

CUSTOMER IDENTIFICATION FORM FOREIGN COMPANIES

Please note that we **CANNOT** process your application unless the information requested in this form has been provided.

If you are not a Foreign Company, you must download
and complete the relevant customer identification form from
www.perpetual.com.au/customer-id

Alternatively, to order a form or if you have any questions, phone:
Investor Services 1800 022 033
Adviser Services 1800 062 725

About this customer identification form

This form has been designed to meet Perpetual's obligations under the Anti-Money Laundering and Counter Terrorism Financing Act (2006) (AML Act) to identify our customers.

The AML Act regulates financial services and transactions in a way that is designed to detect and prevent money laundering and terrorism financing.

Under the AML Act, we are required to:

- verify your identity before providing services to you, and to re-identify you if we consider it necessary to do so
- where you supply documentation relating to your identity, keep a record of this documentation for seven years after the end of your relationship with Perpetual.

This form also meets our customer identification obligations under the United States (US) Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Additional tax information is available on our website at www.perpetual.com.au/tax.

Privacy

Perpetual is committed to protecting your privacy.

By completing this form, you authorise us to collect your personal information. If you are completing this form as an adviser for another person, you confirm that you have provided them with this privacy notification and that they have consented to us collecting their personal information.

We collect, use and disclose your personal information in accordance with our privacy policy, which includes details about how you may request access to and correct the information that we hold about you. Our policy also outlines our privacy complaints process. This policy is publicly available at our website or you can obtain a copy free of charge by contacting us.

Checklist

You must complete the following steps to ensure your application is processed:

- complete **ALL** required sections in this customer identification form
- provide certified copies of document(s), as requested in this customer identification form, either to us or to your financial adviser
- enclose this completed form with your complete investment application form and send to Perpetual.

Please provide your client ID number or account number (if you have one): _____



CUSTOMER IDENTIFICATION FORM FOREIGN COMPANIES

- This form is for **FOREIGN COMPANIES** only. For companies incorporated in Australia use the **AUSTRALIAN COMPANIES IDENTIFICATION FORM**.
- Complete one form for each Company.
- Complete separate **INDIVIDUAL ID** Forms for each of the Company's Beneficial Owners.
- Tax information must be collected from an authorised representative of the Company.
- Complete all applicable sections of this form in **BLOCK LETTERS**.

Section 1: Foreign Company details

1.1: General information

full name of foreign Company	<input type="text"/>
country of formation / incorporation / registration	<input type="text"/>
principal business activity	<input type="text"/>
<input type="checkbox"/> Select <input checked="" type="checkbox"/> if registered by a foreign body and provide name of body	<input type="text"/>

For companies incorporated in Australia do not use this form: Complete the **AUSTRALIAN COMPANIES IDENTIFICATION FORM**.

1.2: Is the Foreign Company registered with ASIC??

Select **ONE** of the following

<input type="checkbox"/> Yes	Provide ARBN	<input type="text"/>
<input type="checkbox"/> Provide EITHER	<input type="checkbox"/> principal place of business address in Australia	OR <input type="checkbox"/> local agent name and address details (Tick one box)
Address (PO Box is NOT acceptable)		
street	<input type="text"/>	
suburb (if relevant) OR city	state	postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> No	Provide Company identification number (if any) issued by the foreign registration body	<input type="text"/>
Principal place of business in the Company's country of formation or incorporation (PO Box is NOT acceptable)		
street	<input type="text"/>	
suburb (if relevant) OR city	state	postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
country	<input type="text"/>	

1.3: Registered address of Company

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).

street																														
suburb (if relevant) OR city																					state					postcode				
country																														

1.4: Company type

Select ✓ only **ONE** of the following categories

<input type="checkbox"/>	Private	<i>Proceed to 1.5.</i>
<input type="checkbox"/>	Public	<i>Proceed to 1.6.</i>

1.5: Directors

Required for all Private Companies as per 1.4, **NOT** required for Public Companies.

Provide the names of all directors

	first name(s)	last name																												
1.																														
2.																														
3.																														
4.																														

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

1.6: Listing and regulatory details

Select ✓ any of the following categories **if applicable**

If the below categories are not applicable, proceed to section 1.7.

<input type="checkbox"/>	Public listed (companies that are subject to disclosure requirements that ensure transparency of Beneficial Ownership comparable to similar public listing requirements in Australia. Refers to listing on a financial market that by stock exchange rules, law or enforceable means promotes transparency of Beneficial Owner information)																													
name of market / exchange																														
country																														
<i>Proceed to section 2.</i>																														
<input type="checkbox"/>	Majority-owned subsidiary of a Public Listed company (companies that are majority owned by a company that is listed on a financial market such as the ASX or a market with comparable disclosure requirements)																													
listed company name																														
name of market / exchange																														
<i>Proceed to section 2.</i>																														
<input type="checkbox"/>	Regulated in Australia (a Company whose activities are subject to the oversight of a Commonwealth, State or Territory statutory regulator. In this context regulated means subject to oversight beyond that provided by ASIC as a Company registration body. Examples of regulated companies include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) or Registrable Superannuation Entity (RSE) Licensees)																													
regulator name																														
licence details (e.g. AFSL, ACL, RSE)																														
<i>Proceed to section 2.</i>																														

1.7: Beneficial Ownership

To be completed for all companies that are not Public Listed companies, majority owned by a Public Listed Company or companies regulated in Australia as per 1.6

Are there any individuals who ultimately own 25% or more of the Company's issued share capital (through direct or indirect shareholdings)?

Yes (complete 1.7.1) No (complete 1.7.2)

1.7.1: Shareholder Beneficial Owners

Provide the names of the individuals who ultimately own 25% or more of the Company's issued share capital (through direct or indirect shareholdings).

Complete separate Individual customer ID Forms for each of these individuals.

	first name(s)	last name
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>

If Beneficial Owner name(s) are provided above, proceed to section 2.

1.7.2: Other Beneficial Owners

If there are no individuals who meet the requirement of 1.7.1, provide the names of the individuals who directly or indirectly control* the Company.

** includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official(s) of the Company (such as the managing director or directors who are authorised to sign on the Company's behalf).*

Complete separate Individual customer ID Forms for each of these individuals.

1.	first name(s) <input type="text"/>	last name <input type="text"/>	role (such as Managing Director) <input type="text"/>
2.	first name(s) <input type="text"/>	last name <input type="text"/>	role (such as Managing Director) <input type="text"/>
3.	first name(s) <input type="text"/>	last name <input type="text"/>	role (such as Managing Director) <input type="text"/>
4.	first name(s) <input type="text"/>	last name <input type="text"/>	role (such as Managing Director) <input type="text"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box

Section 2: Tax information

Collection of tax status in accordance with United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS). Tax information requested in this form is explained on our website at www.perpetual.com.au/tax.

2.1: Tax status

Tick ✓ **ONE** of the 4 Tax status boxes below (A-D) (if the Company is a Financial Institution, please provide all the requested information below).

A **A Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance Company for FATCA / CRS purposes)

Provide the Company's Global Intermediary Identification Number (GIIN), if applicable

If the Company is a Financial Institution but does not have a GIIN, provide the Company's FATCA status.

Select ✓ **ONE** of the following statuses.

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Exempt Beneficial Owner
- Non Reporting IGA Financial Institution
- Nonparticipating Financial Institution
- US Financial Institution
- Other

If you are a Specified US Person, provide your TIN

Describe the Company's FATCA status

PLEASE ANSWER THE QUESTION BELOW FOR ALL FINANCIAL INSTITUTIONS

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?

Yes No

*If Yes, proceed to section 2.2 (Foreign Beneficial Owners).
If No, proceed section 3 to complete the form.*

CRS participating and committed jurisdictions are on the Perpetual website at www.perpetual.com.au/crs-participating-jurisdictions

B **A Public Listed Company, Majority Owned Subsidiary of a Public Listed Company, Governmental Entity, International Organisation or Central Bank**

If the Company type is listed above, proceed to section 3 to complete the form.

C **A Charity or an Active Non-Financial Entity (NFE)** (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held were for the production of passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at www.oecd.org.)

If the Company is a charity or an Active NFE, proceed to section 2.3 (Country of tax residency).

D **Other** (Entities that are not previously listed – Passive Non-Financial Entities)

Proceed to section 2.2 (Foreign Beneficial Owners).

2.2: Foreign Beneficial Owners

Does the Company have any Beneficial Owners (as defined in 1.7) who are tax residents of countries other than Australia? Yes No

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship or residency.

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in section 1.7).

	first name(s)	last name
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box

Proceed to section 2.3 (Country of tax residency).

2.3: Country of tax residency

Is the Company a tax resident of a country other than Australia? Yes No

If Yes, please provide the Company's country of tax residence and tax identification number (TIN) or equivalent below. If the Company is a tax resident of more than one other country, please list all relevant countries below.

If No, proceed to section 3 to complete the form.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or an Employer Identification Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="checkbox"/>

If there are more countries, provide details on a separate sheet and tick this box

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

Reason B The Company has not been issued with a TIN

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

Section 3: Foreign company identification documents

- **If you are applying directly with Perpetual** – You will need to provide a certified copy of the document(s) with your application.
- **If you are lodging this application through a financial adviser** – You may provide a certified copy of the document(s) with your application **OR** have your adviser sight an original or certified copy of your document(s).

Foreign companies registered with ASIC, please provide **ONE** of the following:

- an original or certified copy of a certificate of registration issued by ASIC or by the relevant foreign registration body
- alternatively, if you have a financial adviser they may be able to perform a search of the relevant ASIC database or perform a search of the relevant foreign registration body.

OR

Foreign companies **NOT** registered with ASIC, please provide **ONE** of the following:

- an original or certified copy of a certificate of registration issued by the relevant foreign registration body
- alternatively, if you have a financial adviser they may be able to perform a search of the relevant foreign registration body.

OR

For a public listed company, a majority owned subsidiary of a public listed company, or companies regulated in Australia, please provide **ONE** of the following:

- a public document issued by the relevant Company
- alternatively, if you have a financial adviser they may be able to perform a search of the relevant financial market **OR** perform a search of the relevant ASIC database **OR** perform a search of the licence or other records of the relevant Commonwealth, state or territory statutory regulator.

How to certify your documents

A certified copy means a document that has been certified as a true and correct copy of a document by a person listed below, including all persons described in the Statutory Declarations Regulations 1993.

To create a certified copy, one of the persons listed below must write the following on the copy of the document.

'I, [full name], [category of persons as listed below], certify that this [name of document] is a true and correct copy of the original. [signature and date]'

- An Australian bank, building society, credit union or finance company officer with a minimum of 2 years continuous service
- A fellow of the National Tax and Accountants' Association
- An Australian judge of a court, Justice of the Peace or magistrate
- An Australian legal practitioner
- A notary public
- An Australian medical practitioner including dentist, nurse, optometrist, pharmacist, physiotherapist, psychologist or veterinary surgeon
- A permanent employee or agent of the Australian Postal Corporation with a minimum of 2 years continuous service
- An Australian federal, state or territory police officer
- A teacher employed on a full-time basis at an Australian school or tertiary education institution
- An accountant who is a full member of the Chartered Accountants Australia and New Zealand, CPA Australia, the Institute of Public Accountants or the Association of Taxation and Management Accountants
- An Australian Consulate or Diplomatic Officer
- An officer or authorised representative of an Australian Financial Services Licence holder with a minimum of 2 years continuous service with one or more licensees
- A person in a country other than Australia who is authorised by local law to administer oaths or affirmations or to authenticate documents (please list the local law providing this authority when certifying the document)

IMPORTANT: Please ensure that you have either

- provided the individual customer ID Forms for the Company's Beneficial Owners as per 1.7 **AND**
- enclosed certified copies of the Company's identity documents (and any required transactions) **OR** agreed that your adviser will complete the Adviser Record of Verification procedure below.

Section 4: Record of verification procedure (Adviser use only)

This section is to be used by Advisers (Australian Financial Services (AFS) licensees only) when a record of verification is provided, rather than certified copies of identity documentation.

ID document details	Document 1	Document 2 (if applicable)
verified from	<input type="checkbox"/> performed search <input type="checkbox"/> original <input type="checkbox"/> certified copy	<input type="checkbox"/> performed search <input type="checkbox"/> original <input type="checkbox"/> certified copy
document issuer / website	<input type="text"/>	<input type="text"/>
public document type	<input type="text"/>	<input type="text"/>
issue date / search date	<input type="text" value="dd / mm / yyyy"/>	<input type="text" value="dd / mm / yyyy"/>
accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> sighted	<input type="checkbox"/> N/A <input type="checkbox"/> sighted
<p>By completing and signing this Record of Verification Procedure I declare that:</p> <ul style="list-style-type: none"> • an identity verification procedure has been completed in accordance with the AML/CTF Rules, in the capacity of an AFSL holder or their authorised representative; • individual customer ID Forms have been provided for the Company's Beneficial Owners (where applicable) AND • the tax information provided is reasonable considering the documentation provided. 		
AFS licensee name	<input type="text"/>	AFSL number <input type="text"/>
representative / employee name	<input type="text"/>	phone number <input type="text"/>
signature	<input type="text"/>	date verification completed <input type="text" value="dd / mm / yyyy"/>