



# APPLICATION FORM

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. Investment details

Are you an existing Perpetual investor?

no	<input type="checkbox"/>	
yes	<input type="checkbox"/>	client number <input type="text"/>

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

new account*	<input type="checkbox"/>	
additional investment	<input type="checkbox"/>	existing account number <input type="text"/> please go to section 2

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

individual**	<input type="checkbox"/>	joint**	<input type="checkbox"/>	company	<input type="checkbox"/>	superannuation fund	<input type="checkbox"/>	trust	<input type="checkbox"/>
partnership	<input type="checkbox"/>	association	<input type="checkbox"/>	government body	<input type="checkbox"/>	other entity	<input type="checkbox"/>		

\* 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. Payment details

How much would you like to invest? \$

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

retirement savings	<input type="checkbox"/>	employment income	<input type="checkbox"/>	business activities	<input type="checkbox"/>
sale of assets	<input type="checkbox"/>	inheritance/gift	<input type="checkbox"/>	financial investments	<input type="checkbox"/>
other	<input type="text"/>				

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

BPAY	<input type="checkbox"/>	we will send you a Customer Reference Number (CRN) once we receive your application form
cheque (initial investments only)	<input type="checkbox"/>	make cheque payable to <b>PIML-PWI – [insert name(s) of applicant(s)]</b>
direct debit	<input type="checkbox"/>	debit my/our bank account nominated in section 7 as bank account 1. I/We acknowledge and accept the terms and conditions of direct debit available at <a href="http://www.perpetual.com.au/wealthfocus-investment-funds-updates.aspx">www.perpetual.com.au/wealthfocus-investment-funds-updates.aspx</a>

### 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  Mrs  Miss  Ms  other

first name(s)

last name

occupation

date of birth  /  /  gender  
 male  female

#### Residency status for tax purposes

*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.*

Please answer **BOTH** of the following tax residency questions:

#### 1. Are you a tax resident of Australia?

yes  (complete the following details and then proceed to question 2 below) no  (proceed to question 2 below)

tax file number (TFN)

or

TFN exemption code

#### 2. Are you a tax resident of another country?

yes  (complete the following details) no

If 'yes', please list all relevant countries and provide your tax identification number (TIN) for each country.

*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.*

Country 1

TIN  If no TIN, list reason A, B or C

Country 2

TIN  If no TIN, list reason A, B or C

If there are more than two 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:** I have not been issued with a TIN.

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

**Investor 2** (joint account holder)

title  
 Mr  Mrs  Miss  Ms  other

first name(s)

last name

occupation

date of birth  /  /  gender  
 male  female

#### Residency status for tax purposes

*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.*

Please answer **BOTH** of the following tax residency questions:

#### 1. Are you a tax resident of Australia?

yes  (complete the following details and then proceed to question 2 below) no  (proceed to question 2 below)

tax file number (TFN)

or

TFN exemption code

#### 2. Are you a tax resident of another country?

yes  (complete the following details) no

If 'yes', please list all relevant countries and provide your tax identification number (TIN) for each country.

*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.*

Country 1

TIN  If no TIN, list reason A, B or C

Country 2

TIN  If no TIN, list reason A, B or C

If there are more than two 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:** I have not been issued with a TIN.

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

### 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 (if relevant) <b>OR</b> city	
<input type="text"/>	
state	postcode
<input type="text"/>	<input type="text"/>
country	
<input type="text"/>	
phone (business hours)	
<input type="text"/>	<input type="text"/>
phone (after hours)	
<input type="text"/>	<input type="text"/>
mobile	
<input type="text"/>	<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 (if relevant) <b>OR</b> city	
<input type="text"/>	
state	postcode
<input type="text"/>	<input type="text"/>
country	
<input type="text"/>	
phone (business hours)	
<input type="text"/>	<input type="text"/>
phone (after hours)	
<input type="text"/>	<input type="text"/>
mobile	
<input type="text"/>	<input type="text"/>
email address	
<input type="text"/>	
<input type="text"/>	

By providing my/our email address, I/we agree to receive any information about my/our investment (such as transaction confirmations, statements (including tax statements), reports and other materials or notifications required by the Corporations Act) electronically. This may include email notifications advising me/us when new information regarding my/our investment is available for viewing online, via hyperlink or via myPerpetual. I/We acknowledge you may still need to send me/us information by mail from time to time.

#### A. Individual and joint account holders – Postal address (optional)

**Investor 1** (individual account holder)

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 (if relevant) <b>OR</b> city		
<input type="text"/>		
state	postcode	
<input type="text"/>	<input type="text"/>	
country		
<input type="text"/>		

**Investor 2** (joint account holder)

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 (if relevant) <b>OR</b> city		
<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 (if relevant) <b>OR</b> city		
state	postcode	country
phone (business hours)	mobile	fax
email address		

By providing my/our email address, I/we agree to receive any information about my/our investment (such as transaction confirmations, statements (including tax statements), reports and other materials or notifications required by the Corporations Act) electronically. This may include email notifications advising me/us when new information regarding my/our investment is available for viewing online, via hyperlink or via myPerpetual. I/We acknowledge you may still need to send me/us information by mail from time to time.

## 4. Authorised representative

Existing investors in the Funds 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  please go to section 5

yes  please complete the details below.

I have read the terms and conditions associated with appointing an authorised representative.

myPerpetual online access for my authorised representative

view and transact (default) or  view only

**authorised representative details:**

first name(s)

last name

po box  unit number  street number

street name

suburb (if relevant) **OR** city

state  postcode  country

signature of authorised representative  date  /  /

## 5. Features

Existing investors in the Funds 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	Frequency (if applicable)	
<b>Savings plan</b> Select your fund(s) in section 6.	yes <input type="checkbox"/>	fortnightly <input type="checkbox"/> monthly (default) <input type="checkbox"/> quarterly <input type="checkbox"/>
<b>Auto-rebalancing</b>	yes <input type="checkbox"/>	quarterly (default) <input type="checkbox"/> half-yearly <input type="checkbox"/> yearly <input type="checkbox"/>
<b>BPAY</b> for additional investments	yes (default) <input type="checkbox"/> no <input type="checkbox"/>	n/a
<b>Regular withdrawal plan</b>	yes <input type="checkbox"/>	monthly <input type="checkbox"/> quarterly <input type="checkbox"/> half-yearly <input type="checkbox"/> yearly (default) <input type="checkbox"/>

## 5. Features (continued)

Indicate which optional features you would like applied to your account			Frequency (if applicable)
<b>Phone withdrawal facility</b>	yes <input type="checkbox"/>		n/a
<b>Investor myPerpetual online 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"/>		n/a
<b>Financial adviser myPerpetual online access</b> Note: your financial adviser can access information about your account online	view & transact (default) <input type="checkbox"/> view only <input type="checkbox"/>		n/a
<b>Investment information to be sent in the mail</b> Note: most of your investment information is also available online through myPerpetual	online only (default) <input type="checkbox"/> online and mail <input type="checkbox"/>		n/a
<b>Annual financial reports to be sent in the mail</b> Note: annual financial reports are also available on our website	no (default) <input type="checkbox"/> yes <input type="checkbox"/>		n/a
<b>Marketing material</b> I/We would like to receive investment education material and be informed about Perpetual's products, services and offers	yes (default) <input type="checkbox"/> no <input type="checkbox"/>		n/a

- 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.
- If you have nominated an optional feature above, please ensure you complete all details in the relevant columns of the table in section 6.

## 6. Investment allocation

The minimum initial investment in any Fund is \$2,000 (or \$1,000 if you are establishing a savings plan).

Fund	APIR code	short code	initial investment \$ or %	savings plan or withdrawal plan \$	investment strategy (BPAY & auto-rebalancing) %	distributions (indicate a preference with an X). If no selection is made, reinvest will be assumed	
						reinvest	bank account 1
<b>Fixed income</b>							
Perpetual Diversified Income Fund	PER0284AU	PIIDIN				<input type="checkbox"/>	<input type="checkbox"/>
<b>Australian shares</b>							
Perpetual Industrial Share Fund	PER0011AU	ISF				<input type="checkbox"/>	<input type="checkbox"/>
<b>Global shares</b>							
Perpetual Global Share Fund	PER0031AU	PISF				<input type="checkbox"/>	<input type="checkbox"/>
<b>Total</b>			<b>\$</b>	<b>\$</b>	<b>100%</b>		

## 7. Bank account details

Existing investors in the Funds 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 1

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  /  /

### Bank account 2

**Only** complete your account details in this section if you would like us to debit a **different** bank account for your **savings plan**.

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. Member advice fee

Complete this section if you have agreed with your financial adviser to have a member advice fee deducted. In collecting this fee, Perpetual acts as an agent for your financial adviser.

### ongoing fee (including GST)

% per annum or \$  per month

The ongoing member advice fee is to be paid:

as a deduction pro rata across my investment portfolio (default) **or**  
 from my investment in  Fund.

### one-off fee (including GST)

\$

The one-off member advice fee is to be paid:

as a deduction pro rata across my investment portfolio (default) **or**  
 from my investment in  Fund.

We can refuse a request to pay a member advice fee.


## 9. Financial adviser use only

### Financial adviser details and member advice fee

Where an ongoing member advice fee has been agreed with the investor (see section 8 of this application form):

- A percentage member advice fee cannot be paid on a borrowed amount used to make an investment. I confirm that I have made reasonable enquiries to determine that the investment has not been made with borrowed amounts.
- I will promptly notify Perpetual if an ongoing member advice fee is terminated by the investor or under the fee disclosure or opt in requirements of Division 3 of Part 7.7A of the Corporations Act (Future of Financial Advice).
- I consent to Perpetual acting as my agent to collect any member advice fee agreed in section 8 of this application form.

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)

## 10. Declaration and signature

I/We declare and agree that:

- I/we have read the Product Disclosure Statement (PDS) and 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 or New Zealand
- 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 the provisions of the constitution of the Fund that I am/we are invested in
- 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 intermediary (named in this form) in relation to the investments described in this form. Where the intermediary 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, switches 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 section 11 or the relevant customer identification form 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 section 11 or the relevant customer identification form.



## 10. Declaration and signature (continued)

I/We acknowledge 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.

### Additional declaration for New Zealand investors

I/We understand that the PDS is not an investment statement under New Zealand law and that there are likely to be differences between the information provided in a PDS as compared to an investment statement under New Zealand law. I/We have read and understood the 'Important additional information for New Zealand investors' section in the PDS.

### 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"/>
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 11 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 11 of this application form or the relevant customer identification form)?

Please send your completed application form to:

**Reply Paid 4171**  
**Perpetual WealthFocus Investment Funds**  
**GPO Box 4171**  
**Sydney NSW 2001**

## 11. 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.*

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

### How to certify your documents

In accordance with the AML Rules, a certified copy means a document that has been certified as a true and correct copy of an original document by a person listed below, including all persons described in the Statutory Declarations Regulations 2018 (Cth). 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, patent or trade marks attorney
- An Australian medical practitioner including dentist, nurse, midwife, optometrist, pharmacist, physiotherapist, chiropractor, psychologist, occupational therapist 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
- An architect
- 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
- A registered migration agent
- 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 financial adviser or financial planner
- 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

- 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"/>