

# CROMWELL DIRECT PROPERTY FUND **TRANSFER FORM**

Issued by Cromwell Funds Management Limited ABN 63 114 782 777 AFSL 333214

# Transfer Form Information

# Please read this important information on how to complete a Cromwell Transfer Form

The Transfer Form is to be used if you wish to transfer a Cromwell managed fund to another person or entity.

We do not accept copies or faxes. Return the original completed form to: Boardroom Pty Limited, GPO Box 3993, Sydney NSW 2001.

#### IMPORTANT: Transferee (Buyer) Information

Please ensure you read the PDS and TMD for the fund, as required by the Application Form.

#### FATCA/CRS

Cromwell is required to collect and report to the Australian Taxation Office (ATO) certain information about the tax residency of our unitholders. If you have not supplied Cromwell with your tax residency status previously, please do so by one of the following methods:

#### > Online via your registered InvestorServe Access -

Visit www.investorserve.com.au > My Details > FATCA-CRS Information

> Email or Post a FATCA/CRS Form - Call Cromwell's Investor Services Team on 1300 268 078 to obtain a copy of the Automatic Exchange of Information (AEOI) Form for you to complete and return.

Not providing this information to Cromwell may delay the processing of your transaction.

#### AML/CTF

If you have  $\underline{\text{NOT}}$  invested in a Cromwell managed fund previously, please provide the following:

- 1. Transferee (Buyer) Information (Part 1);
- 2. Completed and signed the Transfer (Part 2); and
- 3. Relevant Cromwell Identification Form and attaching certified copies of identification documents.

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

## Change of Trustees – Self Managed Super Funds

The following documents need to be provided with the Transfer Form

- Original certified copy of any/all Deeds of Amendment or Minutes of Meeting noting the change of trustees
- Cromwell Identification Form 3 Australian Regulated Trusts (including SMSFs)

For a change of trustee of an unregulated trust, please contact Cromwell's Investor Services Team on 1300 268 078.

### Deceased Estates

The following documents need to be provided with the Transfer Form

- Original certified copy of Probate and attaching Will OR Letters of Administration;
- For each Executor or Administrator Original certified copy of driver's licence (current) OR Passport (that has not expired more than 2 years ago);
- Section 1071B Statement Form (if the registered address of the holding is not Queensland).

If Probate <u>**HAS NOT**</u> been granted or you have any questions, please contact Cromwell's Investor Services Team on 1300 268 078.

#### Correct format of Registerable Titles

Only legal entities are allowed to hold units in the Fund. Transfer Forms 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
Individual		
Use given names, not initials	John Alfred Smith	<del>J A Smith</del>
Company		
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
Trust		
Use trustee(s) names	Sue Smith	Sue Smith Family
Use name of the trust in the account designator section	Sue Smith Family Trust	<del>Trust</del> <del>Sue Smith</del>
Superannuation Funds		
Use name of trustee of fund	Jane Smith Pty Ltd	<del>Jane Smith Super-</del> <del>Fund</del>
Use name of fund in the account designator section	Jane Smith Super Fund	Jane Smith Pty Ltd
Deceased Estates		
Use executor(s) names	Sue Lennon	Estate of the Late-
Use name of the deceased in the account designator section	Estate of the Late Jon Lennon	<del>Jon Lennon</del>
A Minor (less than 18 years old)		
Use trustee(s) personal names	Sue Smith	Junior Smith
Use name of the minor in the account designator section	Junior Smith	<del>Sue Smith</del>

# CROMWELL FUNDS MANAGEMENT **TRANSFER FORM**



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Please complete this form using BLACK INK and write clearly within the boxes in CAPITAL LETTERS. Mark appropriate answer boxes with a tick ( $\checkmark$ ).

Any alterations made to this form MUST be initialled by both the Buyers(s) and the Seller(s). The use of correction fluid or tape renders the form invalid. Any increases to the holding amount being transferred is not acceptable, even if initialled.

# Transferee (Buyer) Information - Part 1

Please complete the below sections if you have NOT invested in a Cromwell managed fund previously or for a change of Trustee/s. If you are a current investor in a Cromwell managed fund proceed to Part 2.

#### **PART 1.1 CONTACT DETAILS** - (MUST NOT BE ADVISER DETAILS)

Please enter contact details,	Surname	
including phone numbers in case we need to contact you in relation to your holding.	Title	Full Given Name(s)
Adviser details are not acceptable unless your Adviser holds a power of attorney, a certified copy		
	Address	
of which must be provided.	City	State Postcode
These contact details will be used for all administration	Phone	-         -
correspondence.	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 🗌
PART 1.2	TAX INF	FORMATION - (MUST NOT BE ADVISER DETAILS)

#### **TAX INFORMATION** - (MUST NOT BE ADVISER DETAILS)

Tax File Number	Investor Name	
Tax File Number	Investor Name	
Individual and Joint Investors only		
ABN Number		
If exempt from providing a TFN and/or AE	3N, please provide the reason for exemption	

#### **PART 1.3**

#### **DISTRIBUTION PAYMENTS**

You are required to provide your bank account details for payment of	Account Name			
distributions. Distributions will not be	Financial Institution			
paid by cheque. We can only accept Australian bank account details. If no bank account details are provided,	BSB		Account Number	
your distributions will be reinvested.	If you would like your o	distribution reinvested as ac	dditional units please select o	ne of the following options:
This account must be in the investors name. Payment to a third party is not permitted.	Full Participation	Partial Participation	Specify the number of securities or percentage you would	
Kursunglast Dartial Dartiainstian in the			like to participate	

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

PART 1.4	ADVISER DETAILS		
	Adviser given name		
	Adviser surname		
	Adviser company (if applicable)		
	Adviser Phone		
	Adviser email		
	Dealer Group Name AFSL No: AFSL No:		
PART 1.5	ADDITIONAL INVESTMENT ENQUIRER		
<i>If you would like someone other than the Contact or your Adviser</i>	Given name		
to be able to enquire about this	Surname		
<i>investment, please provide us with their details here.</i>	Date of birth     D     D     /     Y     Y     Y     Company (if applicable)		
PART 1.6	TARGET MARKET DETERMINATION		
	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 (Please ensure Adviser Details - Part 1.4 No Go to Question 1 above is completed in full.)		
	<ol> <li>While the Cromwell Direct Property Fund may offer a Limited Monthly Withdrawal Facility, you do not have a right to demand a withdrawal of your investment. Do you accept the Limited Monthly Withdrawal Facility is not a withdrawal guarantee?</li> </ol>		
	Yes No		
	2. The Fund will use some debt to acquire assets. Do you accept that because the Fund uses debt (or gearing) any capital gains or losses (which are determined by changes in value of the underlying property) will be magnified depending on the level of gearing employed?		
	Yes No		
	3. Do you accept the capital value of your investment is not guaranteed?           Yes         No		
	<ul> <li>4. Are you aware that the income paid by this Fund is not guaranteed and may vary over time?</li> <li>Yes</li> </ul>		
	<ol><li>Please indicate the percentage your investment in the Fund represents of the assets you have available for investment, excluding your residential home:</li></ol>		
	<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:		
	<ul> <li>a) Review the target market determination for the product which can be found online at www.cromwell.com.au investment-options/ddo or by contacting Cromwell to request a copy.</li> <li>b) Review the product disclosure statement which can be found online at www.cromwell.com.au/dpf/PDS or b contacting Cromwell to request a copy.</li> </ul>		

c) Seek advice from your financial adviser, stockbroker or other investment professional."

## **PART 1.7**

Please ensure you also provide the following documents, the relevant Cromwell Identification Form/s and attaching certified copies of identification documents.

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

# CROMWELL FUNDS MANAGEMENT TRANSFER FORM



PART 2	TRANSFER DETAILS		
	Cromwell managed fund name		
	Cromwell Direct Property Fund		
	Select one of the below options		
	Full investment amount; or		Quantity
	Quantity in dollars \$		in units in units
	Please write the quantity of units or dollar amoun	nt in words	
PART 3	TRANSFEROR ("SELLER") DETAILS		
Investor reference number must be quoted	Investment name and account designator		
			Investor reference
PART 4	TRANSFEREE ("BUYER") DETAILS		
lf you have a current	Investment name and account designator		
holding in a Cromwell Managed Fund, please			
provide us with your investor reference			Investor reference
number.			
	ted in a Cromwell managed fund previously ies of identification documents referred to i		provide a relevant Cromwell Identification Form and
PART 5	TRANSFEROR ("SELLER") AUTHORISA		NOTE: THIS SECTION MUST BE SIGNED FOR THIS FORM TO BE PROCESSED
register of the above-named in I/We have not received any I/We acknowledge that I/We ha	westment, subject to the conditions on which I/we held the s notice of revocation of the Power of Attorney (if any) by we taken My/Our own advice in relation to the transfer of the	ame at the o death of the above units	sfer to the Transferee(s) the units specified above standing in my/our name(s) in the date on which this form is signed. e grantor or otherwise, under which this transfer is signed (if applicable). and that Cromwell Funds Management Limited has agreed to process the transfer ed has neither set nor determined the value at which the units are to be transferred SIGNATURE B
Date /		Date	
Name		Name	
If a Company Officer or Tr	rustee, you MUST specify your title:		If a Company Officer or Trustee, you MUST specify your title:
	Director and Company Secretary		Director Company Secretary
Trustee Other			Trustee Other
PART 6	TRANSFEREE ("BUYER") AUTHORIS	ATION	NOTE: THIS SECTION MUST BE SIGNED FOR THIS FORM TO BE PROCESSED
I/We have not received any I/We acknowledge that I/we had in its capacity only as Respons I/We acknowledge that by sign to be bound by the PDS and	notice of revocation of the Power of Attorney (if any) by we taken my/our own advice in relation to the transfer of the ible Entity of the relevant investment. Cromwell Funds Manag ning this form I/we have read the most recent Product Discle the investment's Constitution and acknowledge that neither	death of the above units ement Limite osure Statem the Cromwe	tions on which the transferor(s) held the units at the date on which the form is signed e grantor or otherwise, under which this transfer is signed (if applicable). and that Cromwell Funds Management Limited has agreed to process the transfer ad has neither set nor determined the value at which the units are to be transferred nent (PDS) and Target Market Determination (TMD) for the investment. I/We agree Il Property Group nor Cromwell Funds Management Limited nor any of their staf at an investment is subject to investment risk including the possible loss of income
	SIGNATURE A		SIGNATURE B
Date /		Date	
Name		Name	

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

Director	Sole Director and Co	ompany Secretary
Trustee	Other	

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

Other

Trustee