Significant Investor Visa and Premium Investor Visa

Changes to the Significant Investor Visa (SIV) and the introduction of a Premium Investor Visa (PIV) commenced on 1 July 2015. In accordance with the new Complying Investment Framework for the SIV and PIV, Dimensional declared the following Dimensional Wholesale Trusts meet the requirements for Complying Investments (‘balancing investments’) for the Significant Investor visa stream and Complying Premium Investments for the Premium Investor visa stream:

- Dimensional Australian Core Equity Trust
- Dimensional Australian Value Trust
- Dimensional Australian Small Company Trust
- Dimensional Australian Large Company Trust
- Dimensional Australian Sustainability Trust

Please refer to the next pages for a copy of Dimensional’s Declaration In Relation to significant and premium investments (Form 1413D). Please contact your advisor for more information.
Declarations in relation to complying significant and premium investments

Form 1413D

IMPORTANT: You may wish to seek independent legal advice in relation to ensuring that an investment made for the purpose of a subclass 188 (Significant Investor and Premium Investor streams) visa is a 'complying significant investment' or a 'complying premium investment' within the terms of the Migration Regulations 1994, in particular, Migration (diMMI 15/100. Complying Investments) Instrument 2015.

For Significant Investor stream applicants the Compiling Significant Investment must include:
- a total of at least AUD500,000 in one or more venture capital funds, and
- a total of at least AUD1,500,000 in emerging companies investments.

Any remaining portion of the investment may be invested in one or more balancing investments and/or either of the above.

The complying significant investment allows for investments to be made via a fund of fund structure. Declarations are to be made by the declaring fund manager for the fund which has overarching control of the investment.

This form is relevant to subclass 188 (Significant Investor and Premium Investor streams) visa applications lodged on or after 1 July 2015.

For applications lodged before 1 July 2015, please use form 1413 Declaration in relation to managed funds.

Important information about privacy

Your personal information is protected by law, including the Privacy Act 1988. Important information about the collection, use and disclosure (to other agencies and third parties, including overseas entities) of your personal information, including sensitive information, is contained in form 1442i Privacy notice.

Form 1442i is available from the department's website www.border.gov.au/australiaforms/ or offices of the department. You should ensure that you read and understand form 1442i before completing this form.

About this form

This form has 5 parts.

- Part A - Client details
- Part B - Significant Investor visa stream - Declaration in relation to venture capital and growth private equity funds to be completed by the relevant fund manager
- Part C - Significant Investor visa stream - Declaration in relation to emerging companies investments to be completed by the relevant fund manager
- Part D - Significant Investor visa stream - Declaration in relation to balancing investments to be completed by the relevant fund manager
- Part E - Premium Investor visa stream - Declaration in relation to complying premium investments to be completed by the relevant fund manager - for investments partially or wholly made through a managed fund.

Part A - Client details

1. Full name
   Family name

2. Given names

   Date of birth / / Year

   Residential address

   Postcode

   Telephone numbers
   Country code  Area code  Number

   Office hours  

   Mobile/cell

   DIBP Client ID number (if known)

2. Type of application (tick one box only)

   Subclass 188 Significant Investor visa stream  The fund manager(s) to complete Parts B, C and D

   Subclass 188 Premium Investor visa stream  The fund manager to complete Part E

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1413D (Design date 13/4/14) - Page 1
**Part B – Significant Investor visa stream**  
**Declaration in relation to venture capital and growth private equity funds**

**Venture capital fund(s) details**  
*To be completed by the relevant fund manager*

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<tr>
<th>Details of the venture capital fund(s)</th>
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<td>1. Name of the venture capital fund</td>
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<th>Fund registration / licence number</th>
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<th>Name of the fund manager</th>
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<th>AFS licence number</th>
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<tr>
<th>Investment amount</th>
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**Declaration**

2 I hereby notify the Department of Immigration and Border Protection, that the venture capital fund(s) listed at Part B Question 1 meet(s) the requirements set out in Legislative Instrument IMM 15/100: Complying Investments.

The venture capital fund will be limited to investing a subclass 188 Significant Investor visa stream applicant’s funds in accordance with the requirements at section 6 and the General Requirements set out in section 11 of the Legislative Instrument IMM 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence.

I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Significant Investor visa stream applicant.

**Signature of declaring fund manager**

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<td>/ / Year</td>
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To be completed if the investment is made through a fund of fund or an investor directed portfolio service.

2. Name of the subsequent venture capital fund

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<td>AUD</td>
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</table>
Part C – Significant Investor visa stream
– Declaration in relation to emerging companies investments

Managed fund(s) details
To be completed by the relevant fund manager

1. Details of the managed fund(s)
   1. Name of the managed fund
      ____________________________________________________________
      ____________________________________________________________
      ____________________________________________________________
      ____________________________________________________________
      ____________________________________________________________

   Fund registration / licence number (ARSN number or ASX code)
   ____________________________________________________________
   Name of responsible entity / trustee / issuer
   ____________________________________________________________
   ____________________________________________________________
   Telephone number
   ____________________________________________________________
   ____________________________________________________________
   AFS licence number of responsible entity / trustee / issuer
   ____________________________________________________________
   ____________________________________________________________
   Address of responsible entity / trustee / issuer
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   Investment amount
   AUD

Declaration

2. I hereby notify the Department of Immigration and Border Protection, that the managed fund(s) listed at Part C Question 1 meet(s) the requirements set out in Legislative Instrument IMM 15/100: Complying Investments, made pursuant to regulation 5.190 of the Migration Regulations 1994. The managed fund will be limited to investing a subclass 188 Significant Investor visa stream applicant’s funds in emerging companies in accordance with the requirements at section 9 and the General Requirements set out in section 11 of the Legislative Instrument IMM 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence. I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Significant Investor visa stream applicant.

Signature of declaring fund manager

________________________
Name

________________________
Position

________________________
Date / /
Part D — Significant Investor visa stream – Declaration in relation to balancing investments

Managed fund(s) details
To be completed by the relevant fund manager

1. Details of the managed fund(s)
   a. Name of the managed fund
      Dimensional Australian Core Equity Trust
      Dimensional Australian Value Trust
      Dimensional Australian Small Company Trust
      Dimensional Australian Large Company Trust
      Dimensional Australian Sustainability Trust
   b. Fund registration / licence number (ARSN number or ASX code)
      ARSNs 120 009 163, 092 663 735, 092 663 520, 092 663 628, 092 614 477
   c. Name of responsible entity / trustee / issuer
      DFA Australia Limited
   d. Telephone number
      (61) 2 8336 7100
   e. AFS licence number of responsible entity / trustee / issuer
      238093
   f. Address of responsible entity / trustee / issuer
      Level 43
      1 Macquarie Place
      Sydney
      NSW 2000
   g. Investment amount
      AUD
   h. What asset classes are you investing in?
      Equities ✔
      Bonds and notes
      Annuities
      Real property
      Multi-asset classes

2. Declaration
   I hereby notify the Department of Immigration and Border Protection, that the managed fund(s) listed at Part D Question 1 meet(s) the requirements set out in Legislative Instrument IMM15/100: Complying Investments, made pursuant to regulation 5.19C of the Migration Regulations 1994.
   The managed fund will be limited to investing any remaining portion (balancing investment) of a subclass 188 Significant Investor visa stream applicant’s funds in accordance with the requirements set out in section 10 and the General Requirements set out in section 11 of the Legislative Instrument IMM15/100: Complying Investments.
   I understand that giving false or misleading information is a serious offence. I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Significant Investor visa stream applicant.

Signature of declaring fund manager

Name: J. Glenn Crane
Position: Director and Chief Executive Officer
Date: 20/11/2018
Part E – Premium Investor visa stream  
Declaration in relation to complying premium investments

Managed fund(s) details
To be completed by the relevant fund manager – only for investments partially or wholly made through a managed fund

1 Details of the managed fund(s)
1. Name of the managed fund

- Dimensional Australian Core Equity Trust
- Dimensional Australian Value Trust
- Dimensional Australian Small Company Trust
- Dimensional Australian Large Company Trust
- Dimensional Australian Sustainability Trust

Fund registration / licence number (ARSN number or ASX code)
ARSN 120 005 163, 092 963 735, 092 663 820, 092 963 920, 820 814 477

Name of responsible entity / Trustee / Issuer
DFA Australia Limited

Telephone number
(61)
(2)
8336 7100

AFS licence number of responsible entity / Trustee / Issuer
238093

Address of responsible entity / Trustee / Issuer
Level 43
1 Macquarie Place
Sydney
NSW

Parcels

What asset classes are you investing in?

- Equities
- Bonds and notes
- Proprietary limited companies
- Multi-asset classes

2. Name of the subsequent managed fund

Fund registration / licence number (ARSN number or ASX code)

Name of responsible entity / Trustee / Issuer

Telephone number

AFS licence number of responsible entity / Trustee / Issuer

Address of responsible entity / Trustee / Issuer

What asset classes are you investing in?

- Equities
- Bonds and notes
- Proprietary limited companies
- Multi-asset classes

Declaration

I hereby notify the Department of Immigration and Border Protection, that the managed fund(s) listed at Part E Question 1 meet all the requirements set out in Part 3 of Legislative Instrument IMM 15/100: Complying Investments, made pursuant to regulation 5.19D of the Migration Regulations 1994.

The managed fund will be limited to investing any portion of a subclass 188 Premium Investor visa stream applicant’s funds in accordance with the General Requirements set out in Part 3 of Legislative Instrument IMM 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence. I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Premium Investor visa stream applicant.

Signature of declaring fund manager

Name
J. Glenn Crane

Position
Director and Chief Executive Officer

Date
20/11/2018