



**CROMWELL**  
FUNDS MANAGEMENT

# **CROMWELL PHOENIX GLOBAL OPPORTUNITIES FUND INVESTOR APPLICATION FORMS**

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Dated 26 October 2021  
Issued by Cromwell Funds Management Limited  
ABN 63 114 782 777  
AFSL 333214






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This Application Pack accompanies the Product Disclosure Statement (PDS) and Target Market Determination (TMD) for the Cromwell Phoenix Global Opportunities Fund ARSN 654 056 961 (Fund) issued by Cromwell Funds Management Limited ABN 63 114 782 777, AFSL 333214 (CFM, we, us, our). You should read the accompanying PDS and TMD before completing any application form included in this Application Pack.


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# Application Instructions and Forms

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	<b>Read the PDS</b>	<b>PDS available from:</b> www.cromwell.com.au/gof 1300 268 078 invest@cromwell.com.au
	<b>Read the TMD</b>	<b>Target Market Determination available from:</b> www.cromwell.com.au/gof 1300 268 078 invest@cromwell.com.au
	<b>Apply Online</b>	Visit <a href="http://apply.cromwell.com.au">http://apply.cromwell.com.au</a>
	<b>Complete the Application Form</b>	Investment Application Form also available to existing Fund unitholders: Additional Unit Application Form
	<b>Post</b>	<b>Mail your application form/s to the Fund's registrar:</b> Boardroom Pty Limited GPO Box 3993 Sydney NSW 2001



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## Payment Details

You can make payment in one of two ways:

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	<b>Cheque</b>	Cheques should be either Australian bank cheques or drawn on an Australian domiciled account in the name of the applicant and made payable to: <b>CFM GOF APPLICATION</b> Cheques should be posted in the same envelope as your signed application form.
	<b>Electronic Transfer</b>	If you would like to make payment by electronic funds transfer, instructions and bank account details can be found on the application form.

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## Correct format of Registerable Titles

Only legal entities are allowed to hold units in the Fund. Applications must be in the name(s) of natural person(s), companies or other legal entities acceptable to the Fund. At least one full given name and the surname are required for each natural person. The name of the beneficiary or any other non-registerable name may be included by way of an account designation if completed exactly as described in the example of correct forms of registerable title shown below.

Type of Investor	Correct format of Registerable Name	Incorrect format
<b>Individual</b>		
Use given names, not initials	John Alfred Smith	J A Smith
<b>Company</b>		
Use company name, not abbreviations. Director(s) names must be completed within the Applicant(s) Details section	ABC Pty Ltd	ABC P/L or ABC Co
<b>Trust<sup>1</sup></b>		
Use trustee(s) names	Sue Smith	Sue Smith Family Trust
Use name of the trust in the account designator section	Sue Smith Family Trust	Sue Smith
<b>Superannuation Funds</b>		
Use name of trustee of fund	Jane Smith Pty Ltd	Jane Smith Super Fund
Use name of fund in the account designator section	Jane Smith Super Fund	Jane Smith Pty Ltd
<b>Deceased Estates<sup>2</sup></b>		
Use executor(s) names	Sue Lennon	Estate of the Late Jon Lennon
Use name of the deceased in the account designator section	Estate of the Late Jon Lennon	
<b>A Minor (less than 18 years old)<sup>3</sup></b>		
Use trustee(s) personal names	Sue Smith	Junior Smith
Use name of the minor in the account designator section	Junior Smith	Sue Smith

1. If there are two or more trustees, please name each. All trustees should sign.

2. A copy of the grant of probate or letters of administration, originally certified as being a true and accurate copy of the original by a Justice of the Peace, a lawyer or a commissioner of declarations should be attached.

3. If the minor does not hold a TFN, please supply the TFN of one of the trustees.

## Reminders

CFM has the sole discretion whether to accept or reject an application. CFM will reject an application if application monies are not received in full and in cleared funds. If your application is rejected, wholly or in part, then CFM will notify you in writing and return the relevant application monies, within 30 business days. By applying for units, you are making an offer to become an investor in the Fund and you are agreeing to be legally bound by the Constitution and the terms of this PDS.

### INCOMPLETE APPLICATIONS

If for any reason CFM is unable to process your application (e.g. if the application form is incorrectly completed or we have not received all required identification and verification documents or the application monies in full in cleared funds), we may, at our absolute discretion, delay your application and, where possible, request you to rectify any deficiencies in your application. In such an instance, your application monies will be held in a trust account pursuant to section 1017E of the *Corporations Act 2001* (Cth). If your application is not processed within 30 days, your application monies will be returned.

### CONFIDENTIALITY

CFM will maintain all information collected from investors in a secure manner in accordance with anti-money laundering and counter terrorism financing (AML/CTF) legislation and relevant privacy principles. We will only disclose information about you where we are required to do so by the laws of Australia. This means that identification information may be disclosed to government or law enforcement agencies. We may also disclose this information to other entities involved with the investment to the extent that this information is required to fulfil that entity's AML/CTF legislation obligations.

# Investor Identification

In 2006, the Federal Government enacted the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth) (AML/CTF Act). The purpose of this legislation is to enable Australia's financial sector to maintain international business relationships, detect and prevent money laundering and terrorism financing by meeting the needs of law enforcement agencies and to bring Australia in line with international standards.

## Why does this legislation affect CFM?

As CFM is the responsible entity for investment products, we have to meet stringent investor identification and verification requirements. This means that prior to units in any fund being issued, CFM must be 'reasonably satisfied' that investors are who they claim to be.

## What do you need to do?

If you invest in the Fund through a financial adviser or an investor directed portfolio service (IDPS) facility then they will request and collect any verification materials. If you are investing directly, you need to complete the application form and provide certified copies of identification documents which relate to the type of entity making the investment:

Type of Entity	Forms to be completed	Page
Individual / Joint Investors (each applicant must complete a form)	APPLICATION FORM 1: Individual & Sole Traders Form	4
Australian Companies	APPLICATION FORM 2: Australian Companies Form	12
Australian Regulated Trusts (including Self Managed Super Funds)	APPLICATION FORM 3: Australian Regulated Trusts (including Self Managed Super Funds) Form	20
Unregulated Australian Trusts and Foreign Trusts (e.g. Family, Unit and Testamentary Trusts)	APPLICATION FORM 4: Unregulated Australian Trusts and Foreign Trusts Form	26

## Not on the list?

If you are investing via a type of entity not listed above, please phone Cromwell on 1300 268 078 to discuss which form is appropriate for your needs, or visit [www.cromwell.com.au/aml](http://www.cromwell.com.au/aml) for a complete list of Investor Application Forms.

We may request additional information from you where we reasonably consider it necessary to satisfy our obligations under the AML/CTF Act, and applications will not be processed until the necessary information is provided.

## Who can certify AML/CTF Identification documents?

- ..... a Justice of the Peace
- ..... a Commissioner for Declarations
- ..... a member of the Institution of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants
- ..... a person who is on the roll of the Supreme Court of a State or Territory, or High Court of Australia, as a legal practitioner (however described)
- ..... a judge of a court or a magistrate
- ..... a permanent employee of Australia Post employed in an office supplying postal services to the public with 5 years continuous service
- ..... a full time teacher at a school or tertiary institution
- ..... a police officer

..... a person who, under a law in force in a State or Territory, is currently licensed or registered to practise one of the following occupations: chiropractor, dentist, medical practitioner, nurse, optometrist, pharmacist, physiotherapist, psychologist, veterinary surgeon

..... an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees

..... any other persons mentioned in Part 1 and Part 2 of the *Statutory Declarations Regulations 2018* (Cth) – Schedule 2.

## Politically exposed person (PEP) means an individual:

- 1) who holds a prominent public position or function in a government body or an international organisation, including:
  - a) Head of State or head of a country or government;
  - b) government minister or equivalent senior politician;
  - c) senior government official;
  - d) Judge of the High Court of Australia, the Federal Court of Australia or a Supreme Court of a State or Territory, or a Judge of a court of equivalent seniority in a foreign country or international organisation;
  - e) governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia;
  - f) senior foreign representative, ambassador, or high commissioner;
  - g) high-ranking member of the armed forces; or
  - h) board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and
- 2) an immediate family member of a person referred to in paragraph (1), including:
  - a) a spouse;
  - b) a de facto partner;
  - c) a child and a child's spouse or de facto partner; or
  - d) a parent; and
- 3) a close associate of a person referred to in paragraph 1), which means any individual who is known (having regard to information that is public or readily available) to have:
  - a) joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph 1); or
  - b) sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph 1).

## A "beneficial owner":

- 1) of a person who is a reporting entity, means an individual who owns or controls (directly or indirectly) the reporting entity;
- 2) of a person who is a customer of a reporting entity, means an individual who ultimately owns or controls (directly or indirectly) the customer;
- 3) in this definition, control includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating practices; and
- 4) in this definition, owns means ownership (either directly or indirectly) of 25% or more of a person.



# Investment Application Form 1 - Individuals & Sole Traders

## INDIVIDUAL 2

Surname  Date of Birth (dd/mm/yyyy)

Title  Full Given Name(s)

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

Street

Suburb  State  Postcode  Country

Complete this part if individual is a sole trader.

Full Business Name (if any)  ABN (if any)

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

Street

Suburb  State  Postcode  Country

Please include your TFN in the space provided to ensure tax is not deducted from distributions.

**Tax File Number**

If the investor above is exempt from providing a TFN, please provide the reason for the exemption (eg: Sole Parent Benefits, Service Pension, etc.)

## INDIVIDUAL 1 & 2

Individual investors may designate an investment on behalf of another individual. CFM is only required to act on instructions from the investors listed in Part 3. CFM is not bound to take any notice of any interest of any person listed in the Account Designator.

**Account Designator**

A T F

## PART 4

### POLITICALLY EXPOSED PERSON

The information below is required under the Anti-Money Laundering and Counter-terrorism Financing Act 2006 (Cth) (refer to page 3).

#### INDIVIDUAL 1

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 5

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

#### INDIVIDUAL 2

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 5

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

## PART 5 IDENTIFICATION DOCUMENTS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

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The information below is required under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) (refer to page 3). For each individual please attach an originally certified, legible copy of the ID documentation you are relying upon to confirm your identity (and any required translation). Contact Cromwell's Investor Services Team on 1300 268 078 if you are unable to provide the required documents.

### PART 5.1

Acceptable primary photographic ID documents.

#### Select ONE valid option from this section only

- Australian State / Territory driver's licence containing a photograph of the person
  - Australian passport (a passport that has expired within the preceding 2 years is acceptable)
  - Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
  - Foreign passport or similar travel document containing a photograph and the signature of the person\*
- 

### PART 5.2

Acceptable secondary ID documents (should only be completed if you do not own a document from Part 5.1).

#### Select ONE valid option from this section

- Australian birth certificate
- Australian citizenship certificate
- Pension card issued by Centrelink
- Health card issued by Centrelink

#### AND ONE valid option from this section

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
  - A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address
  - A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)
  - If under the age of 18, a notice that was issued to the individual by a school principal within the preceding 3 months, and contains the name and residential address, and records the period of time that the individual attended that school
- 

### PART 5.3

Acceptable foreign documents (should only be completed if you do not own a document from Part 5.1).

#### **BOTH documents from this section must be presented**

- Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth\*
- National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued\*

\* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

## PART 6

## TAX INFORMATION

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

### INDIVIDUAL 1

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.

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.

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.

Country	TIN	If no TIN, list reason A, B or C
<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 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.

### INDIVIDUAL 2

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.

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.

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.

Country	TIN	If no TIN, list reason A, B or C
<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 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.



## PART 7

### DISTRIBUTION PAYMENTS

You are required to provide your bank account details for payment of distributions. Distributions will not be paid by cheque. We can only accept Australian bank account details. If no bank account details are provided, your distributions will be reinvested.

This account must be in the investors name. Payment to a third party is not permitted.

If you select Partial Participation in the distribution reinvestment please ensure you provide bank account details for the cash portion of your distribution.

Account Name

Financial Institution

BSB       Account Number

If you would like your distribution reinvested as additional units please select one of the following options:

Full Participation  Partial Participation  Specify the number of securities or percentage you would like to participate

## PART 8

### APPLICANT(S) CONTACT DETAILS [MUST NOT BE ADVISER DETAILS]

Please enter contact details, including phone numbers in case we need to contact you in relation to your application.

Adviser details are not acceptable unless your Adviser holds a power of attorney, a certified copy of which must be provided.

These contact details will be used for all administration correspondence.

Address

City  State    Postcode

Phone   -           After hours   -

Mobile     -         Facsimile   -

Email

By providing this email address, you agree to receive all communications, including transaction confirmations, statements, reports and other notifications required by the Corporations Act, by email. From time to time we may still need to send correspondence by post. Contact us if you would like to receive a hard copy of the annual report in the post.

Would you like to be advised of other offers from Cromwell? Yes  No

How did you hear about the Fund?

## PART 9

### ADDITIONAL INVESTMENT ENQUIRER

If you would like someone other than the Contact or your Adviser to be able to enquire about this investment, please provide us with their details here.

Given name

Surname

Date of birth    /    /     Company (if applicable)

## PART 10

### ADDITIONAL QUESTIONS

Are you investing in this Fund on the advice of a licensed financial services provider who has provided investment advice having regard to your personal objectives, financial situation and needs?

- Yes**  **No**  
*Go to Part 11 (Please ensure Adviser Details - Part 11 is completed in full.)* *Go to Question 1*

1. By investing in the Cromwell Phoenix Global Opportunities Fund, you are investing in an unhedged portfolio of listed international securities.

Do you accept that while the Fund is a 'growth investment' whose value is expected to rise over time, it does expose you to risks associated with investing in listed foreign securities and there can be no guarantee the value of your investment will grow or be maintained over time.

- Yes**  **No**

2. By investing in securities that are listed in stock exchanges outside of Australia, do you accept that the economic, technological, political, legal and market conditions in these countries may affect the performance of the Fund?

- Yes**  **No**

3. Do you accept the capital value of your investment is not guaranteed?

- Yes**  **No**

4. Do you accept the annual income distributions paid by this Fund are not guaranteed and will vary over time?

- Yes**  **No**

5. Please indicate the percentage your investment in the Fund represents of the assets you have available for investment, excluding your residential home:

- <25%**  **25-75%**  **75-100%**  **I prefer not to provide this information**

#### Additional information

If you have answered 'NO' to any of questions 1-4, please read the following statement:

"You have answered the above question in a manner which suggests this product may not be suitable for you. Before proceeding with your investment, we recommend you do one or more of the following:

- a) Review the target market determination for the product which can be found online at [www.cromwell.com.au/gof/tmd](http://www.cromwell.com.au/gof/tmd) or by contacting Cromwell to request a copy.
- b) Review the product disclosure statement which can be found online at [www.cromwell.com.au/gof/pds](http://www.cromwell.com.au/gof/pds) or by contacting Cromwell directly to request a copy.
- c) Seek advice from your financial adviser, stockbroker or other investment professional."

## PART 11

### ADVISER DETAILS

*Please have your financial adviser complete and sign this section, to confirm they hold a current AFS licence and are authorised to advise on managed investment products.*

Adviser given name   
 Adviser surname   
 Adviser company (if applicable)   
 Adviser Phone   -           
 Adviser email   
 Dealer Group Name  AFSL No:        
 ASIC Moneysmart Adviser number

I confirm I have reviewed the TMD in providing personal advice to the Applicant in relation to their investment in the Fund and I further represent that I: have product governance arrangements in place to ensure compliance with my distribution obligations in Part 7.8A of the Corporations Act; will provide to CFM the reports specified in the TMD within the timeframes specified in the TMD; will not knowingly do anything to put CFM in breach of Part 7.8A of the Corporations Act; and will notify CFM immediately if I become aware of anything that would, or may potentially, put CFM in breach of Part 7.8A of the Corporations Act.

ADVISER SIGNATURE

Date   /   /

Name

## PART 12

### DECLARATION AND AUTHORISATION

I/we declare that I/we have received and read the current PDS and agree to be bound by it and the Constitution (each as amended from time to time). I/we acknowledge that we have read and understood the TMD. I/we declare that the offer was received and accepted in Australia and all information in this application is true and correct. I/we indemnify CFM against any liabilities whatsoever arising from acting on any information I/we provide in connection with this application. I/we have legal power to invest in accordance with this application and have complied with all applicable laws in doing so. I/we acknowledge that neither CFM or any other member of the Cromwell Property Group (including its directors and employees) guarantee the Fund's performance, the repayment of capital, any particular rate of return or any distribution. In the case of joint applications, the joint applicants agree that unless otherwise indicated on the application form, the units will be held as joint tenants and both investors will be required to operate the account and bind the other investor for future transactions. If this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of the power. I/we acknowledge that we have read and understood the 'Privacy Statement' in the current PDS. Until I/we inform CFM otherwise, I/we will be taken to have consented to all uses of our personal information (including marketing) contained under that heading and to our adviser providing further personal information to CFM as required or reasonably deemed necessary by CFM. Any application can be accepted or rejected by CFM. I/we understand that if we fail to provide any information requested or do not agree to any of the possible uses or disclosure of our information as detailed in the PDS, our application may be rejected by CFM and CFM is released and indemnified in respect of any loss or liability arising from its inability to accept an application due to inadequate or incorrect details having been provided. I/we agree that CFM may provide details of our investment to the adviser group or adviser nominated by the means and in the format that they direct. I/we declare the tax information provided is accurate. I/we confirm our answers to the additional questions at Part 10 of this Application Form are correct.

SIGNATURE A

SIGNATURE B

Date  /  /

Date  /  /

Name

Name

## PART 13

### PAYMENT DETAILS

*These details are required so your payment can be matched to your application form.*

Please indicate which payment method you have used:

Cheque

→ Made payable to: **CFM GOF APPLICATION**

Electronic Transfer → BSB:012 003 Account: 838152593

Account Name: CFML GOF Application Account

Reference: Applicant Name

## PART 14

### POSTAL

Post

> Mail your original application form and certified copies of identification to the Fund's registrar:

Boardroom Pty Limited

GPO BOX 3993

Sydney NSW 2001

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# Investment Application Form 2 - Australian Companies

### 3.3 REGULATORY / LISTING DETAILS

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

**Regulated company** (licensed by an Australian Commonwealth, State or Territory statutory regulator)

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

Go to Part 5

### 3.4 DIRECTORS

To be completed for proprietary companies only, not required for public companies as per Part 3.2.

How many directors are there?

**Provide full name of each director below**

Surname

Full given name(s)

1

2

3

4

5

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

### 3.5 BENEFICIAL OWNERS

To be completed for proprietary companies only, not required for public companies as per Part 3.2.

Provide details of ALL individuals who are ultimately beneficial owners through one or more share holdings of more than 25% of the company's issued capital (through direct or indirect shareholdings).

#### BENEFICIAL OWNER 1

Surname

Date of Birth (dd/mm/yyyy)

Full Given Name(s)

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

Street

Suburb

State

Postcode

Country

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 4

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

# Investment Application Form 2 - Australian Companies

## BENEFICIAL OWNER 2

Surname  Date of Birth (dd/mm/yyyy)

Full Given Name(s)

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

Street

Suburb  State  Postcode  Country

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 4

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

## BENEFICIAL OWNER 3

Surname  Date of Birth (dd/mm/yyyy)

Full Given Name(s)

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

Street

Suburb  State  Postcode  Country

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 4

**Yes** If you answered "Yes" above provide details of how you meet the definition of Politically Exposed Person

## PART 4

### BENEFICIAL OWNER IDENTIFICATION DOCUMENTS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

The information below is required under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) (refer to page 3). For each beneficial owner please attach an originally certified, legible copy of the ID documentation you are relying upon to confirm your identity (and any required translation). Contact Cromwell's Investor Services Team on 1300 268 078 if you are unable to provide the required documents.

#### PART 4.1

Acceptable primary photographic ID documents.

#### Select ONE valid option from this section only

- Australian State / Territory driver's licence containing a photograph of the person
- Australian passport (a passport that has expired within the preceding 2 years is acceptable)
- Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
- Foreign passport or similar travel document containing a photograph and the signature of the person\*

#### PART 4.2

Acceptable secondary ID documents (should only be completed if you do not own a document from Part 4.1).

#### Select ONE valid option from this section

- Australian birth certificate
- Australian citizenship certificate
- Pension card issued by Centrelink
- Health card issued by Centrelink

# Investment Application Form 2 - Australian Companies

**AND ONE valid option from this section**

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address
- A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)
- If under the age of 18, a notice that was issued to the individual by a school principal within the preceding 3 months, and contains the name and residential address, and records the period of the period of time that the individual attended that school

**PART 4.3**

Acceptable foreign documents (should only be completed if you do not own a document from Part 4.1).

**BOTH documents from this section must be presented**

- Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth\*
  - National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued\*
- \* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

## PART 5

### TAX INFORMATION

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

**5.1 TAX STATUS**

Select only ONE of the following categories and provide the information requested

- 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 does not have a GIIN, please provide its FATCA status

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

- Non-Financial Public Company** (Public companies as per Part 3.3 that are not Financial Institutions as described above)

*If the company is a Public Company, Part 5 is now complete, proceed to Part 6.*

- 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 VII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).) (Proprietary companies as per Part 3.4 that are not Financial Institutions as described above)

If the company is an Active NFE, **please proceed to Part 5.3** (Country of Tax Residency).

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

*Please proceed to Part 5.2 (Foreign Beneficial Owners).*

**5.2 FOREIGN BENEFICIAL OWNERS (INDIVIDUALS)**

Are any of the company's beneficial owners tax residents of countries other than Australia Yes  No

If "Yes", please provide the details of these individuals below. For each individual please provide their country of tax residency and Tax Identification Number (TIN) for all relevant countries.

Full given name(s)	Surname	Role (e.g. Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	TIN	If no TIN, list reason A,B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>

- 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.



## Investment Application Form 2 - Australian Companies

Full given name(s)  Surname  Role (e.g. Managing Director)

Country  TIN  If no TIN, list reason A,B or C

**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.

If there are more beneficial owners provide details on a separate sheet and tick this box

Please proceed to Part 5.3 (Country of Residency).

### 5.3 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. Please list all relevant countries below.

If No, Part 5 is now complete, proceed to Part 6.

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

## PART 6

### DISTRIBUTION PAYMENTS

You are required to provide your bank account details for payment of distributions. Distributions will not be paid by cheque. We can only accept Australian bank account details. If no bank account details are provided, your distributions will be reinvested.

This account must be in the investors name. Payment to a third party is not permitted.

If you select Partial Participation in the distribution reinvestment please ensure you provide bank account details for the cash portion of your distribution.

Account Name   
 Financial Institution   
 BSB  Account Number

If you would like your distribution reinvested as additional units please select one of the following options:

Full Participation  Partial Participation  Specify the number of securities or percentage you would like to participate

## PART 7

### APPLICANT(S) CONTACT DETAILS [MUST NOT BE ADVISER DETAILS]

Please enter contact details, including phone numbers in case we need to contact you in relation to your application.

Adviser details are not acceptable unless your Adviser holds a power of attorney, a certified copy of which must be provided.

These contact details will be used for all administration correspondence.

Address   
 City  State  Postcode   
 Phone  -  After hours  -   
 Mobile  -  Facsimile  -   
 Email

By providing this email address, you agree to receive all communications, including transaction confirmations, statements, reports and other notifications required by the Corporations Act, by email. From time to time we may still need to send correspondence by post. Contact us if you would like to receive a hard copy of the annual report in the post.

Would you like to be advised of other offers from Cromwell? Yes  No

How did you hear about the Fund?

# Investment Application Form 2 - Australian Companies

## PART 8

### ADDITIONAL INVESTMENT ENQUIRER

If you would like someone other than the Contact or your Adviser to be able to enquire about this investment, please provide us with their details here.

Given name	<input type="text"/>
Surname	<input type="text"/>
Date of birth	<input type="text" value="DD"/> / <input type="text" value="MM"/> / <input type="text" value="YYYY"/>
Company (if applicable)	<input type="text"/>

## PART 9

### ADDITIONAL QUESTIONS

Are you investing in this Fund on the advice of a licensed financial services provider who has provided investment advice having regard to your personal objectives, financial situation and needs?

- Yes**  **No**  
*Go to Part 10 (Please ensure Adviser Details - Part 10 is completed in full.)* *Go to Question 1*

1. By investing in the Cromwell Phoenix Global Opportunities Fund, you are investing in an unhedged portfolio of listed international securities.

Do you accept that while the Fund is a 'growth investment' whose value is expected to rise over time, it does expose you to risks associated with investing in listed foreign securities and there can be no guarantee the value of your investment will grow or be maintained over time.

- Yes**  **No**

2. By investing in securities that are listed in stock exchanges outside of Australia, do you accept that the economic, technological, political, legal and market conditions in these countries may affect the performance of the Fund?

- Yes**  **No**

3. Do you accept the capital value of your investment is not guaranteed?

- Yes**  **No**

4. Do you accept the annual income distributions paid by this Fund are not guaranteed and will vary over time?

- Yes**  **No**

5. Please indicate the percentage your investment in the Fund represents of the assets you have available for investment, excluding your residential home:

- <25%**  **25-75%**  **75-100%**  **I prefer not to provide this information**

#### Additional information

If you have answered 'NO' to any of questions 1-4, please read the following statement:

"You have answered the above question in a manner which suggests this product may not be suitable for you. Before proceeding with your investment, we recommend you do one or more of the following:

- Review the target market determination for the product which can be found online at [www.cromwell.com.au/gof/tmd](http://www.cromwell.com.au/gof/tmd) or by contacting Cromwell to request a copy.
- Review the product disclosure statement which can be found online at [www.cromwell.com.au/gof/pds](http://www.cromwell.com.au/gof/pds) or by contacting Cromwell directly to request a copy.
- Seek advice from your financial adviser, stockbroker or other investment professional."

# Investment Application Form 2 - Australian Companies

## PART 10

### ADVISER DETAILS

Please have your financial adviser complete and sign this section, to confirm they hold a current AFS licence and are authorised to advise on managed investment products.

Adviser given name

Adviser surname

Adviser company (if applicable)

Adviser Phone  -

Adviser email

Dealer Group Name  AFSL No:

ASIC Moneysmart Adviser number

I confirm I have reviewed the TMD in providing personal advice to the Applicant in relation to their investment in the Fund and I further represent that I: have product governance arrangements in place to ensure compliance with my distribution obligations in Part 7.8A of the Corporations Act; will provide to CFM the reports specified in the TMD within the timeframes specified in the TMD; will not knowingly do anything to put CFM in breach of Part 7.8A of the Corporations Act; and will notify CFM immediately if I become aware of anything that would, or may potentially, put CFM in breach of Part 7.8A of the Corporations Act.

ADVISER SIGNATURE

Date  /  /

Name

## PART 11

### DECLARATION AND AUTHORISATION

I/we declare that I/we have received and read the current PDS and agree to be bound by it and the Constitution (each as amended from time to time). I/we acknowledge that we have read and understood the TMD. I/we declare that the offer was received and accepted in Australia and all information in this application is true and correct. I/we indemnify CFM against any liabilities whatsoever arising from acting on any information I/we provide in connection with this application. I/we have legal power to invest in accordance with this application and have complied with all applicable laws in doing so. I/we acknowledge that neither CFM or any other member of the Cromwell Property Group (including its directors and employees) guarantee the Fund's performance, the repayment of capital, any particular rate of return or any distribution. In the case of joint applications, the joint applicants agree that unless otherwise indicated on the application form, the units will be held as joint tenants and both investors will be required to operate the account and bind the other investor for future transactions. If this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of the power. I/we acknowledge that we have read and understood the 'Privacy Statement' in the current PDS. Until I/we inform CFM otherwise, I/we will be taken to have consented to all uses of our personal information (including marketing) contained under that heading and to our adviser providing further personal information to CFM as required or reasonably deemed necessary by CFM. Any application can be accepted or rejected by CFM. I/we understand that if we fail to provide any information requested or do not agree to any of the possible uses or disclosure of our information as detailed in the PDS, our application may be rejected by CFM and CFM is released and indemnified in respect of any loss or liability arising from its inability to accept an application due to inadequate or incorrect details having been provided. I/we agree that CFM may provide details of our investment to the adviser group or adviser nominated by the means and in the format that they direct. I/we declare the tax information provided is accurate. I/we confirm our answers to the additional questions at Part 9 of this Application Form are correct.

SIGNATURE A

Date  /  /

Name

As a Company Officer you MUST specify your title:

Director  Sole Director and Company Secretary

SIGNATURE B

Date  /  /

Name

As a Company Officer you MUST specify your title:

Director  Company Secretary

# Investment Application Form 2 - Australian Companies

## PART 12

### PAYMENT DETAILS

---

*These details are required so your payment can be matched to your application form.*

Please indicate which payment method you have used:

Cheque → Made payable to: **CFM GOF APPLICATION**

Electronic Transfer → BSB: 012 003 Account: 838152593  
Account Name: CFML GOF Application Account  
Reference: Applicant Name

## PART 13

### POSTAL

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Post

- > Mail your original application form and certified copies of identification to the Fund's registrar:  
Boardroom Pty Limited  
GPO BOX 3993  
Sydney NSW 2001



# Investment Application Form 3 - Australian Regulated Trusts (including SMSFs)

If not provided above, please include your ABN or TFN in the space provided to ensure tax is not deducted from distributions.

ABN

TFN

If exempt from providing a TFN, please provide the reason for the exemption

## PART 4

### INDIVIDUAL DETAILS (TO BE COMPLETED IF SELECTED TRUSTEE IS AN INDIVIDUAL)

#### INDIVIDUAL 1

Surname  Date of Birth (dd/mm/yyyy)

Title  Full Given Name(s)

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

Street

Suburb  State  Postcode  Country

#### INDIVIDUAL 2

Surname  Date of Birth (dd/mm/yyyy)

Title  Full Given Name(s)

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

Street

Suburb  State  Postcode  Country

## PART 5

### AUSTRALIAN COMPANY DETAILS (TO BE COMPLETED IF SELECTED TRUSTEE IS AN AUSTRALIAN COMPANY)

#### 5.1 GENERAL INFORMATION

Full name as registered by ASIC

ACN

**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

#### 5.2 COMPANY TYPE

Select only ONE of the following categories.

**Public** *Go to Part 5.3*

**Proprietary** *Go to Part 5.4*

# Investment Application Form 3 - Australian Regulated Trusts (including SMSFs)

## 5.3 REGULATORY / LISTING DETAILS

Select the following categories which apply to the trustee company and provide the information requested.

**Regulated company** (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence details

**Australian listed company**

Name of market / exchange

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

Australian listed company name

Name of market / exchange

## 5.4 DIRECTORS

To be completed for proprietary companies only, not required for public companies as per Part 5.2.

How many directors are there?

### Provide full name of each director below

Surname

Full given name(s)

1

2

3

4

5

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

## 5.5 BENEFICIAL OWNERS

To be completed for proprietary companies only, not required for public companies per Section 5.2.

Provide details of ALL individuals who are ultimately beneficial owners through one or more share holdings of more than 25% of the company's issued capital, (through direct or indirect share holdings).

### Beneficial owner 1

Surname

Full given name(s)

### Beneficial owner 2

Surname

Full given name(s)

### Beneficial owner 3

Surname

Full given name(s)

## PART 6

### TAX INFORMATION

#### 6.1 TAX STATUS

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

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete Part 6 and can proceed to Part 7.

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

If the Trust or trustee 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 FATCA status in the box provided)

# Investment Application Form 3 - Australian Regulated Trusts (including SMSFs)

## PART 7

### DISTRIBUTION PAYMENTS

You are required to provide your bank account details for payment of distributions. Distributions will not be paid by cheque. We can only accept Australian bank account details. If no bank account details are provided, your distributions will be reinvested.

This account must be in the investors name. Payment to a third party is not permitted.

If you select Partial Participation in the distribution reinvestment please ensure you provide bank account details for the cash portion of your distribution.

Account Name

Financial Institution

BSB

Account Number

If you would like your distribution reinvested as additional units please select one of the following options:

Full Participation

Partial Participation

Specify the number of securities or percentage you would like to participate

## PART 8

### APPLICANT(S) CONTACT DETAILS [MUST NOT BE ADVISER DETAILS]

Please enter contact details, including phone numbers in case we need to contact you in relation to your application.

Adviser details are not acceptable unless your Adviser holds a power of attorney, a certified copy of which must be provided.

These contact details will be used for all administration correspondence.

Address

City  State  Postcode

Phone  -  After hours  -

Mobile  -  Facsimile  -

Email

By providing this email address, you agree to receive all communications, including transaction confirmations, statements, reports and other notifications required by the Corporations Act, by email. From time to time we may still need to send correspondence by post. Contact us if you would like to receive a hard copy of the annual report in the post.

Would you like to be advised of other offers from Cromwell? Yes  No

How did you hear about the Fund?

## PART 9

### ADDITIONAL INVESTMENT ENQUIRER

If you would like someone other than the Contact or your Adviser to be able to enquire about this investment, please provide us with their details here.

Given name

Surname

Date of birth / /  Company (if applicable)



# Investment Application Form 3 - Australian Regulated Trusts (including SMSFs)

## PART 10

### ADDITIONAL QUESTIONS

Are you investing in this Fund on the advice of a licensed financial services provider who has provided investment advice having regard to your personal objectives, financial situation and needs?

- Yes**  
Go to Part 11 (Please ensure Adviser Details - Part 11 is completed in full.)
- No**  
Go to Question 1

1. By investing in the Cromwell Phoenix Global Opportunities Fund, you are investing in an unhedged portfolio of listed international securities.

Do you accept that while the Fund is a 'growth investment' whose value is expected to rise over time, it does expose you to risks associated with investing in listed foreign securities and there can be no guarantee the value of your investment will grow or be maintained over time.

- Yes**  **No**

2. By investing in securities that are listed in stock exchanges outside of Australia, do you accept that the economic, technological, political, legal and market conditions in these countries may affect the performance of the Fund?

- Yes**  **No**

3. Do you accept the capital value of your investment is not guaranteed?

- Yes**  **No**

4. Do you accept the annual income distributions paid by this Fund are not guaranteed and will vary over time?

- Yes**  **No**

5. Please indicate the percentage your investment in the Fund represents of the assets you have available for investment, excluding your residential home:

- <25%**  **25-75%**  **75-100%**  **I prefer not to provide this information**

#### Additional information

If you have answered 'NO' to any of questions 1-4, please read the following statement:

"You have answered the above question in a manner which suggests this product may not be suitable for you. Before proceeding with your investment, we recommend you do one or more of the following:

- Review the target market determination for the product which can be found online at [www.cromwell.com.au/gof/tmd](http://www.cromwell.com.au/gof/tmd) or by contacting Cromwell to request a copy.
- Review the product disclosure statement which can be found online at [www.cromwell.com.au/gof/pds](http://www.cromwell.com.au/gof/pds) or by contacting Cromwell directly to request a copy.
- Seek advice from your financial adviser, stockbroker or other investment professional."

## PART 11

### ADVISER DETAILS

Please have your financial adviser complete and sign this section, to confirm they hold a current AFS licence and are authorised to advise on managed investment products.

Adviser given name

Adviser surname

Adviser company (if applicable)

Adviser Phone  -

Adviser email

Dealer Group Name  AFSL No:

ASIC Moneysmart Adviser number

I confirm I have reviewed the TMD in providing personal advice to the Applicant in relation to their investment in the Fund and I further represent that I: have product governance arrangements in place to ensure compliance with my distribution obligations in Part 7.8A of the Corporations Act; will provide to CFM the reports specified in the TMD within the timeframes specified in the TMD; will not knowingly do anything to put CFM in breach of Part 7.8A of the Corporations Act; and will notify CFM immediately if I become aware of anything that would, or may potentially, put CFM in breach of Part 7.8A of the Corporations Act.

ADVISER SIGNATURE

Date  /  /

Name

# Investment Application Form 3 - Australian Regulated Trusts (including SMSFs)

## PART 12

### DECLARATION AND AUTHORISATION

I/we declare that I/we have received and read the current PDS and agree to be bound by it and the Constitution (each as amended from time to time). I/we acknowledge that we have read and understood the TMD. I/we declare that the offer was received and accepted in Australia and all information in this application is true and correct. I/we indemnify CFM against any liabilities whatsoever arising from acting on any information I/we provide in connection with this application. I/we have legal power to invest in accordance with this application and have complied with all applicable laws in doing so. I/we acknowledge that neither CFM or any other member of the Cromwell Property Group (including its directors and employees) guarantee the Fund's performance, the repayment of capital, any particular rate of return or any distribution. In the case of joint applications, the joint applicants agree that unless otherwise indicated on the application form, the units will be held as joint tenants and both investors will be required to operate the account and bind the other investor for future transactions. If this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of the power. I/we acknowledge that we have read and understood the 'Privacy Statement' in the current PDS. Until I/we inform CFM otherwise, I/we will be taken to have consented to all uses of our personal information (including marketing) contained under that heading and to our adviser providing further personal information to CFM as required or reasonably deemed necessary by CFM. Any application can be accepted or rejected by CFM. I/we understand that if we fail to provide any information requested or do not agree to any of the possible uses or disclosure of our information as detailed in the PDS, our application may be rejected by CFM and CFM is released and indemnified in respect of any loss or liability arising from its inability to accept an application due to inadequate or incorrect details having been provided. I/we agree that CFM may provide details of our investment to the adviser group or adviser nominated by the means and in the format that they direct. I/we declare the tax information provided is accurate. I/we confirm our answers to the additional questions at Part 10 of this Application Form are correct.

SIGNATURE A

Date  /  /

Name

If a Company Officer or Trustee, you MUST specify your title:

Director  Sole Director and Company Secretary

Trustee  Other

SIGNATURE B

Date  /  /

Name

If a Company Officer or Trustee, you MUST specify your title:

Director  Company Secretary

Trustee  Other

## PART 13

### PAYMENT DETAILS

*These details are required so your payment can be matched to your application form.*

Please indicate which payment method you have used:

Cheque → Made payable to: **CFM GOF APPLICATION**

Electronic Transfer → BSB: 012 003 Account: 838152593  
Account Name: CFML GOF Application Account  
Reference: Applicant Name

## PART 14

### POSTAL

- Post > Mail your original application form and certified copies of identification to the Fund's registrar:  
Boardroom Pty Limited  
GPO BOX 3993  
Sydney NSW 2001



# Investment Application Form 4 - Unregulated Australian Trusts & Foreign Trusts

## 3.3 BENEFICIARY DETAILS

Do the terms of the trust identify the beneficiaries by reference to membership of a class?

**Yes**

Provide details of the membership class / es (e.g. unit holders, family members of named person, charitable purpose)

**No**

How many beneficiaries are there?

**Provide full name of each beneficiary below**

Surname

Full given name(s)

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

## 3.4 TRUSTEE DETAILS

How many trustees are there?

**Provide the name and residential / business addresses of ALL of the trustees below**

### TRUSTEE 1

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)  
Street

Suburb

State

Postcode

Country

### TRUSTEE 2

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)  
Street

Suburb

State

Postcode

Country

### TRUSTEE 3

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)  
Street

Suburb

State

Postcode

Country

### TRUSTEE 4

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)  
Street

Suburb

State

Postcode

Country

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

# Investment Application Form 4 - Unregulated Australian Trusts & Foreign Trusts

## PART 4

### TRUST IDENTIFICATION DOCUMENTS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

The Information below is required under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) (refer to page 3).

**Acceptable Documents** (use one of the following to verify the Unregulated Trust)

- An originally certified copy or certified extract of the Trust Deed\*.
- A notice issued by the Australian Taxation Office within the last 12 months (e.g. a Notice of Assessment).
- A letter from a solicitor or qualified accountant that confirms the name of the Trust\*.

\* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

#### IMPORTANT

- Please attach an **originally certified**, legible copy of the ID documentation used to verify the Trust.

**Complete ONLY ONE of the following sections, as required, to collect the additional information about the identity of ONLY ONE of the trustees:**

- Part 5 – where the selected trustee is an individual.
- Part 6 – where the selected trustee is an Australian Company.

## PART 5

### INDIVIDUAL DETAILS (TO BE COMPLETED IF SELECTED TRUSTEE IS AN INDIVIDUAL)

#### 5.1 PERSONAL DETAILS

Surname

Date of Birth (dd/mm/yyyy)

--	--	--	--	--	--	--	--

Full Given Name(s)

## PART 5A

### INDIVIDUAL TRUSTEE IDENTIFICATION DETAILS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

Select from Part 5A.1, or if the trustee does not own a document from Part 5A.2, then select from either Part 5A.2 or Part 5A.3:

#### PART 5A.1

*Acceptable primary photographic ID documents*

Select ONE valid option from this section only

- Australian State / Territory driver's licence containing a photograph of the person.
- Australian passport (a passport that has expired within the preceding 2 years is acceptable).
- Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person.
- Foreign passport or similar travel document containing a photograph and the signature of the person\*.

#### PART 5A.2

*Acceptable secondary ID documents  
(should only be completed if the individual does not own a document from Part 5.1)*

Select ONE valid option from this section

- Australian birth certificate.
- Australian citizenship certificate.
- Pension card issued by Centrelink.
- Health card issued by Centrelink.

**AND ONE valid option from this section**

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. **Block out the TFN before scanning, copying or storing this document.**
- A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).

# Investment Application Form 4 - Unregulated Australian Trusts & Foreign Trusts

## PART 5A.3

Acceptable foreign ID documents (should only be completed if the individual does not own a document from Part 5.1).

### BOTH documents from this section must be presented

- Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth\*
- National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued\*

\* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

If the selected trustee is an individual, Part 5 is now complete, please proceed to Part 7.

## PART 6

### AUSTRALIAN COMPANY DETAILS (TO BE COMPLETED IF SELECTED TRUSTEE IS AN AUSTRALIAN COMPANY)

#### 6.1 GENERAL INFORMATION

Full name as registered by ASIC

ACN

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

#### 6.2 COMPANY TYPE

Select only ONE of the following categories.

Public

Go to Part 6.3

Proprietary

Go to Part 6.4

#### 6.3 REGULATORY / LISTING DETAILS

Select the following categories which apply to the trustee company and provide the information requested.

Regulated company (licensed by an Australian Commonwealth, State or Territory statutory regulator)

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

# Investment Application Form 4 - Unregulated Australian Trusts & Foreign Trusts

## 6.4 DIRECTORS

To be completed for proprietary companies only, not required for public companies as per Part 6.2.

How many directors are there?

### Provide full name of each director below

Surname	Full given name(s)
1 <input type="text"/>	<input type="text"/>
2 <input type="text"/>	<input type="text"/>
3 <input type="text"/>	<input type="text"/>
4 <input type="text"/>	<input type="text"/>
5 <input type="text"/>	<input type="text"/>

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

## 6.5 BENEFICIAL OWNERS

To be completed for proprietary companies only, not required for public companies as per Part 6.2.

Provide details of ALL individuals who are ultimately beneficial owners through one or more share holdings of more than 25% of the company's issued capital (through direct or indirect share holdings).

### Beneficial owner 1

Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>
Title	Full Given Name(s)
<input type="text"/>	<input type="text"/>

### Residential Address (PO Box is NOT acceptable)

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

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 7

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

### Beneficial owner 2

Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>
Title	Full Given Name(s)
<input type="text"/>	<input type="text"/>

### Residential Address (PO Box is NOT acceptable)

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

Are you a **Politically Exposed Person** (as defined on Page 3)?

**No** Go to Part 7

**Yes** If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

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## Beneficial owner 3

Surname

Date of Birth (dd/mm/yyyy)

Title

Full Given Name(s)

### Residential Address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Are you a **Politically Exposed Person** (as defined on Page 3)?

No Go to Part 7

Yes If you answered "Yes" please provide details of how you meet the definition of Politically Exposed Person

## PART 7

### BENEFICIAL OWNER IDENTIFICATION DOCUMENTS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

For each beneficial owner please attached an originally certified, legible copy of the ID documentation you are relying upon to confirm your identity (and required translation).

#### PART 7.1

Acceptable primary photographic ID documents.

#### Select ONE valid option from this section only

- Australian State / Territory driver's licence containing a photograph of the person.
- Australian passport (a passport that has expired within the preceding 2 years is acceptable).
- Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person.
- Foreign passport or similar travel document containing a photograph and the signature of the person\*.

#### PART 7.2

Acceptable secondary ID documents  
(should only be completed if the individual does not own a document from Part 7.1).

#### Select ONE valid option from this section

- Australian birth certificate.
- Australian citizenship certificate.
- Pension card issued by Centrelink.
- Health card issued by Centrelink.

#### **AND ONE valid option from this section**

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. **Block out the TFN before scanning, copying or storing this document.**
- A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).

#### PART 7.3

Acceptable foreign ID documents  
(should only be completed if the individual does not own a document from Part 7.1).

#### **BOTH documents from this section must be presented**

- Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth.\*
- National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued.\*

\* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.



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## PART 8

### TAX INFORMATION

#### 8.1 TAX STATUS

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

Part 8 is not required for deceased estates (deceased estates can proceed to Part 9).

Select only ONE of the following categories and provide the information requested.

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

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

If the Trust or the trustee 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 FATCA status in the box provided)

#### PLEASE ANSWER THE QUESTION BELOW FOR ALL FINANCIAL INSTITUTIONS

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?

- Yes - *Proceed to Part 8.2* (Foreign Controlling Persons).  
 No - *Part 8 is now complete, proceed to Part 9.*

CRS Participating Jurisdictions are on the OECD website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction>.

- Australian Registered Charity or Deceased Estate.** If the Trust is an Australian Registered Charity or Deceased Estate *Part 8 is complete, proceed to Part 9.*

- A Foreign Charity or 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 VII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)

If the Trust is a Foreign (non-Australian) Charity or an Active NFE, *please proceed to Part 8.3* (Country of Residency).

- Other** (Trusts that are not previously listed – Passive Non-Financial Entities)  
*Please go to Part 8.2* (Foreign Controlling Persons).

#### 8.2 FOREIGN CONTROLLING PERSONS (INDIVIDUALS)

A Controlling Person is any individual who directly or indirectly exercises control over the Trust. For a trust, this includes all trustee's, settlors, protectors or beneficiaries. For a trustee company this includes any beneficial owners controlling more than 25% of the shares in the company or senior managing officials.

Are any of the Trust's Controlling Persons tax residents of countries other than Australia? Yes  No

If the trustee is a company, are any of this company's Controlling Persons tax residents of countries other than Australia? Yes  No

If you answered "Yes" to either of the two questions above, please provide the details of the Controlling Persons below. For each Controlling Person please provide their country of tax residency and Tax Identification Number (TIN) for all relevant countries.

Full given names(s)	Surname	Role (e.g. Trustee)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	TIN	If no TIN, list reason A,B or C
<input type="text"/>	<input type="text"/>	<input type="text"/>

**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

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Full given names(s) <input type="text"/>	Surname <input type="text"/>	Role (e.g. Trustee) <input type="text"/>
Country <input type="text"/>	TIN <input type="text"/>	If no TIN, list reason A,B or C <input type="text"/>

If there are more controlling persons, 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

Proceed to Part 8.3

## 8.3 COUNTRY OF TAX RESIDENCY

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

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

If No, please proceed to Part 9

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

## PART 9

### DISTRIBUTION PAYMENTS

You are required to provide your bank account details for payment of distributions. Distributions will not be paid by cheque. We can only accept Australian bank account details. If no bank account details are provided, your distributions will be reinvested.

This account must be in the investors name. Payment to a third party is not permitted.

If you select Partial Participation in the distribution reinvestment please ensure you provide bank account details for the cash portion of your distribution.

Account Name

Financial Institution

BSB

Account Number

If you would like your distribution reinvested as additional units please select one of the following options:

Full Participation  Partial Participation

Specify the number of securities or percentage you would like to participate

## PART 10

### APPLICANT(S) CONTACT DETAILS [MUST NOT BE ADVISER DETAILS]

Please enter contact details, including phone numbers in case we need to contact you in relation to your application.

Adviser details are not acceptable unless your Adviser holds a power of attorney, a certified copy of which must be provided.

These contact details will be used for all administration correspondence.

Address

City  State  Postcode

Phone  -  After hours  -

Mobile  -  Facsimile  -

Email

By providing this email address, you agree to receive all communications, including transaction confirmations, statements, reports and other notifications required by the Corporations Act, by email. From time to time we may still need to send correspondence by post. Contact us if you would like to receive a hard copy of the annual report in the post.

Would you like to be advised of other offers from Cromwell? Yes  No

How did you hear about the Fund?

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## PART 11

### ADDITIONAL INVESTMENT ENQUIRER

If you would like someone other than the Contact or your Adviser to be able to enquire about this investment, please provide us with their details here.

Given name   
Surname   
Date of birth / /  Company (if applicable)

## PART 12

### ADDITIONAL QUESTIONS

Are you investing in this Fund on the advice of a licensed financial services provider who has provided investment advice having regard to your personal objectives, financial situation and needs?

**Yes**  **No**  
*Go to Part 13 (Please ensure Adviser Details - Part 13 is completed in full.)* *Go to Question 1*

1. By investing in the Cromwell Phoenix Global Opportunities Fund, you are investing in an unhedged portfolio of listed international securities.

Do you accept that while the Fund is a 'growth investment' whose value is expected to rise over time, it does expose you to risks associated with investing in listed foreign securities and there can be no guarantee the value of your investment will grow or be maintained over time.

**Yes**  **No**

2. By investing in securities that are listed in stock exchanges outside of Australia, do you accept that the economic, technological, political, legal and market conditions in these countries may affect the performance of the Fund?

**Yes**  **No**

3. Do you accept the capital value of your investment is not guaranteed?

**Yes**  **No**

4. Do you accept the annual income distributions paid by this Fund are not guaranteed and will vary over time?

**Yes**  **No**

5. Please indicate the percentage your investment in the Fund represents of the assets you have available for investment, excluding your residential home:

**<25%**  **25-75%**  **75-100%**  **I prefer not to provide this information**

#### Additional information

If you have answered 'NO' to any of questions 1-4, please read the following statement:  
"You have answered the above question in a manner which suggests this product may not be suitable for you. Before proceeding with your investment, we recommend you do one or more of the following:

- Review the target market determination for the product which can be found online at [www.cromwell.com.au/gof/tmd](http://www.cromwell.com.au/gof/tmd) or by contacting Cromwell to request a copy.
- Review the product disclosure statement which can be found online at [www.cromwell.com.au/gof/pds](http://www.cromwell.com.au/gof/pds) or by contacting Cromwell directly to request a copy.
- Seek advice from your financial adviser, stockbroker or other investment professional."

## PART 13

### ADVISER DETAILS

Please have your financial adviser complete and sign this section, to confirm they hold a current AFS licence and are authorised to advise on managed investment products.

Adviser given name   
Adviser surname   
Adviser company (if applicable)   
Adviser Phone  -   
Adviser email   
Dealer Group Name  AFSL No:   
ASIC Moneysmart Adviser number

# Investment Application Form 4 - Unregulated Australian Trusts & Foreign Trusts

I confirm I have reviewed the TMD in providing personal advice to the Applicant in relation to their investment in the Fund and I further represent that I: have product governance arrangements in place to ensure compliance with my distribution obligations in Part 7.8A of the Corporations Act; will provide to CFM the reports specified in the TMD within the timeframes specified in the TMD; will not knowingly do anything to put CFM in breach of Part 7.8A of the Corporations Act; and will notify CFM immediately if I become aware of anything that would, or may potentially, put CFM in breach of Part 7.8A of the Corporations Act.

ADVISER SIGNATURE

Date  /  /

Name

## PART 14

### DECLARATION AND AUTHORISATION

I/we declare that I/we have received and read the current PDS and agree to be bound by it and the Constitution (each as amended from time to time). I/we acknowledge that we have read and understood the TMD. I/we declare that the offer was received and accepted in Australia and all information in this application is true and correct. I/we indemnify CFM against any liabilities whatsoever arising from acting on any information I/we provide in connection with this application. I/we have legal power to invest in accordance with this application and have complied with all applicable laws in doing so. I/we acknowledge that neither CFM or any other member of the Cromwell Property Group (including its directors and employees) guarantee the Fund's performance, the repayment of capital, any particular rate of return or any distribution. In the case of joint applications, the joint applicants agree that unless otherwise indicated on the application form, the units will be held as joint tenants and both investors will be required to operate the account and bind the other investor for future transactions. If this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of the power. I/we acknowledge that we have read and understood the 'Privacy Statement' in the current PDS. Until I/we inform CFM otherwise, I/we will be taken to have consented to all uses of our personal information (including marketing) contained under that heading and to our adviser providing further personal information to CFM as required or reasonably deemed necessary by CFM. Any application can be accepted or rejected by CFM. I/we understand that if we fail to provide any information requested or do not agree to any of the possible uses or disclosure of our information as detailed in the PDS, our application may be rejected by CFM and CFM is released and indemnified in respect of any loss or liability arising from its inability to accept an application due to inadequate or incorrect details having been provided. I/we agree that CFM may provide details of our investment to the adviser group or adviser nominated by the means and in the format that they direct. I/we declare the tax information provided is accurate. I/we confirm our answers to the additional questions at Part 12 of this Application Form are correct.

SIGNATURE A

Date  /  /

Name

If a Company Officer or Trustee, you MUST specify your title:

Director  Sole Director and Company Secretary

Trustee  Other

SIGNATURE B

Date  /  /

Name

If a Company Officer or Trustee, you MUST specify your title:

Director  Company Secretary

Trustee  Other

## PART 15

### PAYMENT DETAILS

*These details are required so your payment can be matched to your application form.*

Please indicate which payment method you have used:

Cheque → Made payable to: CFM GOF APPLICATION

Electronic Transfer → BSB: 012 003 Account: 838152593  
Account Name: CFML GOF Application Account  
Reference: Applicant Name

## PART 16

### POSTAL

- Post > Mail your original application form and certified copies of identification to the Fund's registrar:  
Boardroom Pty Limited  
GPO BOX 3993  
Sydney NSW 2001