



CROMWELL
FUNDS MANAGEMENT

INVESTOR IDENTIFICATION FORM UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

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ABN 63 114 782 777

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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 Cromwell?

As Cromwell Funds Management (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 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 Identification 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
Individual / Joint Investors (each applicant must complete a form)	IDENTIFICATION FORM: Individual & Sole Traders Form
Australian Companies	IDENTIFICATION FORM: Australian Companies Form
Australian Regulated Trusts (including Self Managed Super Funds)	IDENTIFICATION FORM: Australian Regulated Trusts (including Self Managed Super Funds) Form
Unregulated Australian Trusts and Foreign Trusts (e.g. Family, Unit and Testamentary Trusts)	IDENTIFICATION FORM: 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 for a complete list of Investor 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 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 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 <i>Statutory Declarations Regulations 1993</i> (Cth)– Schedule 2.

Politically exposed person (PEP) means an individual:

- who holds a prominent public position or function in a government body or an international organisation, including:
 - 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
- an immediate family member of a person referred to in paragraph (1), including:
 - a spouse; or
 - a de facto partner; or
 - a child and a child's spouse or de facto partner; or
 - a parent; and
- 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:
 - 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":

- an individual who owns or controls (directly or indirectly) a reporting entity;
- an individual who ultimately owns or controls (directly or indirectly) the customer;
- 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
- in this definition, "owns" means ownership (either directly or indirectly) of 25% or more of an entity.

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS



GUIDE TO COMPLETING THIS FORM

- This form is for Unregulated Australian Trusts and Foreign Trusts only. These include family trusts, charitable trusts, unit trusts and testamentary trusts. For Trusts that are subject to the oversight of an Australian regulator, complete the Australian Regulated Trusts form.
- Refer to Part 3 and 5 for the list of acceptable Identification Documents.
- Complete this form using BLACK INK and write clearly within the boxes in CAPITAL LETTERS.
- Contact the Cromwell's Investor Services Team on 1300 268 078 if you have any queries.

PART 1

TRUST DETAILS

1.1 GENERAL INFORMATION

Full name of trust

Full business name (if any)

Country where trust established

Full name of the settlor of trust

Unless:

- the material asset contribution to the trust by the settlor at the time the trust is established is less than \$10,000; or
- the settlor is deceased.

1.2 TYPE OF UNREGULATED TRUST

Select only ONE of the following types of unregulated trusts.

☐ **Family Trust**

☐ **Charitable Trust** (please use *Australian Companies Form* should the Charity not be structured based on a Trust Deed)

☐ **Testamentary Trust**

☐ **Unit Trust**

☐ **Other trust type**

Provide description

1.3 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. ☐

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

1.4 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. ☐

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

PART 2

TAX INFORMATION

2.1 TAX STATUS

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

Part 2 is not required for deceased estates (deceased estates can proceed to Part 3).

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 2.2 (Foreign Controlling Persons).
☐ No - Part 2 is now complete, proceed to Part 3.

CRS Participating Jurisdictions are on the OECD website at <http://www.oecd.org/tax/automatic-exchange>.

- ☐ **Australian Registered Charity or Deceased Estate.** If the Trust is an Australian Registered Charity or Deceased Estate Part 2 is complete, proceed to Part 3.
- ☐ **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.)
- If the Trust is a Foreign (non-Australian) Charity or an Active NFE, please proceed to Part 2.3 (Country of Tax Residency).
- ☐ **Other** (Trusts that are not previously listed – Passive Non-Financial Entities)
Please go to Part 2.2 (Foreign Controlling Persons).

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

2.2 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"/>

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 TIN's 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 2.3

2.3 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 3

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 TIN's 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 3

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 2).

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 the trustees:

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

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

PART 4

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

4.1 PERSONAL DETAILS

Surname

Full Given Name(s)

Date of Birth (dd/mm/yyyy)

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PART 5

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

Select from Part 5.1, or if the trustee does not own a document from Part 5.1, then select from either Part 5.2 or Part 5.3:

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 the individual does not own
a document from Part 6.1)*

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).

PART 5.3

*Acceptable foreign ID
documents
(should only be completed if
the individual does not own a
document from Part 6.1).*

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

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

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

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)

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

IDENTIFICATION FORM - UNREGULATED AUSTRALIAN TRUSTS & FOREIGN TRUSTS

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).

Please complete separate individual Identification Forms for each of the individuals listed.

Beneficial owner 1

Surname

Title

Full Given Name(s)

Beneficial owner 2

Surname

Title

Full Given Name(s)

Beneficial owner 3

Surname

Title

Full Given Name(s)

Beneficial owner 4

Surname

Title

Full Given Name(s)

PART 7

DECLARATION

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

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