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# DIMENSIONAL WHOLESALE TRUSTS

Application Form | 28 June 2019

Issuer: DFA Australia Limited ('Dimensional') ABN 46 065 937 671 Australian Financial Services Licence number: 238093

Date of Product Disclosure Statements: 28 June 2019

Definitions of certain capitalised terms used in this application form appear in the Glossary attached to the Additional Information Guide





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## SECTION 1 INTRODUCTION

Please complete all relevant sections of the application form in CAPITAL LETTERS and sign Section 13.1

Please email through your application form and Identification Information to Dimensional on sydney-operations@dimensional.com.au for review prior to mailing the original documents. Once approved your original application form and certified copies of Identification Information for initial investments MUST be mailed to the Unit Registry postal address. Dimensional will not accept an application form or Identification Information from a new investor via facsimile or email.

### 1.1 Are you an existing investor with Dimensional?

Yes (If yes, please provide existing account number and name)  No (Go to Section 1.2)

Existing account number:

Existing account name:

If any of your details have changed please complete the relevant sections for your investor type specified in Section 1.3.

If there are no changes to the details of your existing account, please complete Section 9 and sign Section 13.1

### 1.2 Anti Money Laundering and Counter Terrorism Financing Identification Information

As detailed in Section 1.1.4 of the Additional Information Guide, the AML/CTF Act and Rules oblige Dimensional to collect Identification Information from prospective Investors.

You or your Participating Adviser must submit the application form with the relevant supporting evidence of your identity ('Identification Information') as outlined in Section 12 and the Appendix. If the application form is not completed properly, or Dimensional is not satisfied with the Identification Information, Dimensional may request additional Identification Information or reject the application.

If you have already provided the required Identification Information to Dimensional, you do not need to resupply it with this application form.

### 1.3 Completing your application form based on Investor Type

Note that ONLY legal entities are allowed to hold units in the Trusts. Applications must be in the name of a natural person, company or a legal entity acceptable to Dimensional.

Please  your investor type and complete all referenced sections:

INVESTOR TYPE	SECTIONS
<input type="checkbox"/> Individual, which includes: <ul style="list-style-type: none"> <li>• Joint investors</li> <li>• Child/minor accounts</li> <li>• Sole traders</li> </ul>	2, 3, 6 to 13
<input type="checkbox"/> Company, which includes: <ul style="list-style-type: none"> <li>• Custodians/Wraps</li> </ul>	2, 4, 6 to 13
<input type="checkbox"/> Trust and Superannuation Fund, which includes: <ul style="list-style-type: none"> <li>• Individual(s) acting as Trustee(s) or Executor(s)</li> <li>• Company acting as Trustee(s)</li> <li>• Company acting as Nominee/Custodian</li> </ul>	2, 3, 5, 6 to 13 2, 4, 5, 6 to 13 2, 4, 5, 6 to 13
<input type="checkbox"/> Partnership	2, 4, 6 to 13
<input type="checkbox"/> Association	2, 4, 6 to 13
<input type="checkbox"/> Co-operative	2, 4, 6 to 13
<input type="checkbox"/> Government Body	2, 4, 6 to 13

## SECTION 2 INVESTOR DETAILS

You are not obliged to quote your Tax File Number (TFN) or Australian Business Number (ABN). However, if you do not quote either of them, Dimensional is required to deduct tax from your distributions at the highest marginal tax rate, plus the Medicare Levy. If you are exempt from quoting a TFN, please provide your reason for the exemption and your exemption number. All non-resident investors are required to provide their tax information in Section 6 of this application.

### 2.1 Residency status

Please  appropriate option:

Residency status for tax purposes:  Australian resident  Non-resident

## SECTION 3 INDIVIDUAL / INDIVIDUAL TRUSTEE(S) / SOLE TRADER(S)

### 3.1 Individual 1 (all fields are mandatory)

Title:  Mr  Mrs  Miss  Ms  Dr

Surname:

Given name(s):

Date of birth:  /  /

Tax file number:

OR reason for exemption:

Are you a 'Politically Exposed Person'?

(Politically Exposed Persons are individuals who occupy, or have occupied, prominent public positions, including prominent positions in international organisations both within and outside Australia, or their close family or associates). See full definition in the Appendix. Note, Dimensional may request additional information from you.

Yes  No

If you are a joint investor, go to Section 3.2  
Otherwise, go to Section 3.3

### 3.2 Individual 2 (for joint investors, all fields are mandatory)

Title:  Mr  Mrs  Miss  Ms  Dr

Surname:

Given name(s):

Date of birth:  /  /

Tax file number:

OR reason for exemption:

Are you a 'Politically Exposed Person'?

(Politically Exposed Persons are individuals who occupy, or have occupied, prominent public positions, including prominent positions in international organisations both within and outside Australia, or their close family or associates). See full definition in the Appendix. Note, Dimensional may request additional information from you.

Yes  No

Go to Section 3.3

### 3.3 Individual trustee(s)

Are you making this investment in your capacity as trustee(s)?

Yes (If yes, please complete Section 5 for trust details)

No (Go to Section 3.4)

### 3.4 Sole traders

Are you making this investment as a sole trader?

Yes (If yes, please provide business name and ABN)

No

Business name:

ABN:

[Go to Section 6](#)

**SECTION 4 COMPANY / CORPORATE TRUSTEE / ASSOCIATION / CO-OPERATIVE / PARTNERSHIP / GOVERNMENT BODY**

For accounts with multiple trustees, please submit a separate Section 4 with details of each additional trustee.

**4.1 Entity Details (all fields are mandatory)**

Full legal name:

Tax file number:

OR reason for exemption:

ABN/ACN/ARBN:

Country of establishment:

[Go to Section 4.2](#)

**4.2 Entity type**

Please  appropriate option:

ENTITY TYPE	YES	DETAILS
Listed company	<input type="checkbox"/>	Name of market: <input type="text"/>
Regulated company	<input type="checkbox"/>	Name of regulator and licence no: <input type="text"/> <input type="text"/>
Majority-owned subsidiary of an Australian listed company	<input type="checkbox"/>	Australian listed company name: <input type="text"/> Name of market: <input type="text"/>
Other company*	<input type="checkbox"/>	Provide description: <input type="text"/> Public: <input type="checkbox"/> Proprietary: <input type="checkbox"/>
Association*	<input type="checkbox"/>	Provide ID number issued by relevant registration body (if any): <input type="text"/> Incorporated: <input type="checkbox"/> Unincorporated: <input type="checkbox"/>
Co-operative*	<input type="checkbox"/>	Provide ID number issued by relevant registration body (if any): <input type="text"/>
Partnership*	<input type="checkbox"/>	Name of association regulating partnership and membership details (if any): <input type="text"/>
Government Body	<input type="checkbox"/>	Commonwealth of Australia: <input type="checkbox"/> Australian State or Territory: <input type="checkbox"/> Foreign country: <input type="checkbox"/> Provide name of legislation establishing the government body: <input type="text"/>

\* Go to Section 4.2a  
Otherwise, go to Section 4.3

### 4.2a Beneficial Owner details

'Beneficial Owner' means an individual (natural person) who ultimately owns or controls (directly or indirectly) the investor. '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 policies. 'Owns' means ownership (either directly or indirectly) of 25% or more of the investor.

Full name:

Residential address of the Beneficial Owner (P.O. Box not accepted):

Date of birth:  /  /

Are you a 'Politically Exposed Person'?  
(Politically Exposed Persons are individuals who occupy, or have occupied, prominent public positions, including prominent positions in international organisations both within and outside Australia, or their close family or associates). See full definition in the Appendix. Note, Dimensional may request additional information from you.

Yes  No

If there is more than one Beneficial Owner, please provide additional Beneficial Owner details on a separate piece of paper that is marked with the investor's name and include it with this application form.

[Go to Section 4.3](#)

### 4.3 Corporate trustee

Are you making this investment as a corporate trustee?

Yes (go to Section 5)  No (go to Section 6)



**SECTION 5 TRUST / SUPERANNUATION FUND / DECEASED ESTATE / OTHER**

**5.1 Trust Details**

A trust or superannuation fund is not a legal entity and cannot be the registered investor in its own right. The trustee must be the registered investor. An application form cannot be accepted where the trustee details are missing.

Please  the relevant category below:

- Individual trustee(s) ensure Section 3 is completed
- Corporate trustee(s) ensure Section 4 is completed

Full name of Trust:

Full name of Trustee:

Tax file number of Trust:

OR reason for exemption:

ABN/ACN/ARBN of Trust:

Country of establishment:

Go to Section 5.2

**5.2 Type of Trust**

Please  appropriate option:

TRUST TYPE	YES	DETAILS
<b>Regulated Trusts</b>		
Registered managed investment scheme	<input type="checkbox"/>	Provide ARSN: <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Australia APRA regulated trust or fund (industry, retail or public sector fund)	<input type="checkbox"/>	Provide SFN: <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Self-managed superannuation fund (SMSF)	<input type="checkbox"/>	Provide ABN: <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Government superannuation fund	<input type="checkbox"/>	Provide name of legislation establishing the fund: <input style="width: 400px; height: 20px;" type="text"/>
Non-Australian pension fund	<input type="checkbox"/>	Provide name of regulator/ registration/licence details: <input style="width: 400px; height: 20px;" type="text"/>
Master fund (IDPS platforms such as WRAP's and Master Trusts)	<input type="checkbox"/>	Provide name of regulator: <input style="width: 400px; height: 20px;" type="text"/>

*Continued on next page*

## 5.2 Type of Trust (continued)

Please  appropriate option:

TRUST TYPE	YES	DETAILS
<b>Unregulated Trusts</b>		
Family trust*	<input type="checkbox"/>	Provide full name of the 'Settlor' of the trust (if applicable, see below): <input type="text"/> (Provide certified copy or certified extract of the trust deed)
Charitable trust*	<input type="checkbox"/>	Provide full name of the 'Settlor' of the trust (if applicable, see below): <input type="text"/> (Provide certified copy or certified extract of the trust deed)
Deceased Estate	<input type="checkbox"/>	(Provide certified copy of the death certificate or Grant of Probate/Letters of Administration)
Other trust*	<input type="checkbox"/>	Provide full name of the 'Settlor' of the trust (if applicable, see below): <input type="text"/> (Provide certified copy or certified extract of the trust deed)

**Settlor of the trust (i.e. the grantor or donor of the trust):** provide details of the Settlor of the trust if they contributed \$10,000 or more to the trust and they are alive at the date of this application.

\*Go to Section 5.2a  
Otherwise, go to Section 6

### 5.2a Beneficial Owner details (if Unregulated Trust type is selected in Section 5.2)

'Beneficial Owner' means an individual (natural person) who ultimately owns or controls (directly or indirectly) the investor. '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 policies. 'Owns' means ownership (either directly or indirectly) of 25% or more of the investor.

Full name:

Residential address of the Beneficial Owner (P.O. Box not accepted):

Street Address:

Suburb:  State:

Postcode:  Country:

Date of birth:   /   /

Is the Beneficial Owner a 'Politically Exposed Person'?

(Politically Exposed Persons are individuals who occupy, or have occupied, prominent public positions, including prominent positions in international organisations both within and outside Australia, or their close family or associates). See full definition in the Appendix. Note, Dimensional may request additional information from you.

Yes  No

If there is more than one Beneficial Owner, please provide additional Beneficial Owner details on a separate piece of paper that is marked with the investor's name and include it with this application form.

Go to Section 6

**SECTION 6 FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) AND COMMON REPORTING STANDARD (CRS) - MANDATORY**

The collection of personal information in this Section is in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Organisation for Economic Cooperation and Development (OECD) Common Reporting Standard (CRS).

If you do not provide the requested information, Dimensional will not be able to accept your application.

Kindly tick the appropriate box below relating to your application;

- Individual, sole trader or deceased estate \*
- Entity (e.g. company, trust, partnership, association, registered co-operative or government body).

\*Go to Section 6.1  
Otherwise, go to Section 6.2

**6.1 FATCA/CRS certification of individual, joint individual, sole trader or deceased estate**

**(A)** Is the account to be held by an individual acting in the capacity of executor or administrator of a deceased estate?

- Yes – ensure one of the following supporting documents have been submitted with your application;
  - Certified copy of the death certificate or Grant of Probate/Letters of Administration

If you selected Yes above, your FATCA/CRS certification is complete.

Go to Section 7

- No – proceed to question B.

**(B)** Is/are all of the individual applicants (including the person/s for whom the account will be held e.g. a children's account) a citizen or a resident for tax purposes in a country other than Australia?

- Yes – provide the Foreign Individual Investors and Individual Beneficial Owner details below. Note: If an individual is both an Australian and a foreign tax resident, or a tax resident of more than one foreign country, you must also provide this information.

- No – your FATCA/CRS certification is complete and no further information is required.

Go to Section 7

- Only some of the individuals are Australian tax residents:

- For those Individuals who are Australian tax residents only, no further information is required
- For the remaining individuals (ie who are NOT solely Australian tax residents), please provide the Foreign Individual Investors and Individual Beneficial Owner details below.

**Foreign Individual Investor(s) and Individual Beneficial Owner(s) details**

Please provide ALL information, including your foreign TIN (Taxpayer Identification Number), or exclusions, as relevant.

Full name of individual 1:	<input type="text"/>								
Date of Birth:	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>
Street address (P.O. Box not accepted):	<input type="text"/>								
Country 1 of tax residency:	<input type="text"/>				Country 2 of tax residency:	<input type="text"/>			

Continued on next page

**6.1 FATCA/CRS certification of individual (continued)**

**TIN 1** ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■

If you do not have a TIN (or equivalent) select one of the following:

- The country of tax residency does not issue TINs to tax residents
- The individual has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

**TIN 2** ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■

If you do not have a TIN (or equivalent) select one of the following:

- Country does not require the TIN to be disclosed
- The individual has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

Full name of individual 2:											
Date of Birth:	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street address (P.O. Box not accepted):											
Country 1 of tax residency:						Country 2 of tax residency:					

**TIN 1** ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■

If you do not have a TIN (or equivalent) select one of the following:

- The country of tax residency does not issue TINs to tax residents
- The individual has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

**TIN 2** ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■ ■■■

If you do not have a TIN (or equivalent) select one of the following:

- The country of tax residency does not issue TINs to tax residents
- The individual has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

**Please provide additional Beneficial Owner details on a separate piece of paper that is marked with the investor’s name and include it with this application form.**

Go to Section 7

## 6.2 FATCA and CRS certification of an entity

Answer questions A, B & C (where applicable) if you are one of the following entities:

- A company or other incorporated body, or
- Another type of entity e.g. a trust, partnership, cooperative or association etc., or
- An individual/s that will hold the account on behalf of another entity that is a superannuation fund, trust, partnership, government body, co-operative, association or other type of entity.

**(A)** Is the entity registered for Australian tax purposes?

- Yes (If yes, ensure your ABN, ACN or ARBN has been provided in Section 4.1 and go to question B)  No (Go to question B)

**(B)** Is this account holder a US citizen or a resident for tax purposes in a country other than Australia?

- Yes (provide ALL information below, including your foreign TIN (Taxpayer Identification Number), or exclusions, as relevant)  No (Go to Section 6.3)

Country of tax residency 1:	<input type="text"/>
Address:	<input type="text"/>

**TIN 1**

If you do not have a TIN (or equivalent) select one of the following:

- The country of tax residency does not issue TINs to tax residents
- The entity has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

Country of tax residency 2:	<input type="text"/>
Address:	<input type="text"/>

**TIN 2**

If you do not have a TIN (or equivalent) select one of the following:

- The country of tax residency does not issue TINs to tax residents
- The entity has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

**(C)** If you answered Yes to question B above, is the account holder a "specified US person"?

Definition of "specified US person" can be found in the glossary of our Additional Information Guide on our public site <https://au.dimensional.com/funds>

- Yes  No

[Go to Section 6.3](#)

**6.3 Entity classification**

Please  appropriate classification:

<input type="checkbox"/>	<p><b>An Australian regulated superannuation fund</b> (including a complying SMSF), retirement or pension fund.</p> <p>Please ensure you have provided the fund's ABN in Section 4.1 to complete your certification.</p> <p>If you selected this option, your certification is complete.</p>	<a href="#">Go to Section 7</a>
<input type="checkbox"/>	<p><b>An account held by an entity acting in the capacity of executor or administrator of a deceased estate.</b></p> <p>Ensure one of the following supporting documents have been submitted with your application:</p> <ul style="list-style-type: none"> <li>• Certified copy of the death certificate or Grant of Probate/Letters of Administration</li> </ul> <p>If you selected this option, your certification is complete.</p>	<a href="#">Go to Section 7</a>
<input type="checkbox"/>	<p><b>Public Listed Company, or a Majority Owned Subsidiary of a Public Listed company or Registered Charity</b> (includes public listed companies or majority owned subsidiaries of listed companies that are not Financial Institutions).</p> <p>Please ensure entity's details are provided in Section 4.2</p> <p>If you selected this option, your certification is complete.</p>	<a href="#">Go to Section 7</a>
<input type="checkbox"/>	<p><b>Not a Financial Account.</b> Certain accounts are NOT considered to be 'Financial Accounts' for the purposes of CRS and FATCA. These include:</p> <ul style="list-style-type: none"> <li>• An Employee Share Scheme or Trust as defined in the Income Tax Assessment Act 1997</li> <li>• An Escrow Account established in connection with a court order or judgment, or a sale, exchange, or lease of real or personal property where certain requirements have been met</li> </ul> <p>If you selected this option, your certification is complete.</p>	<a href="#">Go to Section 7</a>
<input type="checkbox"/>	<p><b>Exempt Beneficial Owner.</b> Under CRS and FATCA, an Exempt Beneficial Owner includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Australian government organisation or agency</li> <li>• Reserve Bank of Australia</li> <li>• International (including intergovernmental) organisation</li> </ul> <p>If you selected this option, your certification is complete.</p>	<a href="#">Go to Section 7</a>
<input type="checkbox"/>	<p><b>Financial institution.</b> Includes:</p> <ul style="list-style-type: none"> <li>• Depository institution</li> <li>• Investment entity</li> <li>• Specified insurance company</li> <li>• Custodian institution</li> </ul>	

**Provide your Global Intermediary Identification Number (GIIN)\***

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\* If GIIN not available, answer the following questions (A, B & C) on the following page.

[Go to Section 7](#)

**6.3 Entity classification (continued)**

**Financial institution (continued)**

**(A)** If you do not have a GIIN, what is your financial institution status? (tick one):

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Non-Reporting IGA Financial Institution
- Non-participating Financial Institution
- Other (describe the entity's FATCA Status in the box provided)

**(B)** Are you an Investment Entity (financial institution) located in a non-CRS participating jurisdiction and professionally managed by another financial institution? (Please refer to the Australian Tax Office (ATO) website for a list of CRS Participating Jurisdictions):

- Yes (Go to question C & Complete Section 6.5)
- No (Go to question C)

**(C)** Is the registered holder of this account also a financial institution?

- Yes (provide the GIIN below for the registered holder)
- No\*

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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\*If the registered holder does not have a GIIN, what is its financial institution status? (tick one):

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Non-participating Financial Institution
- Other (describe the entity's FATCA Status in the box provided)

Go to Section 7

**Non-Financial Entity (NFE) or (NFFE).** This includes the following entity types:

- Private or proprietary company that is NOT a financial institution
- Public unlisted company that is NOT a financial institution
- Partnership
- Trust
- Co-operative
- Association or club
- Non-registered charitable organisation
- Other type of entity

Go to Section 6.4

**6.4 NFE/NFFE entities**

An entity is Active if it derives more than 50% of its income from the sale of goods or services AND it uses more than 50% of its assets to generate income from the sale of goods or services. An NFE is Passive if it does not fit the description of an Active entity OR is a professionally-managed investment entity located in a non-participating CRS (Common Reporting Standard) jurisdiction.

**(A) Is the NFE/NFFE Active or Passive?**

Active (Go to Section 7)

Passive (Go to question B)

**(B) If the NFE/NFFE is Passive, are any of the entity's Beneficial Owners or Controlling Persons tax residents of countries other than Australia?**

Yes (provide the details of these individuals in Section 6.5)

No (Go to Section 7)

**6.5 Beneficial Owner(s) Details**

**Entity foreign \*\*Beneficial owner(s) details** (NB only foreign entities, Passive NFEs/NFFEs need to complete this section).

Please provide ALL information, including your foreign TIN (Taxpayer Identification Number) or exclusions, as relevant.

Full name of individual 1:											
Date of Birth:	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street address (P.O. Box not accepted):											
Country 1 of tax residency:	<input type="text"/>					Country 2 of tax residency:	<input type="text"/>				

**TIN 1**

If you do not have a TIN (or equivalent):

The country of tax residency does not issue TINs to tax residents

The individual has not been issued with a TIN

The country of tax residency does not require the TIN to be disclosed

**TIN 2**

If you do not have a TIN (or equivalent):

The country of tax residency does not issue TINs to tax residents

The individual has not been issued with a TIN

The country of tax residency does not require the TIN to be disclosed



**6.5 Beneficial Owner(s) (continued)**

Full name of individual 2:											
Date of Birth:	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street address (P.O. Box not accepted):											
Country 1 of tax residency:	<input type="text"/>					Country 2 of tax residency:	<input type="text"/>				

**TIN 1**

If you do not have a TIN (or equivalent):

- The country of tax residency does not issue TINs to tax residents
- The individual has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

**TIN 2**

If you do not have a TIN (or equivalent):

- The country of tax residency does not issue TINs to tax residents
- The individual has not been issued with a TIN
- The country of tax residency does not require the TIN to be disclosed

\*\* 'Beneficial Owner' means an individual (natural person) who ultimately owns or controls (directly or indirectly) the investor. '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 policies. 'Owns' means ownership (either directly or indirectly) of 25% or more of the investor.

Go to Section 7

## SECTION 7 INVESTOR CONTACT DETAILS

An individual applicant is required to supply his/her residential address. Business applicants are required to supply the registered office address and principal place of business address. The Corporations Act 2001 requires Dimensional to record the applicant's address and to provide disclosure and periodic statements directly to the investor. Dimensional will not accept an applicant's residential or registered address that is care of an agent who is a financial services licensee or an authorised representative or employee of a financial services licensee.

### 7.1 Residential address details (mandatory): PO Box not accepted

Street address:	<input type="text"/>		
c/- (if applicable):	<input type="text"/>		
Suburb:	<input type="text"/>		
State:	<input type="text"/>	Postcode:	<input type="text"/>
Country (if not Australia):	<input type="text"/>		

### 7.1a Contact details for Individual 1 or Primary contact (mandatory)

Telephone (Home):	<input type="text"/>	Telephone (Business):	<input type="text"/>
Telephone (Mobile):	<input type="text"/>		
Email:	<input type="text"/>		
Facsimile:	<input type="text"/>		

The Unit Registry's default communication is via email. If you have provided us with your email address, you are consenting to Dimensional using this email address to provide you with information about your investment (such as transaction confirmations, statements, reports and other materials or notifications required by the Corporations Act) or Dimensional's products, services and offers. You agree that Dimensional may use your email address to provide you with a PDS, including by notifying you when a PDS has been published on its website and how you can download it. You may at any time unsubscribe from receiving disclosures from Dimensional, in which case you will receive disclosures by mail. If you would prefer to receive paper copies via mail, tick the box below.

Opt out of electronic correspondence

[Go to Section 7.2](#)

### 7.1b Contact details for Individual 2 (mandatory if applicable to the application)

Telephone (Home):	<input type="text"/>	Telephone (Business):	<input type="text"/>
Telephone (Mobile):	<input type="text"/>		
Email:	<input type="text"/>		
Facsimile:	<input type="text"/>		

The Unit Registry's default communication is via email. If you have provided us with your email address, you are consenting to Dimensional using this email address to provide you with information about your investment (such as transaction confirmations, statements, reports and other materials or notifications required by the Corporations Act) or Dimensional's products, services and offers. You agree that Dimensional may use your email address to provide you with a PDS, including by notifying you when a PDS has been published on its website and how you can download it. You may at any time unsubscribe from receiving disclosures from Dimensional, in which case you will receive disclosures by mail. If you would prefer to receive paper copies via mail, tick the box below.

Opt out of electronic correspondence

[Go to Section 7.2](#)

**7.2 Address for correspondence (leave blank if same as Section 7.1)**

Street address:

Suburb:

State:  Postcode:

Country (if not Australia):

[Go to Section 7.3](#)

**7.3 Principal place of business (business applicants only)**

Street address:

Suburb:

State:  Postcode:

Country (if not Australia):

Telephone (Business):  Fax:

Email:

[Go to Section 8](#)

**SECTION 8 ANNUAL REPORT**

Please  appropriate option:

- I/We would like to be notified by email when the annual report is available on the Dimensional website
- I/We would like to receive a printed copy of the annual report in the mail each year
- I/We do not want to be notified by email, and do not want to receive a printed copy in the mail

Note: If you do not select an option you are expressly consenting to receiving the annual report electronically, and you are choosing not to receive a printed copy of these documents in the mail. When the annual report is ready, Dimensional will notify you how to access an electronic copy of these documents.

[Go to Section 9](#)

**SECTION 9 INVESTMENT DETAILS****9.1 Investment amounts for applications made in Australian dollars (AUD)**

<b>Initial Investment</b> Minimum initial investment is \$25,000	<b>Additional Investment</b> Minimum additional investment is \$5,000
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Dimensional may refuse any investment which would not result in the investor having an account balance across all Dimensional Wholesale Trusts of at least \$500,000. Dimensional has discretion to accept lesser amounts.

A contribution fee may be charged and deducted from each investment amount. Please see section 6 of the relevant PDS for details.

If you do not make a distribution election, distributions will automatically be reinvested in additional units in the relevant Trust.

APIR Code	Fund Name	Fund Code	Investment Amount (A\$)	Distribution Option Please <input checked="" type="checkbox"/> option:	
			Currency	Reinvest	Deposit in Nominated Account
DFA0100AU	Dimensional Short Term Fixed Interest Trust	DFA01	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0002AU	Dimensional Two-Year Diversified Fixed Interest Trust - AUD Class	DFA02	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0108AU	Dimensional Five-Year Diversified Fixed Interest Trust - AUD Class	DFA03	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0005AU	Dimensional Global Real Estate Trust - Unhedged Class	DFA05	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0003AU	Dimensional Australian Core Equity Trust	DFA06	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0101AU	Dimensional Australian Value Trust	DFA07	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0103AU	Dimensional Australian Large Company Trust	DFA08	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0104AU	Dimensional Australian Small Company Trust	DFA09	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA2068AU	Dimensional Australian Sustainability Trust	DFA30	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0004AU	Dimensional Global Core Equity Trust - Unhedged Class	DFA10	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0009AU	Dimensional Global Core Equity Trust - AUD Hedged Class	DFA11	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0102AU	Dimensional Global Value Trust	DFA13	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0105AU	Dimensional Global Large Company Trust	DFA14	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0106AU	Dimensional Global Small Company Trust	DFA15	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0107AU	Dimensional Emerging Markets Trust	DFA16	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0028AU	Dimensional Global Bond Trust - AUD Class	DFA17	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA8313AU	Dimensional World Allocation 30/70 Trust	DFA31	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0029AU	Dimensional World Allocation 70/30 Trust	DFA19	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0033AU	Dimensional World Allocation 50/50 Trust	DFA20	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0035AU	Dimensional World Equity Trust	DFA21	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0036AU	Dimensional Australian Core Imputation Trust	DFA22	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0041AU	Dimensional Global Sustainability Trust Unhedged Class	DFA23	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0042AU	Dimensional Global Sustainability Trust AUD Hedged Class	DFA24	A\$	<input type="checkbox"/>	<input type="checkbox"/>
DFA0642AU	Dimensional Global Bond Sustainability Trust - AUD Class	DFA28	A\$	<input type="checkbox"/>	<input type="checkbox"/>
<b>TOTAL</b>			A\$		

Please refer to Section 9.2 for New Zealand funds.

## 9.2 Investment amounts for applications made in New Zealand dollars (NZD)

<b>Initial Investment</b> Minimum initial investment is \$25,000	<b>Additional Investment</b> Minimum additional investment is \$5,000
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Dimensional may refuse any investment (i) which would not result in the investor having an account balance across all Dimensional Wholesale Trusts of at least \$500,000; or (ii) in NZD class units by an investor who is not a wholesale client under the Corporations Act. Dimensional has discretion to accept lesser amounts.

A contribution fee may be charged and deducted from each investment amount. Please see section 6 of the relevant PDS for details.

If you do not make a distribution election, distributions will automatically be reinvested in additional units in the relevant Trust.

APIR Code	Fund Name	Fund Code	Investment Amount (NZ\$)		Distribution Option Please <input checked="" type="checkbox"/> option:	
			Currency	Reinvest	Deposit in Nominated Account	
DFA0045AU	Dimensional Two-Year Diversified Fixed Interest Trust - NZD Class	DFA26	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
DFA0001AU	Dimensional Five-Year Diversified Fixed Interest Trust - NZD Class	DFA04	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
DFA0044AU	Dimensional Global Real Estate Trust - NZD Hedged Class	DFA27	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
DFA0039AU	Dimensional Global Core Equity Trust - NZD Hedged Class	DFA12	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
DFA0038AU	Dimensional Global Bond Trust - NZD Class	DFA18	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
DFA0043AU	Dimensional Global Sustainability Trust NZD Hedged Class	DFA25	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
DFA6872AU	Dimensional Global Bond Sustainability Trust - NZD Class	DFA29	NZ\$	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTAL</b>			NZ\$			

[Go to Section 9.3](#)

### 9.3 How to invest

Please  how payment will be made:

<input type="checkbox"/>	<p><b>Cheque</b> Please make cheques payable to:</p> <p><b>'Dimensional Wholesale Trusts (1017E App Acct)'</b> and crossed not negotiable. Please send the completed application form, Identification Information (if applicable – refer to Section 12 and the Appendix) and cheque to the Unit Registry (Please refer to Section 13.2 for postal address).</p> <p>Note: Cheques cannot be accepted in New Zealand dollars.</p> <p>Please note that Dimensional only accepts cheque applications after cleared funds are available. Dimensional reserves the right to waive this condition at its discretion. Cheques generally require several business days to clear.</p>
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<input type="checkbox"/>	<b>Electronic Transfer</b>	
	<b>For Australian dollar transfers</b>	<b>For New Zealand dollar transfers</b> (only for NZD class units)
	<p><b>Account name:</b> Dimensional Wholesale Trusts (AUD 1017E App Acct)</p> <p><b>Bank:</b> Citibank NA, Australia</p> <p><b>BSB:</b> 242 000</p> <p><b>Account Number:</b> 214274027</p> <p><b>Swift code:</b> CITIAU2X</p>	<p><b>Account name:</b> Dimensional Wholesale Trusts (NZD 1017E App Acct)</p> <p><b>Bank:</b> Citibank NA, Australia</p> <p><b>BSB:</b> 242 000</p> <p><b>Account Number:</b> 214274035</p> <p><b>Swift code:</b> CITIAU2X</p> <p><b>Intermediary bank Swift code:</b> CITINZ2X</p>

Notes:

- Please quote your eight digit investor number as a payment description for electronic application payments (existing investors only).
- Please fax (existing investors only) OR mail your completed application form to the contact details specified in Section 13.2 of the application form.
- Original documentation for initial investments MUST be mailed to the Unit Registry postal address.

[Go to Section 10](#)

**SECTION 10 REDEMPTION AND DISTRIBUTION BANK DETAILS**

All nominated bank account(s) must be in the name of the investor. If the investor is a trustee, the bank account name should include the name of the trustee.

**10.1 Redemption bank account details (mandatory)**

Please  appropriate option:

Australia dollar bank account       New Zealand dollar bank account

Name of bank:

Full account name:

BSB:

Account No:

Swift Code

(for NZD accounts only):

[Go to Section 10.2](#)

**10.2 Distribution bank account details (if different to redemption account in Section 10.1)**

Please  appropriate option:

If you do not make a distribution election in Section 9.1 and/or Section 9.2, distributions will automatically be reinvested in additional units in the relevant Trust.

Australia dollar bank account       New Zealand dollar bank account

Name of bank:

Full account name:

BSB:

Account No:

Swift Code

(for NZD accounts only):

[Go to Section 11](#)

## SECTION 11 ADVISER CONTACT DETAILS

If you are making this investment via a Participating Adviser, please complete the following details. Where an adviser is noted on your account, Dimensional may provide information about your investment to that adviser (including online access), unless you notify us otherwise.

Licensed adviser entity:	<input type="text"/>	AFSL no:	<input type="text"/>
Individual adviser:	<input type="text"/>	Adviser no (if applicable):	<input type="text"/>
Mailing address:	<input type="text"/>		
Suburb:	<input type="text"/>	State:	<input type="text"/>
Postcode:	<input type="text"/>	Country:	<input type="text"/>
Telephone (Business):	<input type="text"/>	Fax:	<input type="text"/>
Telephone (Mobile):	<input type="text"/>		
Email:	<input type="text"/>		

The Unit Registry's default communication is via email. If you have provided us with your adviser's email address, you are consenting for your adviser to receive information about your investment (such as transaction confirmations, statements, reports and other materials or notifications required by the Corporations Act) or Dimensional's products, services and offers. If your adviser prefers paper copies via mail, tick the box below.

Opt out of electronic correspondence.

[Go to Section 12](#)



**SECTION 12 INVESTOR IDENTIFICATION**

Under the AML/CTF Act and Rules, Dimensional is obligated to collect Identification Information from investors.

If you have provided Identification Information previously, then you do not need to provide additional Identification Information unless your details have changed

**12.1 Is this investment made via a Participating Adviser?**

Please  appropriate option:

- Yes**, I have applied through a Participating Adviser (See Section 1.1.2 of the Additional Information Guide). The Participating Adviser must complete Section 12.2 of the application form.
- No**, I am NOT investing through a Participating Adviser. Please refer to the Appendix of the application form for the Identification Information requirements. (Go to Section 13)

**12.2 AML/CTF investor identification certification (Participating Adviser to complete)**

In accordance with Part 7.2 of the AML/CTF Rules, Dimensional is relying upon you to verify the identity of the investor and where relevant any Beneficial Owners or Politically Exposed Persons (collectively "Applicant").

In verifying the identity of the Applicant:

- I confirm that I have complied with the requirements of the AML/CTF Act and Rules (as defined in the Additional Information Guide).
- I understand that I am legally required to have verified the identity of the Applicant prior to providing the designated service (that is, arranging for the Applicant to invest in the Trusts).
- I acknowledge that, as permitted by the AML/CTF Act and Rules, Dimensional will rely on the Applicant identification that I conduct. Unless requested, Dimensional does not require certified copies or originals of documents used by me to verify the identity of an Applicant.
- Dimensional may (as required) seek additional information from me or the Applicant to verify the identity of the Applicant.
- I acknowledge that Dimensional will not accept an application until it is satisfied that the identity of the Applicant is verified.
- I confirm that, in accordance with the requirements of the AML/CTF Act and Rules, I will retain all documentation (for up to seven years after our relationship with the Applicant has ended) used by me to verify the identity of the Applicant, and will grant Dimensional access to such documents upon request.

Please attach a copy of the appropriate FPA/FSC identification form.

I confirm that I have verified the identity of the Applicant in accordance with the AML/CTF Act and Rules.

I have read, understood and agreed to comply with the above:  
Signed (must be signed by the Participating Adviser)

Sign here

Date:   /   /

Go to Section 13

**SECTION 13 DECLARATIONS AND SIGNATURES**

The following declarations are made by an investor and where an investor is not an individual, by the authorised signatories acting for and on behalf of an investor entity (which includes companies, trusts and partnerships).

- I/We must pay application monies equal to the total investment amount plus any applicable fees payable at the time of submission of this application form (**Application Monies**), in accordance with the PDS for the relevant Trusts that I am /we are investing in (**Relevant Trusts**) and this application form;
- I/We have personally received the PDS and Additional Information Guide for each Relevant Trust in Australia or New Zealand\* and read the PDS and Additional Information Guide (which forms part of the PDS) for each Relevant Trust in Australia or New Zealand\* (either printed or by electronic means) accompanied by or attached to the application form;
- If I am/we are investing or will invest in the Trusts via the Investment Portal (as described in the PDS), I/we have accessed, read and accepted the terms and conditions for the Investment Portal available on Dimensional's public web site at [www.dimensional.com.au](http://www.dimensional.com.au);
- I/We have read Section 8 covering 'Privacy' in the PDS for each Relevant Trust, and Dimensional's Privacy Policy available at <https://au.dimensional.com/privacy-policy> (**Privacy Policy**) and agree Dimensional may collect, use and/ or disclose information about me/us of the type and in the manner referred to in that section and in accordance with the Privacy Policy;
- I/We acknowledge that my/our instructions to any financial institution to electronically transfer Application Monies to the application account provided in this application form are not processed instantly; inherent limitations in the banking system can delay the receipt and identification of my/ our Application Monies and Dimensional does not accept any responsibility for deposits it does not know about or otherwise not made known to Dimensional including, without limitation, Application Monies that have been deposited in the application account but are only made known to Dimensional at a later date and/or time (regardless if such deposits are recorded with an earlier deposit date and/or time);
- I/We agree to indemnify Dimensional and the Trust(s) against any liability, losses, damages, costs and expenses reasonably suffered or incurred by Dimensional or the Trust(s) (whether arising in contract or tort (including negligence) or under any statute or under any other cause of action) in the event that Application Monies are not received in cleared funds. Such costs could for example include losses incurred by the Trusts as a direct result of adverse market movement where Dimensional exercises its discretion to enter into transactions on behalf of the Trusts in anticipation of the receipt of cleared funds;
- I am/We are not, nor to the best of my/our knowledge are any Beneficial Owners or Controlling Persons, commonly known by any other names different to those disclosed in this application form;
- I/We have read Section 1.1.4 of the Additional Information Guide for each Relevant Trust titled 'Anti-money laundering' and have provided my/ our Participating Adviser with certified copies of acceptable Identification Information OR I/We are not investing through a Participating Adviser, and therefore have included certified copies of acceptable Identification Information with this completed application form as described in the Appendix to the application form;
- I/We declare that I/We are not aware and have no reason to suspect that the Application Monies have been derived from, or are related to, money laundering activities or the financing of terrorism (as those terms are defined in the AML/CTF Act and Rules);
- I/We agree to be bound by the PDS and Additional Information Guide, and the relevant Constitution, for each Relevant Trust (as amended from time to time);
- Neither Dimensional nor any of its related bodies corporate or associates guarantees the repayment of capital invested in, or the performance of, any Trust;
- If I am/We are an individual(s), that I am/we are aged 18 years or over;
- It is my/our sole responsibility to keep Dimensional updated with any changes to my/our personal or bank account details;
- If I/We have accessed an electronic version of the PDS and Additional Information Guide for each Relevant Trust, I/We have only accessed that PDS and Additional Information Guide for each Relevant Trust from within Australia or New Zealand\*;
- If this application is by a body corporate, this application form is signed in accordance with its constitution and the Corporations Act; and
- If I am/we are signing this application form under a power of attorney, no notice of revocation of that power has been received and the donor that appointed me/us is still living.

Unless otherwise disclosed expressly to the contrary in this application form:

- I/We am/are not a United States citizen or a resident of the United States for taxation purposes (**US Person**) or otherwise a resident of a country other than Australia;
- No person or entity controlling, owning or otherwise holding an interest in me/us is a US Person or otherwise a resident of a country other than Australia;
- I/We will not be receiving any financial product referred to in, or contemplated by, the PDS for each Relevant Trust or any payment in connection therewith for the account or benefit of a US Person or otherwise a resident of a country other than Australia;
- I/We agree to promptly provide Dimensional with any information it may request from me/us from time to time, including information it requires to comply with its obligations under the Foreign Account Tax Compliance Act (**FATCA**) and the Agreement between the Government of Australia and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA entered into on 28 April 2014 and any related Australian Law or guidance implementing the same (**FATCA IGA**);
- I/We agree to promptly provide Dimensional with any information it may request from me/us from time to time, including information it requires to comply with its obligations under the Common Reporting Standard (**CRS**) in order to assist in exchanging financial account information on foreign tax residents;
- I/We agree to promptly notify Dimensional of any change to the information I/We have previously provided Dimensional including any changes which result in a person or entity, controlling or otherwise holding an interest in me/us who is a US person or otherwise a resident of a country other than Australia;
- I/We consent to Dimensional using and/or disclosing any information it has in compliance with its obligations under the FATCA IGA and CRS. This may include disclosing information to the Australian Taxation Office, who may in turn report that information to the US IRS or alternatively, any other regulatory tax body participating under the CRS framework;
- I/We waive any provision of domestic or foreign law that would, absent a waiver, prevent Dimensional from complying with its obligations under FATCA, the FATCA IGA or CRS regime.

\*Except for the Dimensional Australian Core Imputation Trust which is not currently registered or offered in New Zealand.

### 13.1 Account signing authorities

Please indicate below who can give Dimensional instructions in relation to your investment. If you do not tick one of the options, all instructions must be signed by all the signatories below, or as otherwise permitted by law. You must provide a certified copy of all authorised signatories.

Please  one option:

Either Signatory 1 and 2      OR       Signatory 1 and 2      OR       Separate signatories list

Signatory 1:

Sign here

Date:   /   /

Name and Title (Director/Secretary/Sole Director/Trustee/Power of Attorney) – mandatory for corporate investors:\*

Signatory 2:

Sign here

Date:   /   /

Name and Title (Director/Secretary/Sole Director/Trustee/Power of Attorney) – mandatory for corporate investors:\*

\* Please state your name and title in the company beneath your signature (e.g. director, secretary, sole director)

#### Signing the application form

INVESTOR TYPE	REQUIRED SIGNATURE(S)
Individual Investor	Where the investment is in one name, the investor must sign
Joint investors	Must be signed by both investors
Corporate investors / Corporate Trustee	A) Two directors; or B) A director and secretary, or C) A director (if signing as a sole director and sole company secretary of a proprietary company)
Superannuation/Trust	Each trustee must sign
Power of attorney	Please enclose an originally certified copy of the Power of Attorney with your application form. The attorney certifies that he/she has not received notice of revocation of that power.

### 13.2 Contact details

Post applications to:

**Citi Unit Registry Australia**  
GPO Box 764  
Melbourne VIC 3001

Fax applications to:

**Citi Unit Registry Australia**  
Toll Free: 1300 886 407 (Australia)  
Toll: +61 1300 886 407 (International) (existing investors only)

## SECTION 14 APPENDIX - DIRECT INVESTOR IDENTIFICATION INFORMATION REQUIREMENTS

Please provide the Identification Information (via post) with your application form as set out below. If you are not able to provide all the Identification Information, please contact the Unit Registry on the client enquiry line Toll: (+613) 8643 9010 or Toll Free: 1300 884 560.

### Individuals, sole traders, joint investors or Beneficial Owners

- (i) Please provide a Certified copy of the following which confirms the full name and either the date of birth or residential address of the individual:
- photo page of an Australian passport; or
  - an Australian driver's licence containing a photo of the person; or
  - identity card issued under State or Territory for the purpose of proving a person's age containing a photo of the person; or
  - photo page of a foreign passport; if this is not available a foreign driver's licence containing a photo of the person.

Note: if the application is for a minor, the application should be completed by the parent/guardian who will be the registered holder. If you wish to include the name of the minor in the account, please provide a Certified copy of the minor's birth certificate.

### Companies

- (i) **Regulated Company/listed company or majority owned subsidiary of an Australian listed company:** please provide the following which confirms the full name and that the company is regulated, listed or a majority owned subsidiary of an Australian listed company:
- extract from the relevant market/exchange; or
  - extract from the ASIC database; or
  - details of the licence from the relevant regulator.
- (ii) **Other companies:** please provide the following which confirms the full name, identification number (e.g. ABN, ACN or ARBN or foreign identification number) and whether the company is registered as public or proprietary (private):
- Search of the ASIC or relevant foreign registration body database; or
  - Certified copy of the certificate of incorporation.
- (iii) **Unregulated proprietary company:** please also provide the full name of each director.

**Regulated Company** means a company that is licensed and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator in relation to its activities as a company.

Note: this section also applies to companies that are investing in the capacity of a custodian of a separate entity such as custodian of a superannuation fund, trust or platform.

### Trusts and Trustees (including superannuation funds)

- (i) **Australian Regulated Trusts:** please provide the following which confirms the full name of the trust and type of trust:
- Certified copy of the trust deed (or suitable extract thereof); or

- extract from the ASIC database, ATO or relevant regulator's website; or
- offer document of the managed investment scheme (PDS); or
- extract of the legislation establishing the government superannuation fund.

- (ii) **Unregulated trusts:** please provide the following which confirms the full name of the trust:

- Certified copy of the trust deed (or suitable extract thereof); or
- notice issued by the ATO within the last 12 months (e.g. a Notice of Assessment).

**Individual trustee:** in relation to one of the trustees, please also provide Identification Information required for an individual.

**Corporate trustee:** please also provide Identification Information required for a company.

**Regulated Trust** means a trust that is: (i) a managed investment scheme registered by ASIC; (ii) a managed investment scheme that is not registered by ASIC and that: only has wholesale clients; and does not make small scale offerings to which section 1012E of the Corporation Act applies; (iii) registered and subject to regulatory oversight of a Commonwealth statutory regulator in relation to its activities as a trust (e.g. self-managed superannuation fund); or (iv) a government superannuation fund established by legislation.

### Partnership and Partners

- (i) Please provide a Certified copy of:
- the partnership agreement (or suitable extract thereof); or
  - a notice issued by the ATO within the last 12 months (e.g. Notice of Assessment).
- (ii) If the partnership is regulated by a professional association, please also provide a Certified copy of the current membership certificate.

**Partner:** in relation to one of the partners, please also provide Identification Information required for an individual.

### Association and Member

- (i) Please provide a Certified copy of the following which confirms the full name of the association and ID number issued on incorporation (if incorporated):
- constitution or rules of the association (or suitable extract thereof); or
  - extract from the ASIC database or the government body responsible for the incorporation of the association.

**Member:** in relation to the member signing on behalf of the association, please also provide the Identification Information required for an individual.

### Co-operative

- (i) Please provide the following which confirms the full name and any ID number issued to the co-operative (if any):
- extract from the ASIC database or the government body responsible for the registration of the co-operative; or
  - Certified copy of the register maintained by the co-operative (or suitable extract thereof).

## SECTION 14 APPENDIX - DIRECT INVESTOR IDENTIFICATION INFORMATION REQUIREMENTS

### Government Body

- (i) Please provide a copy of the following which confirms the full name, principle place of operation and whether the government body is a body of the Commonwealth, State or Territory of Australia or a foreign country:
- relevant extract of the legislation establishing the government body; or
  - details of the government website.

### Definitions

**Certified copy** means a document that has been certified as a true copy of an original document by one of the following persons:

- (i) a person who, under a law in force in a State or Territory, is currently licensed or registered to practise in an occupation listed in Part 1 of Schedule 2 of the Statutory Declarations Regulations 2018;
- (ii) a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described);
- (iii) a person listed in Part 2 of Schedule 2 of the Statutory Declarations Regulations 2018. For the purposes of these Rules, where Part 2 uses the term 'five or more years of continuous service', this should be read as 'two or more years of continuous service';
- (iv) an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more years of continuous service with one or more licensees;
- (v) an officer with, or a credit representative of, a holder of an Australian credit licence, having two or more years of continuous service with one or more licensees; or
- (vi) a person authorised as a notary public in a foreign country.

**Beneficial Owner** means an individual who ultimately owns or controls (directly or indirectly) the investor. '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 policies. 'Owns' means ownership (either directly or indirectly) of 25% or more of the investor.

**Controlling Person** means the natural persons who exercise control over an Entity. For example, for a trust, this may include the settlor(s), the trustee(s) or beneficiary(ies), and any other natural person(s) exercising ultimate effective control. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

**Non-Financial Entity** means an entity that is not a financial institution. An NFE may be an 'Active NFE' or 'Passive NFE' pursuant to the CRS regulations.

- (i) An 'Active NFE' is one, which amongst other things, is:
- where less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year are assets that produce or are held for the production of passive income';

- the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- the NFE is a Governmental Entity, an International Organisation or Central Bank;
- the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets

with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE; or

- the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution.

- (ii) A 'Passive NFE' is any NFE that is not an Active NFE.

### Politically Exposed Person:

- (i) a Head of State or head of a country or government, including Australia;
- (ii) a government minister or equivalent senior politician;
- (iii) a senior government official;
- (iv) a 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;
- (v) a governor of a central bank or any other position that has comparable influence to the Governor of the Reserve Bank of Australia;
- (vi) a senior foreign representative, ambassador, or high commissioner or a high-ranking member of the armed forces;
- (vii) a board chair, chief executive, or chief financial officer of, or any other position that has comparable influence in, any State enterprise or international organisation; or
- (viii) an individual who otherwise holds a prominent public position or function in a government body or an international organisation.

An immediate family member or close associate of any of the above. An immediate family member includes a spouse, de facto partner, child, child's spouse or de facto partner, or a parent. A close associate is any individual who has joint Beneficial Ownership of a legal entity or legal arrangement with a person listed above or sole Beneficial Ownership of a legal entity or legal arrangement for the benefit of a person listed above.

**Settlor of the trust** is the grantor or donor of the trust if they contributed \$10,000 or more to the trust and they are alive at the date of this application.

**Direct investor** is an individual or an entity not investing via an Investor Service or a Participating Adviser.

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