

# APPLYING FOR AN INVESTMENT

## DIRECT INVESTORS

### NEW ACCOUNT

Your initial investment in the Fund must be at least \$100,000.

To invest in the Fund:

- if investing by **cheque** – complete the application form, attach a cheque for your initial investment amount made payable to **'PIML – PISTIW – [insert name of applicant(s)]'** and send them to us
- if investing by **direct debit** – complete the application form and send it to us (we'll debit the initial investment amount directly from your nominated account once we've accepted your application).

The table on page 23 will assist you in completing the 'Investor details' section of the application form, and also explains who should sign the form and where TFN/ABN or exemption details should be recorded.

We must verify your identity before considering your application. Unless you are an individual or joint investor, you should also complete the relevant **'Customer identification form'** available at our website or by contacting us.

### ADDITIONAL INVESTMENTS

Additional investments can be made at any time according to the current PDS. The PDS may be updated or replaced from time to time and you should read the current version before you make an additional investment. You can obtain a copy of the current PDS, free of charge, at our website or by contacting us.

Additional investments in the Fund must be at least \$5,000.

To make an additional investment in the Fund after reading the current PDS:

- if investing by **direct debit** – complete the application form and send it to us (we'll debit the additional investment amount directly from your nominated account once we've accepted your application)
- if investing by **BPAY** – simply remit your additional investment amount, quoting your **Customer Reference Number (CRN)** and the Fund's **BPAY biller code 489070**.

## LODGING YOUR APPLICATION FORM

You can lodge your completed application form (including your cheque, if applicable) with your financial adviser or at any Perpetual state office (see back cover for street address details) or post (no stamp required if posted in Australia) to:

Reply Paid 4171  
Perpetual Wholesale Funds  
GPO Box 4171  
Sydney NSW 2001  
Australia

## APPLICATION CONDITIONS

Please note:

- applicants must be at least 18 years of age
- investment amounts need not be in whole dollars
- there is no maximum investment amount
- cash amounts are not accepted, however we can determine other acceptable methods of payment
- for trust investors, only the trustee has rights and obligations under the Fund
- joint applicants will be assumed to be joint tenants (that is, the survivor(s) will be recognised as holding title to the interests of a deceased joint investor), unless you otherwise specify
- if signed under power of attorney:
  - the attorney certifies that he or she has not received notice of revocation of the power
  - the power of attorney, or a certified copy, must be sent to us
- we have absolute discretion to accept, reject or limit any application.

## AUTHORISED SIGNATORIES

If no amendments have been made, the authorised signatories to your investment are the individuals who signed the initial investment application form.

You can add authorised signatories or change the authorised signatories by written request signed by all existing authorised signatories and all new authorised signatories.

## JOINT INVESTORS

For joint investors, unless you specify otherwise, we will assume that any investor has the signing authority for the other investor(s) for all future transactions and written changes, including:

- address
- bank account details
- additional investments
- distributions
- withdrawals.

## GUIDE TO COMPLETING THE 'INVESTOR DETAILS' SECTION OF THE APPLICATION FORM

INVESTOR TYPE	SECTION FOR INVESTOR DETAILS	WHO SHOULD SIGN	SECTION FOR TFN/ABN OR EXEMPTION DETAILS <sup>1</sup>
<b>I – Individual<sup>2</sup></b>	3A	Individual	3A – for individual
<b>J – Joint individuals<sup>2</sup></b>	3A	Both individuals	3A – for each individual <sup>3</sup>
<b>C – Company</b>	3B	For a company: <ul style="list-style-type: none"> <li>• two directors or</li> <li>• a director and company secretary or</li> <li>• if the company has a sole director/secretary, by that person or</li> <li>• a representative authorised by the company.</li> </ul> Companies can also sign under power of attorney.	3B – for the company
<b>P – Partnership<sup>4</sup></b>	3B	Partners	3B – for the partnership
<b>T – Trust<sup>5</sup></b>	3B		3B – for the trust
Individual trustee(s)	3A	If more than one trustee, all trustees should supply their details and sign. <sup>3</sup>	
Corporate trustee	3B	See 'Company' investors above.	
<b>S – Superannuation funds</b>	3B		3B – for the superannuation fund
Individual trustee(s)	3A	If more than one trustee, all trustees should supply their details and sign. <sup>3</sup>	
Corporate trustee	3B	See 'Company' investors above.	
<b>A – Association</b>	3B	Office bearer(s) – if more than one office bearer, all office bearers should supply their details and sign.	3B – for the association
<b>G – Government body</b>	3B	All authorised signatories	3B – for the government body
<b>O – Other entity</b> (eg co-operative, club, charity)	3B	Office bearer(s) – if more than one office bearer, all office bearers should supply their details and sign.	3B – for the entity <sup>6</sup>

- See page 17 for further information. The following codes may be used in place of the TFN for individual investors:
  - 444 444 441 – where you are a pensioner, such as the recipient of Centrelink (age or disability support) pension or Service (veterans) pension
  - 444 444 442 – where you are a recipient of other eligible Centrelink pensions or benefits
  - 888 888 888 – where you are a non-resident and do not have a TFN.
- Individuals or joint investors include adult(s) investing for a child under 18 years.
- If there are more than two joint individual investors or more than two individual trustees – please copy section 3A, insert the additional investor or trustee details (as applicable) and attach to your completed application form.
- This investor type should only be selected where there is a formal partnership agreement and the partnership has its own TFN.
- This investor type should only be selected where the trust is established under a formal arrangement and the trust has its own TFN.
- If you are a registered charity and are exempt from tax and choose not to provide your ABN, you need to attach a statement (including your organisation's name and address) providing the reason your organisation is not required to lodge an income tax return. If your organisation's tax status subsequently changes, your organisation can incur a penalty from the ATO if you don't inform us within two months after the end of the year of income in which the change occurred.

### COMPANY INVESTMENTS

Unless we receive additional information, only the company directors, company secretary or attorney signing the application form will be authorised signatories to the company investment.

### EXISTING ACCOUNTS

If you request to apply any investments to an existing account number, any adviser or authorised representative who currently has access to transact on and/or view that account will be able to transact on and/or view any additional investments under that account.

### INDIRECT INVESTORS

You can invest in the Fund by directing your Service operator to lodge an investment application with us. You should complete any relevant forms provided by your Service operator.

The PDS may be updated or replaced from time to time and you should read the current version before making any investment application in relation to the Fund. You can obtain a copy of the current PDS at our website or from your Service operator.

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# Perpetual Pure Credit Alpha Fund

Product Disclosure Statement **issue number 3 dated 1 May 2017**  
Perpetual Investment Management Limited ABN 18 000 866 535 AFSL 234426

## APPLICATION FOR CLASS W UNITS

Please complete this form using BLACK INK and print well within the boxes in CAPITAL LETTERS. Mark appropriate boxes with a cross like the following . Start at the left of each answer space and leave a gap between words.

**Please ensure this form is fully complete and all required documentation is provided to either your financial adviser or us, so we can process your application.**

### 1. Investor type

Are you an existing Perpetual investor?

no

yes  client number

If yes, would you like to open a new account or make an additional investment into an existing account?

new account\*

additional investment  existing account number  please go to section 2

#### Investor type (please select only one investor type)

individual\*\*  joint\*\*  company  superannuation fund  trust

partnership  association  government body  other entity

\* If you are opening a new account for an entity (not an individual or joint investor), you will also need to complete the 'Customer identification form' for your investor type, available on our website (unless you have previously provided a form for this entity).

\*\* Individual or joint investors include adult(s) investing for a child under 18 years.

### 2. Investment amount and payment details

How much would you like to invest? \$

#### Source of funds being invested (tick most relevant option)

retirement savings  employment income  business activities

sale of assets  inheritance/gift  financial investments

other

**How will this investment be made? NOTE:** Cash is not accepted.

cheque  make cheque payable to **PISTIW – [insert name(s) of applicant(s)]**

direct debit  Perpetual will debit your bank account nominated in section 7.  
I/We acknowledge and accept the terms and conditions of direct debit available at [www.perpetual.com.au/pure-credit-alpha-fund](http://www.perpetual.com.au/pure-credit-alpha-fund)

### 3. Investor details

Existing investors in the Funds need only complete this section if you wish to change any details provided previously.

#### A. Individual and joint account holders

##### Investor 1 (individual account holder)

title	
Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>
Miss <input type="checkbox"/>	Ms <input type="checkbox"/>
other <input type="checkbox"/>	<input type="text"/>
first name(s)	
<input type="text"/>	
last name	
<input type="text"/>	
occupation	
<input type="text"/>	
date of birth	gender
<input type="text"/> / <input type="text"/> / <input type="text"/>	male <input type="checkbox"/>
	female <input type="checkbox"/>
<b>Residency status for tax purposes</b>	
<i>Tax residency rules differ by country. Whether an individual is a 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 United States, tax residency can also be as a result of citizenship or residency.</i>	
<b>Please answer BOTH of the following tax residency questions:</b>	
<b>1. Are you a tax resident of Australia?</b>	
yes <input type="checkbox"/>	(complete the following details and then proceed to question 2 below)
no <input type="checkbox"/>	(proceed to question 2 below)
tax file number (TFN)	
<input type="text"/>	or
TFN exemption code	
<input type="text"/>	
<b>2. Are you a tax resident of another country?</b>	
yes <input type="checkbox"/>	(complete the following details)
no <input type="checkbox"/>	
<b>If 'yes', please list all relevant countries and provide your tax identification number (TIN) for each country.</b>	
<i>A TIN refers to the number assigned by a country for the purpose of administering its tax laws and is the equivalent of a TFN in Australia. If a TIN is not provided, please list one of the three reasons specified below (A, B or C) for not providing a TIN.</i>	
Country 1	<input type="text"/>
TIN	<input type="text"/>
	If no TIN, list reason A, B or C <input type="checkbox"/>
Country 2	<input type="text"/>
TIN	<input type="text"/>
	If no TIN, list reason A, B or C <input type="checkbox"/>
<i>If there are more than two countries, provide details on a separate sheet and tick this box.</i>	
<input type="checkbox"/>	
<b>Reason A:</b> The country of tax residency does not issue TINs to tax residents.	
<b>Reason B:</b> I have not been issued with a TIN.	
<b>Reason C:</b> The country of tax residency does not mandate provision of the TIN.	

##### Investor 2 (joint account holder)

title	
Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>
Miss <input type="checkbox"/>	Ms <input type="checkbox"/>
other <input type="checkbox"/>	<input type="text"/>
first name(s)	
<input type="text"/>	
last name	
<input type="text"/>	
occupation	
<input type="text"/>	
date of birth	gender
<input type="text"/> / <input type="text"/> / <input type="text"/>	male <input type="checkbox"/>
	female <input type="checkbox"/>
<b>Residency status for tax purposes</b>	
<i>Tax residency rules differ by country. Whether an individual is a 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 United States, tax residency can also be as a result of citizenship or residency.</i>	
<b>Please answer BOTH of the following tax residency questions:</b>	
<b>1. Are you a tax resident of Australia?</b>	
yes <input type="checkbox"/>	(complete the following details and then proceed to question 2 below)
no <input type="checkbox"/>	(proceed to question 2 below)
tax file number (TFN)	
<input type="text"/>	or
TFN exemption code	
<input type="text"/>	
<b>2. Are you a tax resident of another country?</b>	
yes <input type="checkbox"/>	(complete the following details)
no <input type="checkbox"/>	
<b>If 'yes', please list all relevant countries and provide your tax identification number (TIN) for each country.</b>	
<i>A TIN refers to the number assigned by a country for the purpose of administering its tax laws and is the equivalent of a TFN in Australia. If a TIN is not provided, please list one of the three reasons specified below (A, B or C) for not providing a TIN.</i>	
Country 1	<input type="text"/>
TIN	<input type="text"/>
	If no TIN, list reason A, B or C <input type="checkbox"/>
Country 2	<input type="text"/>
TIN	<input type="text"/>
	If no TIN, list reason A, B or C <input type="checkbox"/>
<i>If there are more than two countries, provide details on a separate sheet and tick this box.</i>	
<input type="checkbox"/>	
<b>Reason A:</b> The country of tax residency does not issue TINs to tax residents.	
<b>Reason B:</b> I have not been issued with a TIN.	
<b>Reason C:</b> The country of tax residency does not mandate provision of the TIN.	

### 3. Investor details (continued)

#### A. Individual and joint account holders

**Investor 1** (individual account holder)

Residential address (mandatory)	
unit number	street number
<input type="text"/>	<input type="text"/>
street name	
<input type="text"/>	
<input type="text"/>	
suburb	
<input type="text"/>	
state	postcode
<input type="text"/>	<input type="text"/>
country	
<input type="text"/>	
phone (business hours)	
<input type="text"/>	
phone (after hours)	
<input type="text"/>	
mobile	
<input type="text"/>	
email address	
<input type="text"/>	
<input type="text"/>	

**Investor 2** (joint account holder)

Residential address (mandatory)	
unit number	street number
<input type="text"/>	<input type="text"/>
street name	
<input type="text"/>	
<input type="text"/>	
suburb	
<input type="text"/>	
state	postcode
<input type="text"/>	<input type="text"/>
country	
<input type="text"/>	
phone (business hours)	
<input type="text"/>	
phone (after hours)	
<input type="text"/>	
mobile	
<input type="text"/>	
email address	
<input type="text"/>	
<input type="text"/>	

By providing this email address, I/we agree that Perpetual may use this email address to provide me/us with information about my/our investment (such as transaction confirmations, statements, reports and other materials or notifications required by the Corporations Act) or Perpetual's products, services and offers. From time to time we may still need to send you mail.

Postal address (if different to residential address)		
po box	unit number	street number
<input type="text"/>	<input type="text"/>	<input type="text"/>
street name		
<input type="text"/>		
<input type="text"/>		
suburb		
<input type="text"/>		
state	postcode	
<input type="text"/>	<input type="text"/>	
country		
<input type="text"/>		

same contact details as investor 1 <input type="checkbox"/>		
po box	unit number	street number
<input type="text"/>	<input type="text"/>	<input type="text"/>
street name		
<input type="text"/>		
<input type="text"/>		
suburb		
<input type="text"/>		
state	postcode	
<input type="text"/>	<input type="text"/>	
country		
<input type="text"/>		

### 3. Investor details (continued)

#### B. All other account holders

company name/corporate trustee																													
name of superannuation fund, trust, partnership, association, government body or co-operative																													
tax file number															and/or ABN														
principal business activity																													
c/-																													
po box					unit number					street number																			
street name																													
suburb																													
state					postcode					country																			
phone (business hours)										mobile										fax									
email address																													

By providing this email address, I/we agree that Perpetual may use this email address to provide me/us with information about my/our investment (such as transaction confirmations, statements, reports and other materials or notifications required by the Corporations Act) or Perpetual's products, services and offers. From time to time we may still need to send you mail.

## 4. Authorised representative

Existing investors in the Fund need only complete this section if you wish to add or change an authorised representative. Would you like to appoint an authorised representative? Before appointing an authorised representative, refer to the PDS for more details.

no	<input type="checkbox"/>	please go to section 5
yes	<input type="checkbox"/>	please complete the details below.
I have read the terms and conditions associated with appointing an authorised representative.		
Online Account Access for my authorised representative		
<input type="checkbox"/>	view and transact (default)	or <input type="checkbox"/> view only or <input type="checkbox"/> no access
<b>authorised representative details:</b>		
first name(s)	<input type="text"/>	
last name	<input type="text"/>	
po box	unit number	street number
<input type="text"/>	<input type="text"/>	<input type="text"/>
street name		
<input type="text"/>		
suburb		
<input type="text"/>		
state	postcode	country
<input type="text"/>	<input type="text"/>	<input type="text"/>
signature of authorised representative	<input type="text"/>	date <input type="text"/> / <input type="text"/> / <input type="text"/>

## 5. Features

Existing investors in the Fund need only complete this section if you wish to add any new features or change existing features.

Indicate which optional features you would like applied to your account		
<b>BPAY</b> for additional investments	yes (default) <input type="checkbox"/> no <input type="checkbox"/>	
<b>Investor Online Account Access</b> Note: an email address is required to register you for online account access	view & transact (default) <input type="checkbox"/> view only <input type="checkbox"/>	
<b>Financial adviser Online Account Access</b> Note: your financial adviser can access information about your account online	view & transact (default) <input type="checkbox"/> view only <input type="checkbox"/>	
<b>Investment information to be sent in the mail</b> Note: most of your investment information is also available through Online Account Access	online only (default) <input type="checkbox"/> online and mail <input type="checkbox"/>	
<b>Annual financial reports to be sent in the mail</b> Note: annual financial reports are also available on our website	yes <input type="checkbox"/> no (default) <input type="checkbox"/>	

• For each optional feature you have selected, please ensure you have read and understood the 'Operating your account' section in the PDS for that optional feature.



## 6. Investment allocation

Fund	APIR code	short code	initial investment (minimum \$100,000)	additional investment (minimum \$5,000)	distributions (indicate a preference with an X). If no selection is made, reinvest will be assumed	
					reinvest	bank account
Perpetual Pure Credit Alpha Fund	PER0669AU	PISTIW	\$	\$	<input type="checkbox"/>	<input type="checkbox"/>

## 7. Bank account details

Existing investors in the Fund need only complete this section if you wish to add or change your bank account details. You can only nominate a bank account that is held in your name(s). By providing your bank account details in this section, you accept the terms in the Direct Debit Service Agreement and authorise Perpetual to use these details for all future transaction requests that you nominate.

### Bank account

Complete your account details in this section if you would like us to debit or credit your bank account for applications, withdrawals and payment of distributions, as applicable.

name of financial institution

branch name

branch number (BSB)

account number

 - 


name of account holder

signature of account holder A

signature of account holder B




date

 /  /

## 8. Financial adviser use only

### Financial adviser details

financial adviser name																																	
phone (after hours)													phone (business hours)																				
mobile													fax																				
AFSL licensee name													AFSL number																				
either Perpetual adviser number																																	
or dealer group													dealer branch																				
email address																																	
financial adviser signature													date			/			/														



IL GN    /    /  (Group)

IL AN    /    /  (Adviser)

IL CN    /     /  (Client)

## 9. Declaration and signature

I/We declare and agree that:

- I/we have read the Product Disclosure Statement (PDS), including all supplementary Product Disclosure Statements (SPDSs) (if applicable) and any relevant incorporated material to which this application applies, and have received and accepted the offer to invest in Australia
- all of the information provided in my/our application is true and correct
- I am/we are bound by any terms and conditions in this PDS and all SPDSs (if applicable) and the provisions of the constitution (as amended) of the Fund
- I/we have the legal power to invest and/or are at least 18 years of age
- I/we have read and understood the privacy disclosure as detailed in the PDS. I/We consent to my/our personal information being collected, held, used and disclosed in accordance with the privacy disclosure. I/We consent to Perpetual disclosing this information to my/our financial adviser (named in this form) in relation to the investments described in this form. Where the financial adviser named in this form no longer acts on my/our behalf, I/we will notify Perpetual of the change
- if I/we have received this PDS from the internet or other electronic means, that I/we received it personally or a print out of it, accompanied by or attached to this application form
- if this is a joint application, each of us agrees, unless otherwise indicated on this application, our investment is as joint tenants. Each of us is able to operate the account and bind the other(s) to any transaction including investments or withdrawals by any available method
- in relation to trust investors, only the trustee has rights and obligations under the Fund
- withdrawals by companies must be signed by an authorised representative or in accordance with the company's constitution or under power of attorney
- I/we confirm that I/we have provided my/our financial adviser with acceptable identification documentation as described in the application form or customer identification form accompanying the PDS OR I/we are not investing through a financial adviser, and therefore have included certified copies of acceptable identification documentation with the completed application form as described in the application form or the customer identification form accompanying the PDS.

## 9. Declaration and signature (continued)

I/We acknowledge and agree that:

- the information contained in the PDS is not investment advice or a recommendation that the Fund is suitable having regard to my/our investment objectives, financial situation or particular needs
- Perpetual may be required to pass on my/our personal information or information about my/our investment to the relevant regulatory authorities, including for compliance with income tax law and the Anti-Money Laundering and Counter-Terrorism Act 2006 or associated regulation and any tax-related requirements for tax residents of other countries
- investments in the Fund are not investments, deposits or other liabilities of Perpetual Limited or its subsidiaries and are subject to investment and other risks, including possible delays in repayment and the loss of income and principal invested
- neither Perpetual Investment Management Limited nor Perpetual Limited or its subsidiaries guarantee the repayment of capital or the performance of the Fund or any particular rate of return from the Fund
- the PDS has referred me/us to additional information or terms and conditions ('information') of this product which may assist me/us in making my/our investment decision and I/we have referred to this information to the extent I/we considered it was necessary to make my/our investment decision
- Perpetual may contact me/us where required by using the email address(es) provided on the application form. I/We will notify Perpetual of any change to my/our email address(es). I/We understand that failure to advise such a change may result in me/us not receiving correspondence relating to my/our investment.

**Joint applicants must both sign**

signature of investor 1 or company officer	signature of investor 2 or company officer
<input type="text"/>	<input type="text"/>
print name	print name
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
Capacity (company investments only)	Capacity (company investments only)
<input type="checkbox"/> Sole Director <input type="checkbox"/> Director <input type="checkbox"/> Secretary	<input type="checkbox"/> Director <input type="checkbox"/> Secretary
date	date
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

### Important notes:

- If signing under power of attorney, the attorney certifies that he or she has not received notice of revocation of that power. The power of attorney, or a certified copy, must be sent to Perpetual, if not previously provided.
- Perpetual has the absolute discretion to accept or reject any application.
- Investors should retain a copy of the PDS.
- A business day is a working day for Perpetual in Sydney.

### Final checklist

Have you:

- Completed all sections of your application form?
- Signed your application form?
- Provided your financial adviser the customer identification documents requested in this application form or the relevant Customer Identification form?
- OR, if you are opening a new account and do not have a financial adviser, completed section 10 of this application form (for individuals) or enclosed the relevant customer identification form (for entities) and certified copies of your identification documents (as requested in section 10 of this application form or the relevant customer identification form)?

Please send your completed application form to:

**Reply Paid 4171**  
**Perpetual Wholesale Funds**  
**GPO Box 4171**  
**Sydney NSW 2001**

## 10. Identification verification for individuals and joint investors

This section is only applicable if you are investing as an individual or joint investor (as selected in section 1 of this form) and have not provided this documentation previously. If you are investing as a company, trust or any other investor type, please complete the relevant 'Customer identification form' available on our website or by contacting us.

The identity documentation requested below is required to meet our obligations under the Anti-Money Laundering and Counter-Terrorism financing Act 2006. **We cannot process your application without this information.**

### Identity documentation

Please provide a document from Part I. If you do not have a document from Part I, please provide the documents listed in Part II OR Part III.

If you are a joint investor, please provide the relevant documents for BOTH investors.

- **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 with your application OR have your financial adviser sight an original or certified copy of your document(s) and complete the 'Record of verification procedure' section in this form.

#### PART I – Primary ID documents

##### PROVIDE ONE OF THE FOLLOWING:

- current Australian State / Territory driver's licence containing your photograph
- Australian passport (current or a passport that has expired within the preceding 2 years is acceptable)
- current card issued under a State or Territory law for the purpose of proving a person's age containing your photograph
- current foreign passport or similar travel document containing your photograph and signature

OR

#### PART II – should only be completed if you do not own a document from Part I

##### PROVIDE ONE OF THE FOLLOWING:

- Australian birth certificate
- Australian citizenship certificate
- concession card such as a pension, health care or seniors health card issued by the Department of Human Services (excludes Medicare cards)

##### AND PROVIDE ONE VALID DOCUMENT FROM THE FOLLOWING:

- a document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to you and contains your name and residential address
- a document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by you to the Commonwealth (or by the Commonwealth to the individual), which contains your name and residential address.
- a document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to your address or to you (the document must contain your name and residential address)

OR

#### PART III – should only be completed if you do not own document(s) from Part I OR Part II

##### BOTH DOCUMENTS FROM THIS SECTION MUST BE PROVIDED

- foreign driver's licence that contains a photograph of you and your date of birth
- national ID card issued by a foreign government containing your photograph and your signature

*Any documents written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.*

## 10. Identification verification for individuals and joint investors (continued)

### 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 in one of the occupations 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]'

- A bank, building society, credit union or finance company officer with a minimum of 2 years continuous service\*
- A fellow of the National Tax Accountants' Association\*
- A judge of a court, Justice of the Peace or magistrate\*
- A legal practitioner\*
- A notary public or the local equivalent
- A 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
- A police officer\*
- A teacher employed on a full-time basis at a school or tertiary education institution\*
- An accountant who is a member of the Institute of Chartered Accountants in Australia, CPA Australia, the National Institute of Accountants or the Association of Taxation and Management Accountants
- An Australian Consulate or Diplomatic Officer
- An Australian Financial Services Licence holder or their authorised representative (includes any licensed financial adviser) with a minimum of 2 years continuous service

\* Limited to persons licensed or registered to practice these occupations in Australia.

#### IMPORTANT: Please ensure that you have either

- enclosed certified copies of your identity documents **OR**
- agreed that your financial adviser will complete the 'Record of verification procedure' below.

### Record of verification procedure (Financial adviser use only)

This section is to be used by financial advisers when a record of verification is provided, rather than certified copies of identity documentation.

ID document details	Document 1		Document 2	
verified from	<input type="checkbox"/> original	<input type="checkbox"/> certified copy	<input type="checkbox"/> original	<input type="checkbox"/> certified copy
document name/type				
document issuer				
issue date				
expiry date				
document number				
accredited English translation	<input type="checkbox"/> N/A	<input type="checkbox"/> sighted	<input type="checkbox"/> N/A	<input type="checkbox"/> sighted

By completing and signing this record of verification procedure I declare that:

- 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 and
- the information provided in relation to the residency status for tax purposes is reasonable considering the identity 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"/>