



CROMWELL
FUNDS MANAGEMENT

INVESTOR IDENTIFICATION FORMS

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ABN 63 114 782 777

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INVESTOR IDENTIFICATION FORMS

In 2006 the Federal Government enacted the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF). 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 Cromwell?

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 Cromwell-managed fund being issued, we 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 IDPS facility then they will request and collect any verification materials. If you are investing directly, you need to complete the identification form which relates to the type of entity making the investment:

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

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 for a complete list of Investor Identification 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 is allowed to certify AML/CTF Identification documents?

-
a Justice of the Peace
-
a member of the Institution of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants
-
a person who is enrolled 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 licenced or registered to practice 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 1993 – Schedule 2.
-

IDENTIFICATION FORM 1

INDIVIDUALS & SOLE TRADERS - 1



GUIDE TO COMPLETING THIS FORM

- Complete Sections 1, 2 and 3. Refer to Section 4 for the list of acceptable Identification Documents.
- Complete this form for each individual nominated on your application.
- Complete all applicable sections of this form in BLOCK LETTERS.
- Contact the Cromwell Investor Service Team on 1300 268 078 if you have any queries.

SECTION 1

PERSONAL DETAILS / INDIVIDUAL 1

Surname Date of Birth (dd/mm/yyyy)

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

SECTION 2

POLITICALLY EXPOSED PERSON (INDIVIDUAL OR BENEFICIAL OWNER)

Cromwell is required under the Anti-Money Laundering and Counter-Terrorism Financing Rules to determine if any customers or beneficial owners of customers are Politically Exposed Persons (as defined below).

If you answered "yes" above, please identify which limb of the definition of "politically exposed person" you meet. "Politically exposed person" means an individual:

(1) who holds a prominent public position or function in a government body or an international organisation, including:

(2) who is an immediate family member of a person referred to in paragraph (1) above, including:

Please confirm if you are a politically exposed person (as defined below). If yes, please select an option from one of the categories below.

Yes

No **Go to Section 3**

Head of State or head of a country or government; or

government minister or equivalent senior politician; or

senior government official; or

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; or

governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia; or

senior foreign representative, ambassador, or high commissioner; or

high-ranking member of the armed forces; or

board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and

a spouse; or

a de facto partner; or

a child and a child's spouse or de facto partner; or

a parent; and

(3) who is a close associate of a person referred to in paragraph (1), which means any individual who is known (having regard to information that is publicly available) to have:

- joint beneficial ownership of a legal entity or legal arrangement with a person referred to in paragraph (1);
or
- sole beneficial ownership of a legal entity or legal arrangement that is known to exist for the benefit of a person described in paragraph (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;
- (4) in this definition, owns means ownership (either directly or indirectly) of 25% or more of a person.

SECTION 3

TAX INFORMATION

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"/>
Country	TIN	If no TIN, list reason A, B or C
<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"/>

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.

SECTION 4

IDENTIFICATION DOCUMENTS (ORIGINALLY CERTIFIED COPIES TO BE PROVIDED)

Please attach an **originally certified**, legible copy of the ID documentation you are relying upon to confirm your identity (and any required translation).

Contact the Cromwell Investor Service Team on 1300 268 078 if you are unable do provide the required documents.

PART I

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*

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

PART II

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

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's 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 III

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

BOTH documents from this section must be presented

- Foreign driver's licence that contains a photograph of the person in whose name it 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.

SECTION 5

DECLARATION

By completing and signing this form I declare the tax information provided is accurate.

SIGNATURE

Name

Date

		/			/		
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IDENTIFICATION FORM 1

INDIVIDUALS & SOLE TRADERS - 2



GUIDE TO COMPLETING THIS FORM

- Complete Sections 1, 2 and 3. Refer to Section 4 for the list of acceptable Identification Documents.
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SECTION 1

PERSONAL DETAILS / INDIVIDUAL 2

Surname Date of Birth (dd/mm/yyyy)

Full Given Name(s)

Residential Address (PO Box is NOT acceptable)

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Suburb

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Postcode

Country

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Yes

No **Go to Section 3**

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government minister or equivalent senior politician; or

senior government official; or

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; or

governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia; or

senior foreign representative, ambassador, or high commissioner; or

high-ranking member of the armed forces; or

board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; and

a spouse; or

a de facto partner; or

a child and a child's spouse or de facto partner; or

a parent; and

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Date

		/			/		
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