 002 217.

The investments offered in the PDS (and any SPDS) are only available to persons receiving the PDS (and any SPDS) and accepting the offer to invest within Australia. A person who gives another person access to the application form, must at the same time and by the same means, give the other person access to the PDS (and any SPDS). All words and phrases in this application form have the same meaning as given to them in the PDS (and any SPDS).

Please complete these instructions in **BLACK INK** using **CAPITAL LETTERS** (except for your email address) and **X** boxes where provided.

### Step 1: Product Application Criteria

This financial product is only available to investors who have received current personal financial advice and/or are wholesale investors who invest a minimum of \$500,000.

The following questions assist Australian Unity in meeting its regulatory obligations by enabling it to assess whether this financial product is being distributed in line with its distribution conditions.

Both questions are mandatory.

#### Are you investing at least \$500,000?

Yes

No

#### Have you received current personal financial advice in relation to this application and is this application necessary to implement such personal financial advice?

Yes - You must complete the Financial Adviser Details section for this application to be accepted.

No

**Important:** If you have answered 'no' to each of the above questions, you are not eligible to invest in this financial product. Please do not continue as we are unable to accept your application. We recommend that you obtain professional financial advice to ascertain if the Fund meets your investment objectives.

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

- Low      You are naturally conservative or have a low risk appetite, you seek to minimise potential losses (e.g. have the ability to bear up to 1 negative return over a 20 year period) and you are comfortable with a low target return profile.  
You typically prefer defensive assets such as cash and fixed income.
- Medium      You have a moderate or medium risk appetite, you seek to minimise potential losses (e.g. have the ability to bear up to 4 negative returns over a 20 year period) and are comfortable with a moderate target return profile.  
You typically prefer a balance of growth assets such as shares, property, alternative assets and defensive assets such as cash and fixed income.
- High      You have a higher risk appetite and can accept higher potential losses (e.g. have the ability to bear up to 6 negative returns over a 20 year period) 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, seek to maximise returns and can accept higher potential losses (e.g. have the ability to bear 6 or more negative returns over a 20 year period) and possibly other risk factors, such as leverage.  
You typically prefer growth assets such as shares, property and alternative assets.

**Step 2: New investment application**

This application form is to be completed for **new** investments into an IOOF WealthBuilder.

If you are an existing investor please provide your investor/account number:

**Note:** Generally, investors who hold an existing investment in other AULBL products will not be required to provide proof of identification requirements under AML/CTF legislation, unless they are applying under a different name to their existing accounts (e.g. as joint investors, or in a family company name) or in a different capacity to their existing accounts (e.g. as trustee for a trust, or director of a company).

If you would like to use **BPAY**<sup>®1</sup> for your **initial investment**, please contact Investor Services on 1800 002 217 to obtain a Customer Reference Number (CRN). Once received, please provide your CRN below:

**Step 3: Investor details**

Please complete this application form if you are investing as a '**company**' or '**other investor**<sup>2</sup>' only.

**If you are investing as an individual/joint investors or a trust, please complete the separate application form (as applicable) located on our website at [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder)**

1. Registered to BPAY Pty Ltd ABN 69 079 137 518. Only available if your nominated financial institution offers this service.  
2. Other investors may include partnerships, associations (such as incorporated, unincorporated club or body), registered co-operatives or government entities.

**Companies or other investors**

If you are investing as a:

- Domestic Company**, please complete all applicable sections of **Step 3** including the relevant FSC/FPA Identification form(s) for an Australian Company and their beneficial owners (if you have a financial adviser) or an Additional Tax Information Form (if you do not have a financial adviser) as applicable to you.
- Foreign Company (domiciled in Australia)**, please complete all applicable sections of **Step 3**, including the relevant FSC/FPA Identification form(s) for a Foreign Company and their beneficial owners (if you have a financial adviser) or an Additional Tax Information Form (if you do not have a financial adviser) as applicable to you.
- Other Investor**<sup>3</sup>, please complete **subsections (a), (b) and (h) only** (below). You will also need to complete the relevant FSC/FPA Identification form(s) (if you have a financial adviser), or an Additional Tax information Form (if you do not have a financial adviser) relevant to your investor type. For a copy of the relevant form, please contact Investor Services on 1800 002 217 or visit our website (australianunity.com.au/aulbl-wealthbuilder).

**(a) Company/Entity details**

Registered name of company/entity	<input type="text"/>		
Australian Company Number (ACN)	<input type="text"/> <input type="text"/> <input type="text"/>	-	<input type="text"/> <input type="text"/> <input type="text"/>
Australian Registered Body Number (ARBN) (if applicable)	<input type="text"/> <input type="text"/> <input type="text"/>	-	<input type="text"/> <input type="text"/> <input type="text"/>
Foreign registration number (if unregistered in Australia)	<input type="text"/>		
Registered business address	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country (if applicable)	<input type="text"/>
Principal business address (if different from above)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country (if applicable)	<input type="text"/>
Industry in which company operates	<input type="text"/>		

**(b) Please list Directors/Officeholders/Partners full names** (as applicable)

**Director/Officeholder/Partner 1**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Director/Officeholder/Partner 2**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

3. **Other investors** may include partnerships, associations (such as incorporated/unincorporated club/body), registered co-operatives, government entities.

**Director/Officeholder/Partner 3**

Title  Dr  Mr  Mrs  Ms  Miss Surname   
Given name(s)

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Director/Officeholder/Partner 4**

Title  Dr  Mr  Mrs  Ms  Miss Surname   
Given name(s)

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**(c) Is the company regulated?**

Yes

If yes, please specify regulator:

Regulator (such as ASIC, APRA)

Licence number

No

If no, go to sub-section (d).

**(d) Is the company listed with the ASX?**

Yes

No

**(e) Is the company a majority owned subsidiary of a listed company?**

Yes

If yes, please provide name of the listed company:

Listed company name

No

If no, go to sub-section (f).

**(f) Company type**

Public

Private/Proprietary

If a proprietary company, complete sub-section (g) below.

**(g) Beneficial ownership**

Please list full names and addresses of shareholders /beneficial owners who own more than 25 per cent of the company.

To be completed for proprietary companies or if the company is **not** regulated, listed with the ASX, or, a majority owned subsidiary of a listed company.

Proceed to sub-section (h) if no individuals are identified in this section.

**Shareholder/beneficial owner 1**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address (Note: PO Box not accepted)

Suburb  State

Postcode  Country of residence

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Shareholder/beneficial owner 2**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address (Note: PO Box not accepted)

Suburb  State

Postcode  Country of residence

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Shareholder/beneficial owner 3**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address (Note: PO Box not accepted)

Suburb  State

Postcode  Country of residence

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Shareholder/beneficial owner 4**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address  
(Note: PO Box not accepted)

Suburb  State

Postcode  Country of residence

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**(h) Other beneficial owners**

To be completed if there are no individuals who meet the requirement of sub-section (g)

Please provide full details of individuals who directly or indirectly control the company.

This includes exercising control through the capacity to determine decisions about financial or operating policies, or by means of trusts, agreements, arrangements, understanding and practices, voting rights of 25 per cent 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).

**Other beneficial owner 1**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address  
(Note: PO Box not accepted)

Suburb  State

Postcode  Country of residence

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Other beneficial owner 2**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address  
(Note: PO Box not accepted)

Suburb  State

Postcode  Country of residence

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form on our website)

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form on our website)

**Identification and tax residency requirements**

If you are applying as a company, and have a financial adviser, please ensure you complete the relevant FSC/FPA Identification form, and a separate form for individuals who are beneficial owners (as applicable), or, an Additional Tax Information Form if you do not have a financial adviser. To obtain a copy of the relevant form(s) or if your details change at any time please contact Investor Services on 1800 002 217 or visit [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder)

**(i) Contact Person**

A Contact Person must be nominated for the account.

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Mailing address

Suburb  State  Postcode

Country

Phone  Mobile

Email

Date of birth  /  /  Gender  Male  Female

- All future notices and correspondence will be forwarded to the Contact Person
- The Contact Person must be one of the signatories on the account
- If the Contact Person is intended to have authority to transact on the account, on behalf of the company/entity, the 'Nominated Representative Facility' form must be completed. A copy of this form is located on our website, [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder). Conditions applying to the appointment of a representative are detailed in the PDS (and any SPDS).

**IOOF Portfolio Online registration:** To register for IOOF Portfolio Online, please complete the online application form via the Portal link on our website. You can only register for this service after you have received an investor number.

**Step 4: Life insured**

**Corporate investors**

Where the investor is a company or other entity, a life insured must be specifically nominated for the account.

**Life insured 1**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address

Suburb  State  Postcode

Date of birth  /  /

**Life insured 2 (if applicable)**

Title  Dr  Mr  Mrs  Ms  Miss Surname

Given name(s)

Residential address

Suburb  State  Postcode

Date of birth  /  /





**Please indicate how you will pay your initial contribution:**

- Cheque  
Made payable to 'IOOF Applications Trust Account – Applicant(s) Name' marked 'Not Negotiable'. Please attach to this application form.
- BPAY  
For initial contributions please call your financial adviser or Investor Services on 1800 002 217 to obtain a Customer Reference Number (CRN) and relevant BPAY Biller Codes. Refer to the PDS for further details.
- Direct debit  
Please complete the separate **Direct Debit Request (DDR)** form located on our website at [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder)

**Is this IOOF WealthBuilder account being established using borrowed funds?**

- Yes  No

**Important note:**

- An investor advice fee – upfront of up to 3.00% (inclusive of GST) may be charged on your initial (and subsequent) contributions depending on arrangements in place with your financial adviser. Refer to Step 8 'Investor advice fees'.
- Contributions net of any investor advice fee – upfront or stamp duty (if applicable) will be invested in your nominated IOOF WealthBuilder Fund(s).

**Step 6: Regular savings plan (optional)**

Do you wish to set up a Regular Savings Plan (RSP), through a direct debit facility from your nominated financial institution account?

**If your initial contribution is less than \$2,000, you must tick yes.**

- Yes To commence a RSP you must complete the **Direct Debit Request (DDR) Form** located on our website.  
You might also wish to select the optional **RSP automatic increase facility**, please see below.
- No Go to **Step 7**.

**Please note:**

- Your initial contribution (minimum of \$500) must be received prior to the RSP commencing (this includes where the initial investment is made via direct debit).
- The RSP amount will be deducted from your nominated financial institution account on the 15th day of each month or the nearest business day after the 15th day of the month.

You can change your RSP contributions or financial institution account details at any time by completing a new DDR form.

A copy can be obtained from our website at [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder) or alternatively by contacting Investor Services on 1800 002 217.

**RSP automatic increase facility (optional)**

The RSP automatic increase facility automatically increases your RSP contributions each policy anniversary year by 125% of the previous year's monthly RSP contribution.

To take advantage of this feature please complete the relevant section of the **Direct Debit Request (DDR) Form**.

- Each year, three months prior to your policy anniversary date, you will receive notification of the intended increase to your RSP contribution.
- You are free to cancel the RSP automatic increase facility at anytime.

### Step 7: Nomination of beneficiaries (optional)

Do you wish to nominate a beneficiary(ies) to receive the proceeds of your account on maturity?

Yes Please complete the section(s) below.

No Go to **Step 8**.

**Note:**

- Where beneficiaries are nominated, the **mandatory fields (\*)** must be completed.
- Children under 16 years of age cannot nominate beneficiaries.
- Percentage of your benefits payable to nominated beneficiaries **must total 100%**.
- Note, if one or more nominated beneficiaries have deceased (prior to the life insured), the portion of benefit allocated to the deceased beneficiary(ies) will be proportionately allocated to the remaining beneficiary(ies) based on their existing percentage allocation. Alternatively a new nomination can be provided by the policy owner.

### Individual beneficiaries

#### Beneficiary 1

\*Title  Dr  Mr  Mrs  Ms  Miss Surname

\*Given name(s)

This section must be completed. Note: PO Box can only be provided below under 'Mailing address'.

\*Residential address

\*Suburb  \*State  \*Postcode

Mailing address (if different from above)

Suburb  State  Postcode

Country

Phone  Mobile

Email

\*Date of birth  /  /  \*Percentage of benefit payable  %

#### Beneficiary 2

\*Title  Dr  Mr  Mrs  Ms  Miss Surname

\*Given name(s)

This section must be completed. Note: PO Box can only be provided below under 'Mailing address'.

\*Residential address

\*Suburb  \*State  \*Postcode

Mailing address (if different from above)

Suburb  State  Postcode

Country

Phone  Mobile

Email

\*Date of birth  /  /  \*Percentage of benefit payable  %

**Beneficiary 3**

\*Title  Dr  Mr  Mrs  Ms  Miss Surname

\*Given name(s)

This section must be completed. Note: PO Box can only be provided below under 'Mailing address'.

\*Residential address

\*Suburb  \*State  \*Postcode

Mailing address (if different from above)

Suburb  State  Postcode

Country

Phone  Mobile

Email

\*Date of birth  /  /  \*Percentage of benefit payable  %

**Beneficiary 4**

\*Title  Dr  Mr  Mrs  Ms  Miss Surname

\*Given name(s)

This section must be completed. Note: PO Box can only be provided below under 'Mailing address'.

\*Residential address

\*Suburb  \*State  \*Postcode

Mailing address (if different from above)

Suburb  State  Postcode

Country

Phone  Mobile

Email

\*Date of birth  /  /  \*Percentage of benefit payable  %

**AND/OR Corporate beneficiaries or charitable organisations**

Such as companies, trusts, partnerships, associations, registered co-operatives or government entities.

\*Name of company/entity

**\*Name of contact person**

\*Title  Dr  Mr  Mrs  Ms  Miss Surname

\*Given name(s)

\*Residential address

\*Suburb  \*State  \*Postcode

\*Date of birth  /  /  \*Percentage of benefit payable  %

**Beneficiary benefit allocation TOTAL**  %

**Note:** For additional beneficiaries, please provide nominations in writing, sign and attach to this application.

**Step 8: Proof of identity requirements**

In accordance with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act), your application cannot be processed unless this section is completed and you may be requested to provide additional information and documentation to facilitate AULBL compliance with AML/CTF legislation). AML/CTF legislation obligates AULBL to verify the identity of each of its investors before providing financial services to them.

**All non-individual investor applicants (e.g. companies or partnerships and other types of investors)**

When completing the relevant FSC/FPA Identification form(s), the identification requirements are included in these forms (if you have a financial adviser). An Additional Tax Information Form must be completed if you do not have a financial adviser. As a guide you can refer to the proof of identity requirements included in the **'Completing Proof of Identity'** document. To obtain a copy please contact Investor Services on 1800 002 217. Alternatively, you can download a copy from our website at [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder)

**Step 9: Investor advice fees (optional)** – complete with your financial adviser if applicable

AULBL facilitates the payment of investor advice fees (IAFs) by deducting them from your account and paying them to your financial adviser directly.

AULBL, as issuer of IOOF WealthBuilder, is required to obtain specific written consent before a fee for financial advice can be deducted from your account. You are not under any obligation to consent to the fee being deducted.

You may alter your fees or revoke your consent at any time by contacting AULBL. Once your consent is revoked, no further fees will be deducted from your account, however any amount paid before you revoke your consent will not be automatically refunded.

**I/we confirm that I/we have agreed with my/our financial adviser to have the following IAFs deducted:**

**IAF – upfront**

% (maximum of 3.00% inclusive of GST)

To be applied to your initial contribution **only**.

Please complete **Standing IAF – upfront** if you would like to apply the same rate or to nominate a different rate to be applied to future additional contributions.

**Standing IAF – upfront**

For nomination of a standing IAF – upfront for future additional contributions.

% (maximum of 3.00% inclusive of GST)

To be applied to additional contributions received unless individually instructed otherwise on receipt of each contribution.

Your adviser has estimated a fee of \$

for the 12 months<sup>a</sup> commencing  /  /  will be deducted from your account.

**IAF – ongoing**

**either**  % pa (inclusive of GST) **OR** \$  (inclusive of GST)

Note: both % and \$ cannot be nominated.

To be deducted from my/our account:

monthly  quarterly  half yearly  yearly commencing from\*  /  /

\*The date from which the IAF - ongoing will be calculated. The IAF – ongoing will generally be deducted on the first day of the month following the end of the nominated frequency.

Your adviser has estimated a fee of \$

for the 12 months<sup>a</sup> commencing  /  /  will be deducted from your account.

**Consent expiry date (required)**

Where I have chosen IAF – standing upfront and/or IAF – ongoing, I understand the consent for IOOF to pay the ongoing fee to my adviser will cease on  /  /  which is 150 days after the anniversary date for an ongoing fee arrangement.

**IAF – one-off**

\$  (inclusive of GST)

to be deducted from my/our account on  /  /

\*The date from which the IAF - ongoing will be calculated. The IAF – ongoing will generally be deducted on the first day of the month following the end of the nominated frequency.

^or less if you have a fixed term advice agreement.

**Please note:**

- IAFs are not fees associated with AULBL. They are separately negotiated between you and your financial adviser for the provision of advice and services.
- You may alter or cancel IAFs at any time by writing to us.
- IAFs may not be deducted on the 1st of the nominated month in certain circumstances, for example, if there are insufficient funds where switches or withdrawals are pending.
- Asset (percentage) based IAFs are not permitted for accounts established with borrowed funds.
- Upon transfer of policy ownership, or a change of adviser, existing IAF arrangements will be cancelled and will need to be re-negotiated/agreed between the new policy owner/adviser.



Record of proof of identity (ID)^	ID document 1	ID document 2
Verified from	<input checked="" type="checkbox"/> Original <input checked="" type="checkbox"/> Certified copy	<input checked="" type="checkbox"/> Original <input checked="" type="checkbox"/> Certified copy
Document issuer	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY
Expiry date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY
Document number	<input type="text"/>	<input type="text"/>
Accredited English translation	<input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> Sighted	<input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> Sighted

Record of proof of identity (ID)^	ID document 3	ID document 4
Verified from	<input checked="" type="checkbox"/> Original <input checked="" type="checkbox"/> Certified copy	<input checked="" type="checkbox"/> Original <input checked="" type="checkbox"/> Certified copy
Document issuer	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY
Expiry date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY
Document number	<input type="text"/>	<input type="text"/>
Accredited English translation	<input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> Sighted	<input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> Sighted

Record of proof of identity (ID)^	ID document 5	ID document 6
Verified from	<input checked="" type="checkbox"/> Original <input checked="" type="checkbox"/> Certified copy	<input checked="" type="checkbox"/> Original <input checked="" type="checkbox"/> Certified copy
Document issuer	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY
Expiry date	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YY <input type="text"/> YY
Document number	<input type="text"/>	<input type="text"/>
Accredited English translation	<input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> Sighted	<input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> Sighted

^For further information on the types of proof of identity which can be attached or verified and retained, please refer to the 'completing proof of identity' document which is located on [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder). This document also includes a list of persons authorised to certify copies of original documents.

By submitting this application on behalf of my client I attest that:

- I have provided personal financial advice to my client in relation to the financial product sought to be acquired by this application.
- The issuance of the financial product sought to be acquired by this application is necessary to implement that personal financial advice.

Signature

Date

 DD /  MM /  YY  YY

Dealer stamp

**For assistance please contact Investor Services on 1800 002 217**

^Australian Unity Life Bonds Limited (AULBL). ABN 21 087 649 625, AFS Licence No. 230522.

## Step 11: Applicant declaration IOOF WealthBuilder

I/We wish to invest in IOOF WealthBuilder as described in the IOOF WealthBuilder PDS (including any SPDS). I/We have personally received the PDS (and any SPDS) or paper print out of the electronic version of the PDS (and any SPDS) to which this application form applies before making an investment.

I/We declare that:

- all details in this application form are true and correct
- I/we have received and accepted this offer in Australia
- I/we acknowledge that I/we will promptly advise my/our financial adviser and/or AULBL<sup>^</sup> if any of my/our details change at any time
- I/we certify that I/we am/are the applicant(s) named in Step 2 of this application form OR I/we am/are authorised to provide information and complete this application form on their behalf (i.e. by way of Power of Attorney)
- I/we am/are aware that information provided about me/us and my/our accounts may be provided to the relevant tax authority within Australia or internationally
- I/we agree to provide any information that may be required for the purposes of AML/CTF, FATCA and CRS laws (as applicable).

I/We confirm that I/we have read and understood:

- that an investment made in IOOF WealthBuilder does not represent an investment in AULBL, nor any related body corporate within the Australian Unity group, nor any investment management company appointed to manage the investment assets of the IOOF WealthBuilder Funds
- that neither AULBL nor any related body corporate within the Australian Unity group, nor any investment management company appointed to manage the investment assets of the IOOF WealthBuilder Funds, guarantees the performance of any IOOF WealthBuilder Fund
- that investments in IOOF WealthBuilder are subject to investment risks including possible delays in repayment and loss of income and principal invested
- the PDS (and any SPDS) in full and on becoming an investor, I/we agree to be bound by the provisions of the PDS (and any SPDS) and the Benefit Fund Rule 7.4 (as amended).

### Financial adviser (if applicable)

If I have acquired the services of a financial adviser to obtain advice concerning my investment in IOOF WealthBuilder then I confirm that I have been fully informed of the nature and risks of the selected investment options and am satisfied these investments are suitable for my investment needs.

I acknowledge that I will promptly advise my financial adviser and/or AULBL if any of my details change at any time.

### Investor advice fee(s) (if applicable)

- I authorise AULBL to charge the investor advice fee(s) selected against my account.
- The amount of any investor advice fee(s) that are paid to my financial adviser, or their Australian Financial Services Licensee (Licensee) as agreed by me, will be an additional cost to me and charged against my account. An advice fee will not be charged unless I tell AULBL to do so.
- Any agreed investor advice fee(s) will be charged to my account and paid in full to the financial adviser, or their Licensee, until I instruct AULBL to cease payment or when I change my nominated financial adviser.
- Where I have chosen ongoing fees, I understand the consent for AULBL to pay the ongoing fees to my adviser will cease on the consent end date, which is 150 days after the next anniversary date for my ongoing fee arrangement.
- I understand my consent for one-off fees will last until the one-off fee is paid.
- I understand I can withdraw my consent or vary the ongoing fee arrangement at any time by notice in writing to my adviser, or by contacting AULBL.
- I understand I can withdraw my consent at any time before the cost is passed on to me by contacting AULBL before the fee is paid.

### AML/CTF Law, FACTA and CRS

- I/We have provided the appropriate documents, as outlined in the 'Completing Proof of Identity' document, that may be required for the purposes of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act).
- I/We confirm that I/we have correctly indicated any applicable foreign or United States tax residency status, for Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) laws, in Step 2 of this application form and during the customer identification process.
- If I/we previously have opened an AULBL product and my/our adviser has not conducted the customer identification procedure under AML/CTF, FATCA and CRS laws, in conjunction with this application, I/we confirm that I/we are not a foreign resident or US citizen(s) or resident(s) for tax purposes, or are not purchasing this product on behalf of another foreign resident, and/or US citizen or resident for tax purposes.



**Privacy**

Information (including my/our personal information) provided to AULBL is used for the purpose of opening an investment account and for other related purposes. AULBL may disclose my/our personal information to its related bodies corporate, a person with whom I/we have a joint investment, my/our financial adviser, professional advisers, businesses that have referred me/us to AULBL, banks and other financial institutions, or to provide me/us with information about other products or services that may be of interest to me/us.

AULBL is required to collect my/our personal information under the Corporations Act 2001, the AML/CTF, FATCA and CRS laws. If I/we do not provide all of the requested information, AULBL may not be able to action my/our request. To verify my/our identity for Know Your Customer (KYC) purposes, AULBL may also solicit personal information about me/us from reliable identity verification service providers.

My/Our personal information will be handled in accordance with AULBL's Privacy Policy. The Privacy Policy contains information about how I/we may access or correct my/our personal information held by AULBL and how I/we may complain about a breach of the Australian Privacy Principles. I/We may request a copy of the Privacy Policy by contacting AULBL on 1800 002 217 or on [australianunity.com.au/AULBL/privacy](http://australianunity.com.au/AULBL/privacy).

**Marketing material**

If you **do not** agree to AULBL or any related body corporate within the Australian Unity group using your personal information for the purposes of marketing the products and services of the Australian Unity group from time to time, then please tick this box:

**Power of Attorney**

If your application is signed under a Power of Attorney, please enclose an original certified copy of the Power of Attorney and the proof of identity documents required in Step 7 ('Proof of identity requirements') for the attorney, with your application form. If signed under Power of Attorney, the attorney certifies that he/she has not received notice of revocation of that power.

**Corporate investors**

This application must be signed either:

- under common seal
- by two directors or a director and company secretary, or
- by the sole director (where applicable).

**Important reminder – Identification and tax residency requirements**

If you have a financial adviser and are investing as a Company or Other Investor, you will need to complete and return with your application form additional FSC/FPA Identification Form(s) relevant to your investor type.

If I do not have a financial adviser you will need to complete the relevant Additional Tax Information Form(s). Refer to the separate 'Completing Proof of Identity' document to help you understand what you will need to provide us relevant to your investor type.

All relevant forms can be downloaded from our web site at [australianunity.com.au/aulbl-wealthbuilder](http://australianunity.com.au/aulbl-wealthbuilder), or alternatively you can request a copy from our client services team on 1800 002 217.

**If not signing under common seal, please state your title, such as Director, Company Secretary or Sole Director and Company Secretary.**

**Signatory 1**

Title (such as Director/Sole Director/Company Secretary)

Full name



Signature

Date

**Signatory 2**

Title (such as Director/Sole Director/Company Secretary)

Full name



Signature

Date

**Signatory 3** (if applicable)

Title (such as Director/Sole Director/Company Secretary)

Full name

Signature

Date

Common seal (of company) if required

**Signatory 4** (if applicable)

Title (such as Director/Sole Director/Company Secretary)

Full name

Signature

Date



**Post to:**

IOOF WealthBuilder, Reply Paid 264, Melbourne VIC 8060



**Facsimile:**

1800 558 539



**Enquiries:**

1800 002 217



**Email:**

[investorservices@insigniafinancial.com.au](mailto:investorservices@insigniafinancial.com.au)