

RESOLUTION CAPITAL FUNDS

APPLICATION FORM

RESOLUTION CAPITAL GLOBAL PROPERTY SECURITIES FUND (UNHEDGED) – SERIES II - CLASS B

ARSN 118 076 529 APIR WHT2080AU

RESOLUTION CAPITAL GLOBAL PROPERTY SECURITIES FUND (UNHEDGED) – SERIES II - CLASS M

ARSN 118 076 529 APIR WHT5373AU

RESOLUTION CAPITAL REAL ASSETS FUND - CLASS B

ARSN 131 850 363 APIR WHT7398AU

RESOLUTION CAPITAL GLOBAL LISTED INFRASTRUCTURE FUND – CLASS C (HEDGED)

ARSN 653 043 442 APIR WHT9991AU

This Application Form relates to the Term Sheet and Product Disclosure Statement ('PDS') issued by Pinnacle Fund Services Limited (ABN 29 082 494 362, AFSL 238371) as the Responsible Entity ('RE'), in relation to the Resolution Capital Global Property Securities Fund (Unhedged) – Series II – Class B, Resolution Capital Global Property Securities Fund (Unhedged) – Series II – Class M, Resolution Capital Real Assets Fund – Class B and Resolution Capital Global Listed Infrastructure Fund – Class C (Hedged) ("Funds"):

APPLICATION FORM

IMPORTANT INFORMATION

Defined terms in this Application Form have the definition given to them in the PDS.
THE PDS FOR EACH OF THE FUNDS MUST BE READ PRIOR TO COMPLETING THIS APPLICATION FORM.

The registry service provider is Citigroup Pty Limited ("Registry").

ONLINE APPLICATION

Applications into the Funds can be made through the online [Investor Portal](#).

REGISTRY MAILING INFORMATION

Please post original in the mail to:

Resolution Capital Limited
c/- Citi Unit Registry Australia
GPO Box 764
Melbourne VIC 3001

Investors who already have holdings in a Pinnacle fund held by the Registry may fax their application:

[Fund Name] [Investor Name]
c/- Citi Unit Registry Australia
+61 1300 102 151

APPLICATION PAYMENT INFORMATION

Electronic Funds Transfer ('EFT'):

Payee:	Pinnacle Application
BSB:	242 000
Account Number:	208 953 028
Description:	New investors: [Investor name] Existing investors: [Eight-digit investor number]

Please note applications received prior to 12:00pm Sydney time (on a Sydney business day) are deemed to be received that day, requests received after 12:00pm Sydney time are deemed to be received the next business day.

APPLICATION FORM CHECKLIST

IMPORTANT INFORMATION

If you are not able to provide the **Anti-Money Laundering/Counter-Terrorism Financing (AML/CTF)** information requested in the Application Form, please refer to the FAQ or contact us for a list of alternative information you may supply.

Each document supplied must be certified as a true copy of an original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

<input type="checkbox"/>	Section 1 - Investment Details Nominate to open a new account or invest in a different fund to an existing account
<input type="checkbox"/>	Section 2 – Investor Details Provide your details depending on the type of customer you are. Please complete only the pages that are relevant to you. <div style="margin-left: 20px;"> (A) <input type="checkbox"/> Individual (including a sole trader, or an adult acting as a trustee for a minor) or Joint Account p. 3-4 (B) <input type="checkbox"/> Partnership p. 5-8 (C) <input type="checkbox"/> Australian Company p. 9 -12 (D) <input type="checkbox"/> Foreign Company p.13-17 (E) <input type="checkbox"/> Self Managed Superannuation Fund (SMSF) p.18-19 (F) <input type="checkbox"/> Australian Regulated Trust (other than a SMSF) p.20-21 (G) <input type="checkbox"/> Unregulated Trust (including foreign trusts) p.22-26 (H) <input type="checkbox"/> Association or Registered Co-operative p.27-28 (I) <input type="checkbox"/> Government Body p.29-30 </div> <p><i>Note 1: If you believe the above investor categories do not adequately represent your legal structure or disposition, please contact us on 1300 737 240 or by e-mail at: contact@rescap.com.</i></p>
<input type="checkbox"/>	Section 3 – Application Amount and Payment Details Indicate the amount you wish to invest in the Fund and the payment details for your investment for the Fund
<input type="checkbox"/>	Section 4 – Distribution Election Select your distribution payment method
<input type="checkbox"/>	Section 5 – Fund Information The information you may receive from us
<input type="checkbox"/>	Section 6 – Adviser Access Provide your adviser's details, if applicable, for access to your statements
<input type="checkbox"/>	Section 7 – Tax File Number Notification or Exemption Provide tax file number(s)
<input type="checkbox"/>	Section 8 – Declaration and Application Signatures Read the declaration, elect the account operating authority, and provide the appropriate signatures

Section 1 – Do you have an existing account within a Resolution Capital fund?

Yes ☐ The investment in this application will be in a *different* Resolution Capital fund but it will have the same name and capacity as my existing account, and there are no changes to any of my other details.

My current account number is _____ Please go to Section 3.

If there are any changes to your other details, please to go Section 2.

No ☐ Go to Section 2

Section 2 – Investor Details

A. INDIVIDUAL OR JOINT APPLICANTS

Investor 1 Title: _____ Given name/s: _____
Surname: _____ Date of birth: ____ / ____ / ____

Residential address (street address only): _____
Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____
Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: The postal address will be used for all account correspondence; however we also require your residential address.

Phone no.: (____) _____ Mobile no.: _____
Facsimile no.: (____) _____
E-mail address: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Are you investing as a sole trader? NO ☐ / YES ☐ If "Yes", then please provide ABN/ARN: _____
Full business name: _____
Principal place of business (if any)(street address only): _____
Suburb: _____ State: _____ Postcode: _____ Country: _____

TAX CERTIFICATIONS

Are you a US citizen? NO ☐ / YES ☐

Are you a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(**Note:** please select "Yes" if you are a dual resident in Australia and another country).

If "Yes", please complete the table below for the countries outside of Australia in which you are a tax resident:

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number:

ACCOUNT OPENING FOR A MINOR OR JOINT ACCOUNT

Are you opening an account on behalf of a minor (i.e. acting as trustee for a child under the age of 18)?

NO ☐ / YES ☐ - if 'Yes', please provide details of the minor in the section below.

Are you opening a joint account?

NO ☐ / YES ☐ - If 'Yes', please provide details of Investor 2 in the section below.

☐ **ATTACH:** Certified copy of the current Australian driver's licence or passport of Investor 1.

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

If this is not a joint application or an application for a minor, please proceed to Section 3.

Section 2 – Investor Details

A. INDIVIDUAL OR JOINT APPLICANTS *(continued)*

Minor

Given name/s: _____

Surname: _____ Date of birth: ____/____/____

Residential Address (Street Address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

TAX CERTIFICATIONS

Is the minor a US citizen? NO ☐ / YES ☐

Is the minor a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(Note: please select “Yes” if the minor is a dual resident in Australia and another country).

If “Yes”, please complete the table below for the countries outside of Australia in which the minor is a tax resident:

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number:

☐ **ATTACH: Certified copy of the current Australian driver’s licence or passport of the Minor.**

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Investor 2

Title: _____ Given name/s: _____

Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Phone no.: (____) _____ Mobile no.: _____

Facsimile no.: (____) _____

E-mail address: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

TAX CERTIFICATIONS

Are you a US citizen? NO ☐ / YES ☐

Are you a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(Note: please select “Yes” if the minor is a dual resident in Australia and another country).

If “Yes”, please complete the table below for the countries outside of Australia in which the minor is a tax resident:

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number:

☐ **ATTACH: Certified copy of the current Australian driver’s licence or passport of Investor 2**

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

B. PARTNERSHIP

B.1 PARTNERSHIP DETAILS

Full name of partnership: _____

Registered business name of partnership (if any): _____

ABN/ACN: _____

Country where partnership is established: Australia YES ☐ / NO ☐ If 'No', then please name country: _____

Describe the partnership's principal business activity: _____

Registered address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: The postal address will be used for all account correspondence; however we also require your registered address.

Phone no.: (____) _____ Mobile no.: _____

Facsimile no.: (____) _____

E-mail address: _____

Is the partnership regulated by a professional association?

YES ☐ - Provide name of association: _____

Provide membership details: _____. Please provide the details requested for Partner 1 in B.2 below.

NO ☐ - How many partners are in the partnership? _____. Please provide details of ALL partners in B.2 below.

B.2 PARTNER DETAILS

Partner 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Partner 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Partner 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

(If there are more partners, provide details on a separate sheet and tick this box ☐)

Proceed to B.3 of Section 2.

.....Continue over page

Section 2 – Investor Details

B. PARTNERSHIP (continued)

B.3 BENEFICIAL OWNER DETAILS

Category A Beneficial Owners

Please provide details for each individual who:

- ultimately owns 25% or more of the issued capital of the partnership through direct or indirect shareholdings, or
- is entitled (directly or indirectly) to exercise 25% or more of the voting rights of the partnership, including power to veto.

Category B Beneficial Owners

If there are no Category A Beneficial Owners, then provide details of each individual who directly or indirectly controls* the partnership. If no such person can be identified then the most senior managing official(s) of the partnership (such as the Managing Partner) is/are taken to be the beneficial owner(s) of the partnership.

*Control includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding and practices.

Beneficial Owner 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Partner): _____

Beneficial Owner 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Partner): _____

Beneficial Owner 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Partner): _____

Beneficial Owner 4:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Partner): _____

(If there are more beneficial owners, provide details on a separate sheet and tick this box ☐)

Proceed to B.4 of Section 2

.....Continue over page

Section 2 – Investor Details

B. PARTNERSHIP (continued)

B.4 TAX CERTIFICATIONS

1. Is the partnership's place of effective management situated outside of Australia? NO ☐ / YES ☐ If 'Yes, please complete table below.

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number:

2. Please select ONE of the following categories and provide the information requested:

☐ **United States Partnership**

(The partnership was created in the U.S., established under the laws of the U.S. or is a U.S. tax payer)

Is the partnership an exempt payee for U.S. tax purposes?

YES ☐ - please provide the exemption code: _____

NO ☐

Proceed to B.5 of Section 2.

☐ **Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company**

Provide the partnership's Global Intermediary Identification Number (GIIN), if applicable: _____

If the partnership does not have a GIIN, please advise of FATCA status:

Proceed to B.5 of Section 2.

☐ **Financial Institution – Investment Entity**

Provide the partnership's Global Intermediary Identification Number (GIIN), if applicable: _____

If the partnership does not have a GIIN, please advise of FATCA status:

Is the partnership located outside of Australia and managed by another Financial Institution?

YES ☐ - please also tick 'Other' below and provide the information requested.

NO ☐ - **Proceed to B.5 of Section 2.**

☐ **Active Non-Financial Entity**

(During the previous reporting period, less than 50% of the partnership's gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income.) Refer to the FAQ for other types of Active Non-Financial Entities or seek assistance from your tax adviser.

Proceed to B.5 of Section 2.

☐ **Other**

(None of the above applies to the partnership)

Is any one of the Beneficial Owners or partners of the partnership, a US citizen? NO ☐ / YES ☐

Is any one of the Beneficial Owners or partners of the partnership, a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(Note: please select "Yes" if they are a dual resident in Australia and another country).

If "Yes", please complete the table below for the countries outside of Australia in which they are a tax resident:

Name of person	Country of tax residency	Tax Identification Number (TIN) or equivalent number	If no TIN available, please describe reason.

(If more space is required, please use a separate sheet and tick this box ☐)

Proceed to B.5 of Section 2.

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B.5 DOCUMENTS TO PROVIDE

- ☐ **ATTACH: Certified copy of the Partnership Agreement; and**
- ☐ **ATTACH: Certified copy of the current Australian driver's licence or passport of Partner Number 1; and**
- ☐ **ATTACH: Certified copy of the current Australian driver's licence or passport of each Beneficial Owner listed in B.3 of Section 2; and**
- ☐ **ATTACH: For partnerships regulated by a professional association, provide an original current membership certificate OR membership details independently sourced from the relevant association**

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

C. AUSTRALIAN COMPANY

C.1 COMPANY DETAILS

Full company name as registered by ASIC: _____

Full business name (if different): _____

Country where registered / incorporated: Australia YES ☐ / NO ☐ - If 'No', please go to D. Foreign Company of section 2.

ACN: _____

Describe the company's principal business activity: _____

Registered office address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Principal place of business (if different from registered address)(street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Phone no.: (_____) _____

Facsimile no.: (_____) _____ E-mail address: _____

C.2 COMPANY TYPE

Select only ONE of the following categories:

☐ Public company (companies whose name does not include Pty or Proprietary) – **proceed to C.3 of Section 2**

☐ Proprietary company (companies whose name ends with Proprietary Ltd or Pty Ltd, also known as a private company) – provide the details of all directors below:

Number of directors of the company: _____

Director 1: Given name/s: _____ Surname: _____

Director 2: Given name/s: _____ Surname: _____

Director 3: Given name/s: _____ Surname: _____

Director 4: Given name/s: _____ Surname: _____

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

Proceed to C.3 of Section 2

C.3 REGULATORY/LISTING DETAILS

Please select any of the following category that applies to the company and provide the information requested. **If none applies, please proceed to C.4 of Section 2.**

☐ **Australian public listed company**
(The company is listed on an Australian financial market, such as the ASX)

Name of market/exchange: _____ **Proceed to C.5 of Section 2.**

☐ **Majority-owned subsidiary of an Australian listed company**
(The company is majority owned by an Australian company that is listed on an Australian financial market, such as the ASX)

Australian listed company name: _____

Name of market/exchange: _____ **Proceed to C.5 of Section 2.**

☐ **Australian regulated company**
(The company is **licensed** and its activities are subject to the oversight of an Australian statutory regulator. In particular, its supervision is beyond that provided by ASIC for the company's registration. Examples of regulated companies in Australia include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL), or Registrable Superannuation Entity (RSE) Licensees.)

Regulator's name: _____

Licence details (e.g. AFSL No., ACL No., RSE No.): _____ **Proceed to C.5 of Section 2**

.....Continue over page

Section 2 – Investor Details

C. AUSTRALIAN COMPANY (continued)

C.4 BENEFICIAL OWNER DETAILS

This section is to be completed by a company that is NOT an Australian public listed company, Majority-owned subsidiary of an Australian listed company, or an Australian regulated company as per C.3 of Section 2.

Category A Beneficial Owners

Please provide details for each individual who ultimately owns 25% or more of the company's issued share capital. This includes individuals with indirect ownership of 25% or more of the company.

Category B Beneficial Owners

If there are no Category A Beneficial Owners, then provide details of each individual who directly or indirectly controls* the company. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or other directors) is/are taken to be the beneficial owner(s) of the company.

*Control includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding and practices; voting rights of 25% or more including power to veto.

Beneficial Owner 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

Beneficial Owner 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

Beneficial Owner 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

Beneficial Owner 4:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

(If there are more beneficial owners, provide details on a separate sheet and tick this box ☐)

Proceed to C.5 of Section 2.

.....Continue over page

Section 2 – Investor Details

C. AUSTRALIAN COMPANY (continued)

C.5 TAX CERTIFICATIONS

1. Is the company also a tax resident of a country outside of Australia? NO ☐ / YES ☐ If 'Yes, please complete table below.

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number:

2. Please select only ONE of the following categories that apply to the company and provide the information requested:

☐ **Financial Institution**

(The company is a custodial or depository institution, an investment entity or a specified insurance company)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable: _____

If the company does not have a GIIN, please advise of FATCA status: _____

Proceed to C.6 of Section 2.

☐ **Public Listed Company, Majority Owned Subsidiary of an Australian Listed Company or an Australian Registered Charity**
Proceed to C.6 of Section 2.

☐ **Active Non-Financial Entity**

(During the previous reporting period, less than 50% of the company's gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income.) Refer to the FAQ for other types of Active Non-Financial Entities or seek assistance from your tax adviser.

Proceed to C.6 of Section 2.

☐ **Other**

(None of the above applies to the company)

Is any one of the company's Beneficial Owners a US citizen? NO ☐ / YES ☐

Is any one of the company's Beneficial Owners, a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(Note: please select "Yes" if they are a dual resident in Australia and another country).

If "Yes", please complete the table below for the countries outside of Australia in which they are a tax resident:

Name of person	Country of tax residency	Tax Identification Number (TIN) or equivalent number	If no TIN available, please describe reason.

(If more space is required, please use a separate sheet and tick this box ☐)

Proceed to C.6 of Section 2. Proceed to C.6 of Section 2.

C.6 DOCUMENTS TO PROVIDE

Australian regulated company, Australian listed public company, or majority owned by an Australian public listed company as per C.3 of Section 2.

☐ **NO ATTACHMENT REQUIRED**

Please proceed to Section 3.

For all other companies

☐ **ATTACH: Certified copy of the current Australian driver's licence or passport of each Beneficial Owner listed in C.4 of Section 2.**

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

D. FOREIGN COMPANY

D.1 COMPANY DETAILS

Full name of foreign company: _____

Full business name (if different): _____

Country where formed/ registered / incorporated: _____

Describe the company's principal business activity: _____

Registered by a foreign body? NO ☐ /YES ☐ If 'Yes', provide name of registration body: _____

Is the foreign company registered with ASIC?

☐ **Yes** Provide the Australian Registered Body Number (ARBN): _____

Provide EITHER: ☐ principal place of business address in Australia, OR ☐ local agent's name and address details

Address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Full name of local agent in Australia: _____

☐ **No** Provide company identification number (if any) issued by the foreign registration body: _____

Date of company registration or incorporation: ____/____/____

Provide principal place of business in the company's country of formation or incorporation:

Address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Registered address

Provide the registered address as registered with ASIC. If the company is NOT registered with ASIC, provide the registered address in the country of formation, incorporation or registration (if any).

Address: _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Phone no.: (____) _____

Facsimile no.: (____) _____ E-mail address: _____

Proceed to D.2 of Section 2

D.2 COMPANY TYPE

Select only ONE of the following categories:

☐ Public company (companies whose name does not include Pty or Proprietary) – **proceed to D.3 of Section 2**

☐ Proprietary company (companies whose name ends with Proprietary Ltd or Pty Ltd, also known as a private company) – provide details of all directors below:

Number of directors of the company: _____.

Director 1: Given name/s: _____ Surname: _____

Director 2: Given name/s: _____ Surname: _____

Director 3: Given name/s: _____ Surname: _____

Director 4: Given name/s: _____ Surname: _____

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

Proceed to D.3 of Section 2

.....Continue over page

Section 2 – Investor Details

D. FOREIGN COMPANY *(continued)*

D.3 REGULATORY/LISTING DETAILS

Please select any of the following category that applies to the company and provide the information requested. **If none applies, please proceed to D.4 of Section 2.**

☐ **Public listed company**

(The company is a listed company on a financial market that is subject to disclosure requirements to ensure transparency of beneficial ownership comparable to similar public listing requirements in Australia)

Name of market/ exchange/ disclosure regime: _____

Country: _____. **Proceed to D.5 of Section 2.**

☐ **Majority-owned subsidiary of an Australian public listed company**

(The company is majority owned by an Australian company that is listed on an Australian financial market, such as the ASX)

Australian listed company name: _____

Name of market/exchange: _____. **Proceed to D.5 of Section 2.**

☐ **Regulated in Australia**

(The company is **licensed** and its activities are subject to the oversight of an Australian statutory regulator. In particular, its supervision is beyond that provided by ASIC for the company's registration. Examples of regulated companies in Australia include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL), or Registrable Superannuation Entity (RSE) Licensees.)

Regulator's name: _____

Licence details (e.g. AFSL No. , ACL No., RSE No.): _____. **Proceed to D.5 of Section 2.**

D.4 BENEFICIAL OWNER DETAILS

This section is to be completed by a company that is NOT a public listed company, majority owned by an Australian public listed company or a company regulated in Australia as per D.3 of section 2.

Category A Beneficial Owners

Please provide details for each individual who ultimately owns 25% or more of the company's issued share capital. This includes individuals with indirect ownership of 25% or more of the company.

Category B Beneficial Owners

If there are no Category A Beneficial Owners, then provide details of each individual who directly or indirectly controls* the company. If no such person can be identified then the most senior managing official(s) of the company (such as the managing director or other directors) is/are taken to be the beneficial owner(s) of the company.

*Control includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding and practices; voting rights of 25% or more including power to veto.

Beneficial Owner 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

Beneficial Owner 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

.....Continue over page

Section 2 – Investor Details

D. FOREIGN COMPANY (continued)

D.4 BENEFICIAL OWNER DETAILS (continued)

Beneficial Owner 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

Beneficial Owner 4:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

For a Category B Beneficial Owner, please describe role (e.g. Managing Director): _____

(If there are more beneficial owners, provide details on a separate sheet and tick this box ☐)

Proceed to D.5 of Section 2.

D.5 TAX CERTIFICATIONS

Please select only ONE of the following categories that apply to the company, and provide the information requested:

1. Is the company a tax resident of a country outside of Australia? NO ☐ / YES ☐ If 'Yes, please complete table below.

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number: _____

2. Please select only ONE of the following categories that apply to the company, and provide the information requested:

☐ United States Company

(The company was created in the U.S., established under the laws of the U.S. or is a U.S. tax payer)

Is the company an exempt payee for U.S. tax purposes? YES ☐ - please provide the exemption code: _____

NO ☐

Proceed to D.6 of Section 2.

☐ Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

Provide the company's Global Intermediary Identification Number (GIIN), if applicable: _____

If the company does not have a GIIN, please advise of FATCA status: _____

Proceed to D.6 of Section 2.

☐ Financial Institution – Investment Entity

Provide the company's Global Intermediary Identification Number (GIIN), if applicable: _____

If the company does not have a GIIN, please advise of FATCA status: _____

Is the company located outside of Australia and managed by another Financial Institution?

YES ☐ - please also tick 'Non-US Passive NFE' below and provide the information requested.

NO ☐ - **Proceed to D.6 of Section 2.**

☐ Public Listed Company, Majority Owned Subsidiary of a Public Listed Company or International Organisation

Proceed to D.6 of Section 2.

.....Continue over page

☐ A Charity or an Active Non-Financial Entity

(The company is a non-profit organisation; or during the previous reporting period, less than 50% of the company's gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income.) Refer to the FAQ for other types of Active Non-Financial Entities or seek assistance from your tax adviser.

Proceed to D.6 of Section 2.

☐ **Passive Non-Financial Entity**

(None of the above applies to the company)

Is any one of the company's Beneficial Owners a US citizen? NO ☐ / YES ☐

Is any one of the company's Beneficial Owners, a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(Note: please select "Yes" if they are a dual resident in Australia and another country).

If "Yes", please complete the table below for the countries outside of Australia in which they are a tax resident:

Name of person	Country of tax residency	Tax Identification Number (TIN) or equivalent number	If no TIN available, please describe reason.

(If more space is required, please use a separate sheet and tick this box ☐)

Proceed to D.6 of Section 2.

.....Continue over page

Section 2 – Investor Details

D. FOREIGN COMPANY (continued)

D.6 DOCUMENTS TO PROVIDE

☐ **ATTACH:** Certified copy of the current Australian driver's licence or passport of each Beneficial Owner listed in D.4 of Section 2.

☐ **ATTACH:** For a company that is not registered with ASIC, provide a certified copy of the registration certificate.

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

E. SELF MANAGED SUPERANNUATION FUND (SMSF)

E.1 FUND DETAILS

Full name of the fund: _____

ABN: _____

Registered office address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Phone no.: (____) _____

Facsimile no.: (____) _____ E-mail address: _____

E.2 BENEFICIARY (MEMBER) DETAILS

Please provide details of all members of the SMSF

Beneficiary 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Occupation: ☐ Retired ☐ Other - please describe: _____

Beneficiary 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Occupation: ☐ Retired ☐ Other - please describe: _____

Beneficiary 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Occupation: ☐ Retired ☐ Other - please describe: _____

Beneficiary 4:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Occupation: ☐ Retired ☐ Other - please describe: _____

Proceed to E.3 of Section 2.

.....Continue over page

Section 2 – Investor Details

E. SELF MANAGED SUPERANNUATION FUND (SMSF) (continued)

E.3 TRUSTEE TYPE

SELECT THE TRUSTEE TYPE AND PROCEED AS DIRECTED

☐ **INDIVIDUAL TRUSTEES – complete E.4 of Section 2**

☐ **CORPORATE TRUSTEE – complete E.5 of Section 2**

E.4 INDIVIDUAL TRUSTEES

☐ **I/we confirm that the member(s) listed in E.2 of Section 2 is/are also the trustee(s) of the SMSF.**

If there is only ONE member in the SMSF, please provide details of the additional trustee below:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Occupation: ☐ Retired ☐ Other - please describe: _____

☐ **ATTACH: Certified copy of the current Australian driver's licence or passport of each individual trustee**

Each document supplied must be certified as a true copy of the original by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

E.5 CORPORATE TRUSTEE

Full company name as registered by ASIC: _____

Full business name (if different): _____

ACN: _____

Describe the company's principal business activity (not applicable if the company only acts as a corporate trustee): _____

Registered office address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Principal place of business (if different from registered address)(street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

☐ **I/we confirm that the member(s) listed in E.2 of Section 2 is/are also the director(s) of the corporate trustee of the SMSF.**

If there is only ONE member in the SMSF and there is an additional director of the corporate trustee, please provide their details below:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Occupation: ☐ Retired ☐ Other - please describe: _____

☐ **ATTACH: Certified copy of the current Australian driver's licence or passport of each director of the corporate trustee**

Each document supplied must be certified as a true copy of the original by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

F. AUSTRALIAN REGULATED TRUST (Excluding SMSF)

F.1 TRUST DETAILS

Full name of the trust: _____

ABN: _____

Country where trust was established: Australia YES ☐ / NO ☐ If 'No', then please go to G. Unregulated Trust (including Foreign Trust) of Section 2.

Describe the trust's principal business activity: _____

Registered office address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Phone no.: (____) _____

Facsimile no.: (____) _____ E-mail address: _____

F.2 TYPE OF REGULATED TRUST

Select ONE of the following categories that apply to the trust and provide the information required. **If none applies, then please go to G. Unregulated Trust (Including Foreign Trust) of Section 2.**

☐ **Registered managed investment scheme** – provide the Australian Registered Scheme Number (ARSN): _____

☐ **Unregistered managed investment scheme** (where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies):

Provide the unregistered managed investment scheme's ABN: _____

☐ Please attach a copy of an offer document or trust deed of the unregistered managed investment scheme

☐ **Government superannuation fund** – provide name of the legislation establishing the fund: _____

☐ **Other regulated trust** (the trust is registered and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund):

Provide name of regulator (e.g. ASIC, APRA): _____

Provide the trust's registration/licensing details (e.g. RSE No.): _____

F.3 TAX CERTIFICATIONS

Select ONE of the following categories that apply to the trust and provide the information required:

☐ **Australian regulated superannuation fund:**
Include government super funds, APRA regulated super funds and pooled superannuation trusts - **please proceed to F.4 of Section 2.**

☐ **Other Australian regulated trust:**
Please provide the trust's Global Intermediary Identification Number (GIIN), if applicable: _____

If the trust does not have a GIIN, please advise of FATCA status:

Please proceed to F.4 of Section 2.

.....Continue over page

Section 2 – Investor Details

F. AUSTRALIAN REGULATED TRUST (Excluding SMSF) (continued)

F.4 TRUSTEE TYPE

SELECT THE TRUSTEE TYPE AND PROCEED AS DIRECTED

- ☐ **INDIVIDUAL TRUSTEES** – complete F.5 of Section 2.
- ☐ **CORPORATE TRUSTEE** – complete C. Australian Company of Section 2 if the corporate trustee is an Australian Company or D. Foreign Company of Section 2 if the corporate trustee is a Foreign Company.

F.5 INDIVIDUAL TRUSTEE

How many individual trustees does the trust have? _____. Please provide details of ALL individual trustees below:

Trustee 1: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Trustee 2: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Trustee 3: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Trustee 4: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Please proceed to Section 3.

Section 2 – Investor Details

G. UNREGULATED TRUST (INCLUDING FOREIGN TRUST)

G.1 TRUST DETAILS

Full name of the trust: _____

ABN: _____

Country where trust was established: Australia YES ☐ / NO ☐ If 'No', then please name country: _____

Describe the trust's principal business activity: _____

Registered office address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address (if different from above): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Phone no.: (____) _____

Facsimile no.: (____) _____ E-mail address: _____

G.2 TYPE OF UNREGULATED TRUST

Please select only ONE of the following categories:

- ☐ Family trust ☐ Charitable trust ☐ Testamentary trust ☐ Unit trust
☐ Other type, please provide description: _____

Full name of the settlor(s)*: _____

(*settlor is the person who settles the initial sum or assets to create the trust)

G.3 BENEFICIARY DETAILS

Does the trust identify its beneficiaries by class, e.g. unit holders, family members of named person, charitable organisations/causes?

☐ NO / ☐ YES - If 'Yes', then provide details of the class(es) of beneficiaries: _____

Does the trust identify its beneficiaries by name?

☐ NO / ☐ YES - If 'Yes', then provide details of all beneficiaries below.

How many beneficiaries are in the trust? _____

Beneficiary 1:

Given name(s)/entity name(s): _____ Surname: _____

Beneficiary 2:

Given name(s)/entity name(s): _____ Surname: _____

Beneficiary 3:

Given name(s)/entity name(s): _____ Surname: _____

Beneficiary 4:

Given name(s)/entity name(s): _____ Surname: _____

(If there are more beneficiaries, provide details on a separate sheet and tick this box ☐)

.....Continue over page

Section 2 – Investor Details

G. UNREGULATED TRUST (INCLUDING FOREIGN TRUST) *(continued)*

G.4 BENEFICIAL OWNER DETAILS

Beneficial Owners

Are there any individuals who are entitled to 25% or more of the trust income or assets?

☐ NO / ☐ YES - If 'Yes', then provide details of those individuals below:

Beneficial Owner 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Beneficial Owner 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Beneficial Owner 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Beneficial Owner 4:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

(If there are more beneficial owners, provide details on a separate sheet and tick this box ☐)

Appointer of the Trust

Does the trust have an appointer (i.e. an individual who has been granted specific powers by the trust deed to appoint or remove the trustees of the trust; may also be called the 'custodian' or 'principal')?

☐ NO / ☐ YES - if 'Yes', then provide details of the appointer (or equivalent) below:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

(If there are more appointers, provide details on a separate sheet and tick this box ☐)

Please proceed to G.5 of Section 2.

.....Continue over page

Section 2 – Investor Details

G. UNREGULATED TRUST (INCLUDING FOREIGN TRUST) (continued)

G.5 TAX CERTIFICATIONS

Please select only ONE of the following categories and provide the information requested:

1. Is the trust a tax resident outside of Australia? NO ☐ / YES ☐ If 'Yes, then please complete table below.

Country of tax residency	Tax Identification Number (TIN) or equivalent number	If no TIN available, please describe reason.

2. Please select only ONE of the following categories and provide the information requested:

☐ **United States Trust**

(The trust was created in the U.S., established under the laws of the U.S. or is a U.S. taxpayer)

Is the trust an exempt payee for U.S. tax purposes? YES ☐ - please provide the exemption code: _____
NO ☐

Please proceed to G.6 of Section 2.

☐ **Financial Institution or Trust with a Trustee that is a Financial Institution**

(The trust was primarily established for custodial or investment purposes; or if the trustee of the trust is a Financial Institution)

Please provide the trust's Global Intermediary Identification Number (GIIN), if applicable: _____

If the trust does not have a GIIN, please advise of FATCA status: _____

Please proceed to G.6 of Section 2.

☐ **Australian Registered Charity or Deceased Estate**

Please proceed to G.6 of Section 2.

☐ **A Foreign Charity or an Active Non-Financial Entity**

(The trust is a non-Australian non-profit trust; or during the previous reporting period, less than 50% of the entity's gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income.) Refer to the FAQ for other types of Active Non-Financial Entities or seek assistance from your tax adviser.

Please proceed to G.6 of Section 2.

☐ **Other**

(None of the above applies to the trust)

Is any one of the trust's beneficiaries, trustees, settlors or beneficial owners, a US citizen? NO ☐ YES ☐

Is any one of the trust's beneficiaries, trustees, settlors or beneficial owners, a resident of a country other than Australia for tax purposes? NO ☐ / YES ☐

(Note: please select "Yes" if they are a dual resident in Australia and another country).

If "Yes", please complete the table below for the countries outside of Australia in which they are a tax resident:

Name of person	Country of tax residency	Tax Identification Number (TIN) or equivalent number	If no TIN available, please describe reason.

(If more space is required, please use a separate sheet and tick this box ☐)

Please proceed to G.6 of Section 2.

G.6 DOCUMENTS TO PROVIDE

- ☐ **ATTACH:** Certified copy of the current Australian driver's licence or passport of each Beneficial Owner and Appointer listed in G.4 of Section 2; and

- ☐ **ATTACH:** Certified copy of the Trust Deed. If an extract of the Trust Deed is provided, at a minimum, the certified copy of the following pages must be included:

1. The cover page;
2. The page which documents the name of the trust and the trustee;
3. The page with the date of the Trust Deed;
4. The signed pages of the Trust Deed;
5. The page that lists the name and/or class of the beneficiaries of the trust; and
6. The page which documents the name of the settlor.

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to G.7 of Section 2.

Section 2 – Investor Details

G. UNREGULATED TRUST (INCLUDING FOREIGN TRUST) (continued)

G.7 TYPE OF TRUSTEE

SELECT THE TRUSTEE TYPE AND PROCEED AS DIRECTED

- ☐ **INDIVIDUAL TRUSTEES** – complete G.8 of Section 2.
- ☐ **CORPORATE TRUSTEE** – complete C. Australian Company of Section 2 for Australian corporate trustee or D. Foreign Company for foreign corporate trustee.

G.8 INDIVIDUAL TRUSTEE

How many individual trustees does the trust have? _____. Please provide details of ALL individual trustees below:

Trustee 1: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Trustee 2: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Trustee 3: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

Trustee 4: Full name: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

What is your occupation? ☐ Retired ☐ Other - please describe: _____

☐ **ATTACH: Certified copy of the current Australian driver's licence or passport of each individual trustee**

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

H. ASSOCIATION / REGISTERED CO-OPERATIVE

H.1 ASSOCIATION / REGISTERED CO-OPERATIVE DETAILS

The investor is a: ☐ incorporated association / ☐ unincorporated association / ☐ registered co-operative

Full name of association/registered co-operative: _____

Provide the ID number (if any) issued upon incorporation/registration: _____

Describe the objects/purpose/main activity of the association or co-operative: _____

Principal place of administration/operations (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Registered office address (if different to the principal place of administration/operations) (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Postal address: _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This postal address will be used for all account correspondence.

Phone no.: (____) _____

Facsimile no.: (____) _____

E-mail address: _____

H.2 OFFICER DETAILS

Provide details of the following officers (or equivalent member of the governing committee, howsoever described by the association or co-operative):

Chairman /President (or equivalent):

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Secretary (or equivalent):

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Treasurer (or equivalent):

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Public Officer of the Incorporated Association (if any):

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Member of the Unincorporated Association (only applicable if this Application Form is signed by such member):

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

.....Continue over page

Section 2 – Investor Details

H. ASSOCIATION / REGISTERED CO-OPERATIVE (continued)

H.3 BENEFICIAL OWNER DETAILS

Are there any beneficial owners (i.e. individuals who directly or indirectly control the association or registered co-operative) who are different to the officers listed in H.2?

☐ No / ☐ Yes – if 'Yes', please provide the details of the beneficial owners:

Given name/s: _____ Surname: _____

Date of birth: ____/____/____ Role: _____

Residential address (street address only): _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

(If there are more beneficial owners, provide details on a separate sheet and tick this box ☐)

H.4 TAX CERTIFICATIONS

Is the association or registered co-operative a tax resident of a country outside of Australia? NO ☐ / YES ☐ If 'Yes', please complete table below.

Country of tax residency	Tax Identification Number (TIN) or equivalent number

If applicable, please specify the reason for the non-availability of a tax identification number:

H.5 DOCUMENTS TO PROVIDE

Associations (incorporated and unincorporated)

- ☐ ATTACH: Certified copy of the constitution/rules of the association; and
- ☐ ATTACH: Certified copy of the current Australian driver's licence or passport of each officer listed in H.2 of Section 2; and
- ☐ ATTACH: Certified copy of the current Australian driver's licence or passport of each Beneficial Owner listed in H.3 of Section 2.

Registered Co-operatives

- ☐ ATTACH: Certified copy of the register maintained by the co-operative; and
- ☐ ATTACH: Certified copy of the current Australian driver's licence or passport of each officer listed in H.2 of Section 2; and
- ☐ ATTACH: Certified copy of the current Australian driver's licence or passport of each Beneficial Owner listed in H.3 of Section 2.

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 2 – Investor Details

I. GOVERNMENT BODY

I.1 GOVERNMENT BODY DETAILS

Full name of government body: _____

Principal place of operations (street address only): _____

Suburb _____ State _____ Postcode _____ Country _____

Postal address: _____

Suburb _____ State _____ Postcode _____ Country _____

Note: This postal address will be used for all account correspondence.

Phone no. (____) _____

Facsimile no. (____) _____

E-mail address: _____

Legislation establishing the government body: _____

I.2 GOVERNMENT INFORMATION

Select ONE of the following categories that apply to the government body.

- ☐ **Commonwealth of Australia Government Body** - *Please proceed to I.4 of Section 2.*
- ☐ **Australian State or Territory Government Body** - Please specify State or Territory: _____
Please proceed to I.4 of Section 2.
- ☐ **Foreign (non-Australian) Government Body** – Please specify foreign country: _____
Please proceed to I.3 of Section 2.

I.3 BENEFICIAL OWNER DETAILS

This section is to be completed by a **foreign government body** only.

Please provide details of all individuals that directly or indirectly control the government body, such as the Chairman, President, Treasurer or Secretary of the government body.

Beneficial Owner 1:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only) _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Please describe role: _____

Beneficial Owner 2:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only) _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Please describe role: _____

Beneficial Owner 3:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only) _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Please describe role: _____

.....Continue over page

Section 2 – Investor Details

I. GOVERNMENT BODY

I.3 BENEFICIAL OWNER DETAILS (*continued*)

Beneficial Owner 4:

Given name/s: _____ Surname: _____ Date of birth: ____/____/____

Residential address (street address only) _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Please describe role: _____

(If there are more beneficial owners, provide details on a separate sheet and tick this box ☐)

I.4 DOCUMENTS TO PROVIDE

Australian Government Bodies

NO ATTACHMENT REQUIRED

Please proceed to Section 3.

Foreign Government Bodies

☐ **ATTACH:** Certified copy of the extract of the legislation establishing the government body; and

☐ **ATTACH:** Certified copy of the current Australian driver's licence or passport of each Beneficial Owner listed in I.3 of Section 2.

Note: Documents that are not written in English must be accompanied by an English translation prepared by a National Accreditation Authority for Translators and Interpreters (NAATI) accredited translator, lawyer or legal translator.

Each document supplied must be certified as a true copy of the original by an acceptable certifier. Within Australia, acceptable certifiers include registered legal practitioners, dentists and medical practitioners; Justice of the Peace; police officers; notary public; permanent employees of Commonwealth, State or Territory, or local government authority with 2+ years continuous service; officers with, or authorised representative of, an AFSL holder, with 2+ years continuous service; CPA or CA. Refer to the FAQ for the complete list of acceptable certifiers.

Please proceed to Section 3.

Section 3 – Application Amount and Payment Details

FUND NAME	INITIAL INVESTMENT AMOUNT (\$)
Resolution Capital Global Property Securities Fund (Unhedged) – Series II – Class B	
Resolution Capital Global Property Securities Fund (Unhedged) – Series II – Class M	
Resolution Capital Real Assets Fund - Class B	
Resolution Capital Global Listed Infrastructure Fund – Class C (Hedged)	

3.A SOURCE OF INVESTMENT

Please identify the source of your investment:

Investor 1:

- ☐ Gainful employment/savings ☐ Inheritance/gift ☐ Financial investments ☐ Business activity
☐ Superannuation savings ☐ Other – please specify: _____

Investor 2 (for joint account):

- ☐ Gainful employment/savings ☐ Inheritance/gift ☐ Financial investments ☐ Business activity
☐ Superannuation savings ☐ Other – please specify: _____

3.B PAYMENT DETAILS

Please see page 2 of this application form for payment instructions.

Please note:

Ensure that the original application is posted in the mail to Registry.

Post:

Resolution Capital Limited
c/- Citi Unit Registry Australia
GPO Box 764
Melbourne VIC 3001

Existing clients have the option to fax their application*.

Fax:

[Fund Name] [Investor Name]
c/- Citi Unit Registry Australia
+61 1300 102 151

You must ensure that instructions to the Registry are signed off by mandated signatories that have been previously provided to the Registry.

*For the purpose of satisfying AML requirements, an existing client is one that currently has an account in a Pinnacle fund whose details as held by Registry have not changed. Please complete Section 2 if any details have changed.

....Continue over page

Section 4 – Distribution Election

DISTRIBUTION

Please specify how you would like any distributions from the Fund to be paid. I/we wish to have my/our distributions*

- ☐ Reinvested as additional units in the Fund*, or
- ☐ Paid in cash (Australian dollars only) into my/our account below

* Unless otherwise instructed, distributions will be reinvested in additional units.

** Where distributions are paid directly to a bank account, they will only be paid in Australian (AUD) dollars.

Distribution reinvestment is only available to investors who are residents in Australia or New Zealand. Investors who are not residents in Australia or New Zealand will have their distributions paid as cash.

***Bank account details stated on the Application Form should be for an account that will receive and accept AUD payments.

4.A NOMINATED BANK ACCOUNT

Note: We cannot transfer proceeds to third party bank accounts. Nominated bank account name must be in the same name as the investor(s).

For trusts or super funds, the bank account must be in the name of the trust/super fund or refer to the name of the trust/super fund e.g. 'ABC Super Fund' or 'ABC Pty Ltd ATF ABC Super Fund'.

Bank account details for **distributions**:

Bank: _____

Account Name: _____

BSB No.: _____ Account No.: _____

Bank account details for **withdrawals** if different from above:

Bank: _____

Account Name: _____

BSB No.: _____ Account No.: _____

Section 5 – Information you may receive

Account information

We are required by law to send information including transaction advices and holding statements in relation to your account.

Annual Financial Reports

The Annual Financial Reports of the Fund will be available in a timely, cost effective and environmentally friendly manner via our website at www.rescap.com by 30 September each year.

.....Continue over page

Section 6 – Adviser Access to your Account Information

By filling in this section, you authorise the provision of Information relating to your account to the financial adviser named below, and any other person authorised by that adviser. Adviser Name: _____

Name of Advisory Firm and/or Dealer Group: _____

AFSL Number: _____ Adviser Number: _____

Address: _____

Suburb: _____ State: _____ Postcode: _____ Country: _____

Note: This address will be used for all account correspondence; however we also require your registered address.

Phone no.: (____) _____ Mobile no.: _____

Facsimile no.: (____) _____

E-mail address: _____

Section 7 – Tax File Number (TFN) Notification or Exemption

You may choose to quote your Australian TFN or claim an exemption in relation to your investments in the Fund by completing this section. Collection of your TFN is authorised, and its use and disclosure are strictly regulated by the tax laws and Privacy Act. It is not an offence if you do not quote your Tax File Number or a valid exemption. However, if you do not, and you do not provide appropriate exemption information, we are required to withhold tax at the highest marginal tax rate from all income distributions made to you.

Note: *For Trusts and Superannuation Funds – provide the TFN of the Trust or Super Fund. TFNs for trustees cannot be accepted.*

For adults/guardians acting on behalf of a minor – provide the TFN of the adult/guardian AND the minor where indicated.

Investor 1

Full Name: _____

Tax File Number: _____

Basis for Tax File Number exemption (if applicable): _____

Investor 2 (if joint account)

Full Name: _____

Tax File Number: _____

Basis for Tax File Number exemption (if applicable): _____

Minor (if applicable)

Full Name: _____

Tax File Number: _____

Basis for Tax File Number exemption (if applicable): _____

Section 8 – Intended purpose of your investment

To assist the RE in meeting the Design and Distribution Obligations, you are required to indicate the purpose of your investment by responding to each of the questions set out below. Your responses should reflect your objectives and needs for this Investment. Please tick only 1 box for each question below.

Further information in relation to these questions can be found in the Target Market Determination (TMD) for the relevant Fund you are investing in, which can be accessed at <https://rescap.com/>

What is your primary investment objective in relation to this investment?

- ☐ Capital growth ☐ Capital preservation ☐ Income Distribution

Are you seeking a source of supplemental income in addition to the above objective?

- ☐ Yes ☐ No

What percentage of your investment portfolio will be allocated to this investment?

- ☐ Solution/ Standalone (up to 100%) ☐ Major allocation(up to 75%) ☐ Core component (up to 50%)
☐ Minor allocation (up to 25%) ☐ Satellite allocation (up to 10%)

What is your intended investment timeframe?

- ☐ Less than 5years ☐ 5 years ☐ Greater than 5 years years

What risk / return profile do you expect from this investment?

- ☐ Low ☐ Medium ☐ High ☐ Very High ☐ Extremely High

What do you anticipate your need to withdraw capital from this investment will be?

- ☐ Within one week of request ☐ Within one month of request ☐ Within three months of request
☐ Within one year of request

Have you received personal financial advice regarding this Investment? If yes, please ensure section 6 has been completed.

- ☐ Yes ☐ No

Please note:

1. Failure to complete the above questions may result in your application not being accepted.
2. Acceptance of your application should not be taken as a representation or confirmation that an investment in the relevant Fund you are investing in is, or is likely to be, consistent with your intentions, objectives and needs as indicated in your responses to these questions.
3. For further information on the suitability of this product, please refer to your financial adviser and/or the TMD.

Section 9 – Declaration and Application Signature

I/We declare that I/we:

- acknowledge, accept and declare that all the details given in this application are true and correct, and I/we will undertake to inform you of any changes to the information supplied as and when they occur and that neither the Responsible Entity nor its agents are responsible where a loss may be suffered as a result of the investor providing incorrect or incomplete information;
- have received, read, and personally understood a complete and unaltered copy of the latest PDS and Additional Information to the PDS (if applicable) prior to completing the Application Form, and agree to be bound by the provisions of the Fund's constitution;
- acknowledges that the provision of the product available through the PDS should not be taken as the giving of investment advice by the Investment Manager or the Responsible Entity, as they are not aware of the investor's investment objectives, financial position or particular needs;
- acknowledges that neither the Responsible Entity, its respective holding companies and officers, nor the Investment Manager and its respective officers and holding companies, guarantees the capital invested by investors or the performance of the specific investments of the Fund;
- have received and accepted this offer in Australia or New Zealand;
- certify that if we are signing under a Power of Attorney, the Power of Attorney has not been revoked; and
- authorises the use of the TFN information provided on the Application Form in respect of the investor's Fund account;
- acknowledges that the Responsible Entity is required to collect the investor's personal information under the Corporations Act and the AML/CTF Law and agrees that information provided may be used as detailed in the PDS and the Responsible Entity's Privacy Policy which is available here. And acknowledge that in its absolute discretion and without notice to the you report any, or any proposed, transaction or activity to anybody authorised to accept such reports relating to actual or suspected contraventions of the AML/CTF Law or any other law, and that the Responsible Entity may require us to provide any additional documentation or other information to enable compliance with any laws relating to anti-money laundering and counter terrorism financing ('AML/CTF') or any other law, including the Foreign Account Tax Compliance Act ('FATCA') and OECD Common Reporting Standard ('CRS');

Section 9A – Account Operating Authority

Please indicate how you wish to operate your Account.

- ☐ **Any one of us to sign**, or
- ☐ **All of us to sign**, or
- ☐ **Any two of us to sign**

If you select 'any one of us to sign', each of you (including any person you appoint as an authorised representative*) will be able to transact on, or otherwise operate your account independently of the others.

If you do not select an option, we will assume that '**any one of us to sign**' option will apply.

*Refer to Section 8B below, for how to appoint an Authorised Representative.

Section 9B - Signatory

Signatory Requirements

- **Individual Investor** – the individual investor must sign (if adult is acting as trustee for minor, the adult/guardian must sign)
- **Joint Applicants** – all investors must sign
- **Company** – at least two directors; or a director and company secretary; or by sole director (where applicable), must sign. If signing as authorised signatories of the company, a certified copy of the authorised signatory list must be provided.
- **SMSF** – all individual trustees or directors of the corporate trustee must sign
- **Trusts** – all individual trustees must sign; if a corporate trustee, then sign as for a company
- **Partnership** – each partner must sign
- **Association or registered co-operative** – each office bearer must sign
- **Government Body** – relevant principal officer/authorised signatory must sign
- **Power of Attorney** – If signing under a Power of Attorney, please attach an original certified copy of the Power of Attorney. The front page and the signature pages of the document must be certified at a minimum. Provide an original certified copy of identification documents for the Attorney(s) as required for individuals (i.e. current Australian driver's licence or passport) or company (refer to C.6 or D.6 of section 2). All Attorneys must be identified.
- **Authorised representatives** – to appoint an individual or company as your authorised representative to: apply for units in the Fund(s) and sign all documents necessary for this purpose; and make requests to redeem all or some of your units, please complete the Authorised Representative Form (Individual or Company) and attach it to this Application Form.

.....Continue over page

Section 9B – Signatory (continued)

SIGNATORY 1

Signature: _____ Date: ____/____/____

Surname: _____

Given Name/s: _____

Capacity:

<input type="checkbox"/> Sole Director	<input type="checkbox"/> Individual
<input type="checkbox"/> Director	<input type="checkbox"/> Office Holder
<input type="checkbox"/> Partner	<input type="checkbox"/> Trustee

SIGNATORY 2

Signature: _____ Date: ____/____/____

Surname: _____

Given Name/s: _____

Capacity:

<input type="checkbox"/> Director	<input type="checkbox"/> Individual (joint account)
<input type="checkbox"/> Office Holder	<input type="checkbox"/> Trustee
<input type="checkbox"/> Partner	

SIGNATORY 3

Signature: _____ Date: ____/____/____

Surname: _____

Given Name/s: _____

Capacity:

<input type="checkbox"/> Director	<input type="checkbox"/> Office Holder
<input type="checkbox"/> Partner	<input type="checkbox"/> Trustee

SIGNATORY 4

Signature: _____ Date: ____/____/____

Surname: _____

Given Name/s: _____

Capacity:

<input type="checkbox"/> Director	<input type="checkbox"/> Office Holder
<input type="checkbox"/> Partner	<input type="checkbox"/> Trustee

Post completed Application Form and accompanying documents to:

Resolution Capital Limited
c/- Citi Unit Registry Australia
GPO Box 764
Melbourne VIC 3001