



Are you a Politically Exposed Person?

Yes  No

Please identify the source of your investable assets or wealth

Gainful employment  Inheritance/gift  Financial investments  
 Business activity  Superannuation savings  Other – please specify

**Investor 1 Residential address (not a P.O. Box)**

Unit  Street number   
Street name   
Suburb  State   
Postcode  Country (if not Australia)

**Investor 2 (Individual/Joint/Partnership – Individual)**

Title  Mr  Mrs  Ms  Miss Date of birth /  
Surname   
Given name(s)   
Occupation   
Email  State   
TFN -- or TFN exemption\*   
\*If exempt, please specify reason. If due to pension or allowance, please state full name of benefit (e.g. Age Pension).  
Country of residence for tax purposes (if outside of Australia)

Are you a US Citizen or US tax resident?  Yes  No If 'Yes', please provide your Taxpayer Identification Number ('TIN')

Are you a Politically Exposed Person?

Yes  No

Please identify the source of your investable assets or wealth

Gainful employment  Inheritance/gift  Financial investments  
 Business activity  Superannuation savings  Other – please specify

**Investor 2 Residential address (not a P.O. Box)**

Unit  Street number   
Street name   
Suburb  State   
Postcode  Country (if not Australia)

**Minor (Child under the age of 18 years)**

Surname   
Given name(s)

Is the child a US Citizen or US tax resident?  Yes  No If 'Yes', please provide the child's Taxpayer Identification Number ('TIN')

Is the child a Politically Exposed person?  Yes  No

Please identify the source of the child's investable assets or wealth

- Gainful employment     Inheritance/gift     Financial investments  
 Business activity     Superannuation savings     Other – please specify

**Superannuation Fund**

Are you a complying superannuation fund, an exempt public sector superannuation scheme, an approved deposit fund or a pooled superannuation trust? Please refer to [superfundlookup.gov.au](http://superfundlookup.gov.au) to confirm the complying status of your superannuation fund.

Yes     No – You will need to complete the FATCA section contained in **Part B** of this Form.

Name of entity

A.R.B.N. or A.B.N.

TFN

    or TFN exemption\*                            

\*If exempt, please specify reason.

Name of custodian or trustee

Country of residence for tax purposes (if outside of Australia)

Country of incorporation or creation

Contact person

Email

Please identify the source your investable assets or wealth

- Gainful employment     Inheritance/gift     Financial investments  
 Business activity     Superannuation savings     Other – please specify

**(Company/Trust/Estate/Partnership) - Corporate**

If you are applying as a Partnership - Corporate, please call us on 13 29 39 before you complete this section.

Name of entity

A.R.B.N. or A.B.N.

TFN

    or TFN exemption\*                           

\*If exempt, please specify reason.

Name of custodian or trustee (if applicable)

Country of residence for tax purposes (if outside of Australia)

Country of incorporation or creation

Contact person

Email

Please identify the source of your investable assets or wealth

- Gainful employment     Inheritance/gift     Financial investments  
 Business activity     Superannuation savings     Other – please specify

Nature of business

**Registered business address (not a P.O. Box)**

Unit	<input type="text"/>	Street number	<input type="text"/>
Street name	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
Postcode	<input type="text"/>	Country (if not Australia)	<input type="text"/>

**Step 3 Mailing address**

- Same as Investor 1 residential address/business address **OR**  
 Same as Investor 2 residential address

**Otherwise complete mailing address details below:**

Unit	<input type="text"/>	Street number	<input type="text"/>	P.O. Box	<input type="text"/>
Street name	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>		
Postcode	<input type="text"/>	Country (if not Australia)	<input type="text"/>		

**Step 4 Contact details**

Contact name	<input type="text"/>						
Phone (after hours)	<input type="text"/>	-	<input type="text"/>	Phone (business hours)	<input type="text"/>	-	<input type="text"/>
Mobile	<input type="text"/>	-	<input type="text"/>	Facsimile	<input type="text"/>	-	<input type="text"/>
Email	<input type="text"/>						

**Step 5 Payments from your investment**

**Distributions**

How would you like your distributions to be paid?

- Reinvested       Credited to my nominated Australian financial institution account (details provided below).

If left blank or no banking details are provided below, then your distributions will automatically be reinvested (where appropriate, if applicable).

**Your Australian financial institution account details (for distributions and withdrawals)**

**You must be named on the Australian financial institution account for a payment to be made into that nominated account.**

Providing your nominated Australian financial institution account details means that you authorise the use of this information for all future payment transaction requests that you initiate.

Name of Australian financial institution	<input type="text"/>															
Branch name	<input type="text"/>															
Name of Account holder(s)	<input type="text"/>															
Branch number (BSB)	<input type="text"/>	-	<input type="text"/>	Account number	<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If you do not have a financial adviser, please proceed to **Step 7**.

**Advice fee payment election**

**Have you agreed to have an advice fee deducted from your investment account?**

(Please refer to 'Payments to your financial adviser' in the relevant PDS for further details.)

- Yes, I request that the relevant Responsible Entity deduct an ongoing advice fee of .   % on a monthly basis from my investment in the fund.
- No

**Step 6 Adviser arrangements (Adviser use only)**

If you are an existing adviser with us, please provide your name, Australian Unity adviser code and affix your adviser stamp below. Otherwise, please complete all details below.

Adviser's business name

Adviser's title  Mr  Mrs  Ms  Miss

Adviser's surname

Adviser's given name(s)

Telephone  -    -    Facsimile  -    -

Mobile     -    -

Email

Dealer Group/Licensee

AU Adviser Code           AFS Licence No

**Adviser mailing address**

Unit     Street number      P.O. Box

Street name

Suburb  State

Postcode     Country (if not Australia)

Address stamp

### Investor identity verification declaration

I certify in accordance with the FSC/FPA Industry Guidance Note 24 ('GN 24'), that I have:  
(Mark the appropriate box with an 'X')

1. Collected, verified and retained the appropriate customer identification documentation to confirm the identity of investor(s) with this application to meet my obligations in respect of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 ('AML/CTF laws') and agree to provide access to these records as required.
- or
2. Attached a copy of the industry 'Customer Identification Form' which confirms that I have sighted and verified all of the documentation required to identify an investor under AML/CTF laws.
- or
3. Attached a copy of the source documents from which I have identified the investor as required by the AML/CTF laws.

**If no box is marked, I agree that Option 1 applies.**

In addition, as the investor's financial adviser, I warrant and represent to Australian Unity that I, as applicable:

- have followed and complied with GN 24 and any other applicable AML/CTF laws in identifying and verifying the investor(s) with this application;
- will continue to comply with GN 24;
- will provide, upon request, original identification and verification records and details of the identification procedures adopted;
- have kept a record of the investor's identification and verification and will retain these for a period of seven years after the investor/adviser relationship has ended;
- will if requested update and re-verify the investor and provide any other additional information regarding the investor;
- will not knowingly do anything to cause Australian Unity to breach AML/CTF laws and will notify Australian Unity if I become aware of anything that would cause Australian Unity to breach AML/CTF laws; and
- confirm that the details provided in any identification and verification records are true and correct.

Please note, Australian Unity reserves the right to reject any applicable GN 24 form attached to this Form for whatever reason (for example, if it has been incorrectly completed).

Adviser signature

Date   /   /

### Step 7 Statements

Your tax and distribution statements can be accessed from our website at [australianunity.com.au](http://australianunity.com.au)

If you wish to access your statements online and receive an email alert to notify you when your statements are available, please provide your email address at **Section 2** and indicate using an 'X':

### Step 8 Annual report

The Annual Report will be available from our website at [australianunity.com.au](http://australianunity.com.au)

If you wish to receive a printed copy of the Annual Report, please indicate using an 'X':

## Step 9 Declarations and investor signature(s)

### I/We agree and acknowledge:

- to be bound by the terms and conditions of the fund's Product Disclosure Statement ('PDS') current at the time; and Constitution (as amended from time to time);
- none of the entities mentioned throughout the fund's PDS and the Investor Additional Details Form guarantee the performance of the fund, payment of interest or any return of capital;
- that monies invested in the fund do not represent investments in Australian Unity Funds Management Limited, Australian Unity Property Limited or Australian Unity Mortgage Investments Limited, nor with a member of the Australian Unity Group;
- the investment is subject to investment risk including possible delays in repayment, loss of income or principal invested;
- Australian Unity Limited and its related bodies corporate may offer products and services appropriate for my/our needs and interests. I/We consent to my/our information being disclosed between those entities and to its use for direct marketing (subject to my/our right of opt-out by calling 13 29 39), product management and development and for other related purposes;
- Australian Unity Funds Management Limited, Australian Unity Property Limited or Australian Unity Mortgage Investments Limited (as applicable) may give information relating to my/our account and investment in that account to my/our financial adviser whose stamp appears on the Investor Additional Details Form;
- if this application is signed under a Power of Attorney, the Attorney verifies that no notice of revocation of that power has been received at the date of completing this Investor Additional Details Form;
- for all account types other than individual and joint accounts, that the Investor Additional Details Form is signed in accordance with the governing rules and/or constituent documents;
- all of the information provided in this Investor Additional Details Form is complete and accurate to the best of my/our ability/abilities;
- I/We will provide any supporting or additional information which might be required in order to process the request to transfer the investment, or subsequently, as a consequence of my/our holding the investment;
- I/We agree that any advice fee nominated in **Step 5** of the Investor Additional Details Form – Part A will be deducted from my/our investment through the redemption of units in my/our investment;
- I/We have no reason to suspect that the monies used to fund this transfer, or any subsequent contributions into the investment, is or will be derived from or related to any money laundering, terrorism financing or other illegal activities;
- the information provided for meeting US Foreign Account Tax Compliance Act ('FATCA') requirements (where applicable) is true and correct and that I/we will provide all necessary co-operation and assistance in order for me/us to comply with obligations under Australian legislation designed to give effect to the FATCA agreement between Australia and the United States;
- by providing my/our email address at **Step 2**, the relevant Responsible Entity may use this address to provide me/us, where permitted by law or regulation, with information via email about my/our investment, including to satisfy any continuous disclosure requirements; and
- my/our personal information will be collected, used and disclosed by AUI in accordance with its Privacy Policy and in accordance with the law.

Who signs below		
If the account is held for one or more <b>individuals</b>	THEN	those individuals sign.
If the account is held for a <b>partnership</b>	THEN	all partners or those authorised to sign on behalf of the partnership.
If the account is held for a <b>company</b> or <b>corporate partnership</b> or <b>corporate trustee</b>	THEN	two directors; or a director and a company secretary; or if there is a single director, by that director. By signing as a single director investor confirms that the company is a single director company.
If the account is held for a <b>superannuation</b> fund or <b>trust</b>	THEN	the trustee(s), 'as trustee(s) for...'

### Investor 1

Capacity  Individual  Joint  Director  Partner  Trustee  Other

Surname

Given name(s)

Investor signature  Common Seal (if applicable)

Date / /

## Investor 2

Capacity:  Individual  Joint  Director  Partner  Trustee  Other:

Surname:

Given name(s):

Investor signature:  Common Seal (if applicable)

Date: / /

## Submitting your Investor Additional Details Form

Corporate partnership, company, superannuation fund, trust, unincorporated body or estate applications please also complete **Part B** on page 9.

2. Certain types of entities may also be required to provide information and identification documents in relation to their Beneficial Owners. Refer to the document 'Anti-Money Laundering Laws and Foreign Account Tax Compliance Act Information' on our website [australianunity.com.au](http://australianunity.com.au) to assess whether you will be required to complete the 'Beneficial Owner Information' Form.
3. Sign the Investor Additional Details Form.
4. Where identity verification as required by Anti-Money Laundering laws has not been undertaken by a financial adviser, please enclose the additional documentation outlined in the document 'Anti-Money Laundering Laws and Foreign Account Tax Compliance Act Information' on our website [australianunity.com.au](http://australianunity.com.au)
5. Mail the completed Form and original certified copies of identification documents (where required) to (no stamp required):

**Australian Unity**

Reply Paid 64466

South Melbourne VIC 3205



# Investor Additional Details Part B Form

10 July 2017

Complete this form to provide additional information to help enable the transfer of an investment into your name

## Additional information required for special account types

Please:

- Complete all relevant sections below as incomplete applications may not be accepted. Ensure that you also complete all relevant sections in **Part A**.
- Use **BLOCK** letters and a black or blue pen to complete this Form.
- Indicate using an 'X' where appropriate. If a section does not apply to you, please indicate using 'N/A'.
- Refer to the 'Anti-Money Laundering Laws and Foreign Account Tax Compliance Act Information' document on our website [australianunity.com.au](http://australianunity.com.au) before completing this Form. This document provides the definition of a Politically Exposed Person ('PEP') and enables you to assess whether you need to complete a 'Beneficial Owner Information Form'.

### Step 1 Account details

What type of investment account? (Please indicate using an 'X')

Please also complete the sections below that are relevant to your investor type. **Note that all fields that apply to your account type are mandatory.**

Company       Superannuation fund       Trust       Estate       Partnership - Corporate

**Please note:** If you wish to invest for an **Association, Co-operative or Government Body**, please call us on 13 29 39 for details of the additional information we may require from you.

### Company/Corporate trustee/Executor (if applicable)/Partnership-Corporate

\*Individuals signing this Application Form must confirm their names and PEP status below. If you are a domestic proprietary company or a foreign company please provide the names and PEP status of all directors. If you are applying as a Corporate Partnership or more than four directors exist for a proprietary company or a foreign company, please call us on 13 29 39 before you complete **Part B**.

Director 1's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Director 2's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Director 3's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Director 4's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

**Individual trustee/individual executor** (if applicable)

\* If more than four individual trustees exist for the trust, please call us on 13 29 39 before you complete **Part B**.

Trustee 1's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Trustee 2's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Trustee 3's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Trustee 4's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

**Trust beneficiary details**

\* Please specify the beneficiaries of the trust. If more than four beneficiaries exist for the trust, please call us on 13 29 39 before you complete **Part B**.

Beneficiary 1's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Beneficiary 2's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Beneficiary 3's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

Beneficiary 4's full name\*

Are you a Politically Exposed Person?  Yes  No

Are you a US Citizen or US tax resident?  Yes  No If Yes, please provide your Taxpayer Identification Number (TIN)

# US Foreign Account Tax Compliance Act ('FATCA') Questionnaire

To be completed by all 'non-individual' account types other than complying superannuation funds\*

\*Complying superannuation funds, exempt public sector superannuation schemes, approved deposit funds or pooled superannuation trusts do not need to complete this section.

## 1. Are you a US Company\*, US Trust\*, or US Partnership\*?

\*US Company - A company organised in or under the laws of the United States.

\*US Trust - A trust under the authority of United States courts and the substantial decisions are controlled by a US citizen or resident.

\*US Partnership - A partnership organised in or under the laws of the United States.

Yes (Please go to **question 1.1**)  No (Please go to **question 2**)

### 1.1 Are you an exempt payee for US tax purposes?

Yes  No If No, please provide your Taxpayer Identification Number (TIN)

If you have completed question 1.1, **Part B** is complete. Please remember to include it with **Part A** of the Application Form.

## 2. Are you an Australian Financial Institution ('AFI') or Other Partner Jurisdiction Financial Institution ('FI')?

In answering this question, it is anticipated that AFIs and FIs will have an awareness of the FATCA regime and should be able to complete this question. All other entities should answer 'No'.

Yes (Please go to **question 2.1**)  No (Please go to **question 3**)

2.1 Please provide your Global Intermediary Identification Number ('GIIN'), if applicable

If you do not have a GIIN, please provide your FATCA status:

Non-reporting IGA FFI  Exempt Beneficial Owner  Non-participating FFI  
 Deemed Compliant FFI  Excepted FFI  GIIN applied for but not yet issued

If you have completed question 2.1, **Part B** is complete. Please remember to include it with **Part A** of the Application Form.

## 3. Do any of the following apply to you? (tick all that apply)



Less than 50% of our income in the previous financial year is passive income#

#Passive Income – includes rental income and income not generated from active participation, such as interest, dividends, trust distributions or royalties.




- Less than 50% of our assets held in the previous financial year produce passive income#
- Our stock is regularly traded on an established securities market or more than 50% of our stock is controlled by a non financial entity regularly traded on an established securities market
- Our entity is a government body, agency or instrumentality
- Our entity is exempt from tax in our jurisdiction of residence - if ticked, why?

**Please note:** If you have not selected any of the check boxes in question 3 above, you will need to complete the 'Beneficial Owner Information Form', which is available on our website [australianunity.com.au](http://australianunity.com.au) or by calling our Investor Services team on 13 29 39.




**Contact us**

-  Australian Unity  
114 Albert Road, South Melbourne VIC 3205
-  [australianunity.com.au](http://australianunity.com.au)

**Investor Services**

-  [investments@australianunity.com.au](mailto:investments@australianunity.com.au)
-  13 29 39
-  03 8682 5057

**Adviser Services**

-  [investments@australianunity.com.au](mailto:investments@australianunity.com.au)
-  1800 649 033
-  03 8682 5057