

Barrow Hanley Global Equity Trust



BNP PARIBAS
ASSET MANAGEMENT

Product Disclosure Statement

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About this PDS

This Product Disclosure Statement ("PDS") has been prepared and issued by Equity Trustees Limited ("Equity Trustees", "we" or "Responsible Entity") and is a summary of the significant information relating to an investment in the Barrow Hanley Global Equity Trust (the "Trust"). It contains a number of references to important information (including a glossary of terms) contained in the Barrow Hanley Global Equity Trust Reference Guide ("Reference Guide"), which forms part of this PDS. You should consider both the information in this PDS, and the information in the Reference Guide, before making a decision about investing in the Trust.

The offer to which this PDS relates is only available to persons receiving the PDS in Australia and New Zealand (electronically or otherwise). New Zealand investors must read the Barrow Hanley Global Equity Trust New Zealand Investor Information Sheet before investing in the Trust. All references to dollars or "\$" in this PDS are to Australian dollars.

This PDS does not constitute a direct or indirect offer of securities in the US or to any US Person as defined in Regulation S under the US Securities Act of 1933 as amended ("US Securities Act"). Equity Trustees may vary this position and offers may be accepted on merit at Equity Trustees' discretion. The units in the Trust have not been, and will not be, registered under the US Securities Act unless otherwise approved by Equity Trustees and may not be offered or sold in the US to, or for, the account of any US Person except in a transaction that is exempt from the registration requirements of the US Securities Act and applicable US state securities laws.

The information provided in this PDS is general information only and does not take account of your personal objectives, financial situation or needs. You should obtain financial advice tailored to your personal circumstances and consider whether the information in this PDS is appropriate for you in light of those circumstances.

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The Reference Guide

Throughout the PDS, there are references to additional information contained in the Reference Guide. You can obtain a copy by calling BNP Paribas Asset Management's Client Services on 1800 267 726 (Australia) or +612 9619 6245 or going to www.eqt.com.au/insto and www.bnpparibas-am.com.au.

The information contained in the Reference Guide may change between the day you receive this PDS and the day you acquire the product. You must therefore ensure that you have read the Reference Guide current at the date of your application.

Updated information

Information in this PDS is subject to change. We will notify you of any changes that have a materially adverse impact on you or other significant events that affect the information contained in this PDS. Any information that is not materially adverse is subject to change from time to time and may be updated and obtained by calling BNP Paribas Asset Management's Client Services on 1800 267 726 (Australia) or +612 9619 6245 or going to www.eqt.com.au/insto and www.bnpparibas-am.com.au. A paper copy of the updated information will be provided free of charge on request.

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Delegated Investment Manager

Barrow, Hanley, Mewhinney & Strauss, LLC

1. About Equity Trustees Limited

The Responsible Entity

Equity Trustees Limited

Equity Trustees Limited ABN 46 004 031 298 AFSL 240975 ("Equity Trustees"), a subsidiary of EQT Holdings Limited ABN 22 607 797 615, which is a public company listed on the Australian Securities Exchange (ASX: EQT), is the Trust's Responsible Entity and issuer of this PDS. Established as a trustee and executorial service provider by a special Act of the Victorian Parliament in 1888, today Equity Trustees is a dynamic financial services institution which continues to grow the breadth and quality of products and services on offer.

Equity Trustees' responsibilities and obligations as the Trust's Responsible Entity are governed by the Trust's constitution ("Constitution"), the Corporations Act and general trust law. Equity Trustees has delegated the investment management functions to BNP PARIBAS ASSET MANAGEMENT Australia Limited. Equity Trustees has appointed a Custodian to hold the assets of the Trust. The Custodian has no supervisory role in relation to the operation of the Trust and is not responsible for protecting your interests.

The Investment Manager

BNP PARIBAS ASSET MANAGEMENT Australia Limited

BNP PARIBAS ASSET MANAGEMENT Australia Limited ("BNP Paribas ASSET MANAGEMENT" or "BNPP AM"), the Australian asset management business line of BNP Paribas SA, is the investment manager of the Trust. BNP Paribas SA is a listed company with a market capitalisation of EUR 65.1 billion as at 31 December 2016.

In Australia, BNP Paribas Asset Management distributes for a range of Australian and international investment managers, including Barrow, Hanley, Mewhinney & Strauss, LLC ("BHMS"). BNP Paribas Asset Management has subcontracted the investment management of the Trust to BHMS.

Delegated Investment Manager

Barrow, Hanley, Mewhinney & Strauss, LLC

BHMS is a global value equity manager, founded in 1979. BHMS is majority owned by OM Asset Management plc, a UK company listed on the NYSE with substantial resources dedicated to the investment management business. BHMS is an independently managed company and operates autonomously from its Dallas, Texas headquarters. BHMS offers U.S. equity, non-U.S. and global equity, fixed income, and balanced investment management. Firm-wide assets under management as at 31 December 2016 were US\$92 billion, of which US\$4.1 billion were global value equity assets under management. BHMS' approach to the equity market is based on the underlying philosophy that markets are inefficient. These inefficiencies can best be exploited through adherence to a value-oriented investment process dedicated to the selection of securities on a Bottom-up basis.

BHMS has an alliance with BNP Paribas Asset Management whereby BNPP AM has the exclusive right to distribute BHMS' global equity products in Australia and New Zealand.

2. How the Barrow Hanley Global Equity Trust works

The Trust is a registered managed investment scheme. The Trust is governed by the Constitution. The Trust comprises assets which are acquired in accordance with the Trust's investment strategy. Direct investors receive units in the Trust when they invest. In general, each unit represents an equal interest in the assets of the Trust subject to liabilities; however it does not give investors an interest in any particular asset of the Trust.

If you invest in the Trust through an IDPS (as defined in the Reference Guide) you will not become a unitholder in the Trust. The operator or custodian of the IDPS will be the unitholder entered in the Trust's register and will be the only person who is able to exercise the rights and receive benefits of a unitholder. Please direct any queries and requests relating to your investment to your IDPS Operator. Unless otherwise stated, the following explanation applies to direct investors.

Applying for units

You can acquire units by completing the Application Form that accompanies this PDS. The minimum investment amount for the Trust is \$25,000.

Completed Application Forms should be sent along with your identification documents (if applicable) to:

BNP Paribas Asset Management
GPO Box 804
Melbourne, VIC, 3001

Please note that cash and cheques cannot be accepted.

The price at which units are acquired is determined in accordance with the Constitution ("Application Price"). The Application Price on a Business Day (as defined in the Reference Guide) is, in general terms, equal to the net asset value ("NAV") of the Trust, divided by the number of units on issue and adjusted for transaction costs ("Buy Spread"). At the date of this PDS, the Buy Spread is 0.30%.

The Application Price will vary as the market value of assets in the Trust rises or falls.

Making additional investments

You can make additional investments into the Trust at any time by sending us your additional investment amount together with a completed Additional Investment Form. There is no minimum applicable for additional investments into the Trust.

Distributions

An investor's share of any distributable income is calculated in accordance with the Constitution and is generally based on the number of units held by the investor at the end of the distribution period.

The Trust usually distributes income annually at 30 June. Distributions are calculated effective the last day of each accounting period and are normally paid to investors as soon as practicable after the distribution calculation date.

Investors in the Trust can indicate a preference to have their distribution:

- reinvested back into the Trust; or
- directly credited to their Australian domiciled bank account.

Investors who do not indicate a preference will have their distributions automatically reinvested. Applications for reinvestment will be taken to be received prior to the next valuation time after the relevant distribution period. There is no Buy Spread on distributions that are reinvested.

In some circumstances, where an investor makes a large withdrawal request (i.e. the withdrawal request is in respect of 5% or more of the total units on issue), their withdrawal proceeds may be taken to include a component of distributable income.

Indirect Investors should review their IDPS guide for information on how and when they receive any income distribution.

New Zealand investors can only have their distribution paid in cash if an AUD Australian domiciled bank account is provided, otherwise it must be reinvested (refer to the Barrow Hanley Global Equity Trust New Zealand Investor Information Sheet for further information).

Access to your money

Investors in the Trust can generally withdraw their investment by completing a written request to withdraw from the Trust and mailing it to:

BNP Paribas Asset Management
GPO Box 804
Melbourne, VIC, 3001

Or sending it by email to bnppam.transactions@onevue.com.au
or sending it by fax to +612 8244 1918

The minimum withdrawal amount is \$50. Once we receive your withdrawal request, we may act on your instruction without further enquiry if the instruction bears your account number or investor details and your (apparent) signature(s), or your authorised signatory's (apparent) signature(s).

Equity Trustees will generally allow an investor access their investment within 3 business days of receipt of a withdrawal request by transferring the withdrawal proceeds to such investors' nominated bank account. However, the Constitution allows Equity Trustees to reject withdrawal requests and also to make payment up to 30 days after acceptance of a request (which may be extended in certain circumstances).

The price at which units are withdrawn is determined in accordance with the Constitution ("Withdrawal Price"). The Withdrawal Price on a Business Day is, in general terms, equal to the NAV of the Trust, divided by the number of units on issue and adjusted for transaction costs ("Sell Spread"). At the date of this PDS, the Sell Spread is 0.30%. The Withdrawal Price will vary as the market value of assets in the Trust rises or falls.

Equity Trustees reserves the right to fully redeem your investment if your investment balance in the Trust falls below \$25,000 as a result of processing your withdrawal request. Equity Trustees can deny a withdrawal request in certain circumstances, including where accepting the request is not in the best interests of investors in the Trust or where the Trust is not liquid (as defined in the Corporations Act). When the Trust is not liquid, an investor can only withdraw when Equity Trustees makes a withdrawal offer to investors in accordance with the Corporations Act. Equity Trustees is not obliged to make such offers.

If you are an Indirect Investor, you need to provide your withdrawal request directly to your IDPS Operator. The time to process a withdrawal request will depend on the particular IDPS Operator.

Unit pricing discretions policy

Equity Trustees has developed a formal written policy in relation to the guidelines and relevant factors taken into account when exercising any discretion in calculating unit prices (including determining the value of the assets and liabilities). A copy of the policy and, where applicable and to the extent required, any other relevant documents in relation to the policy will be made available free of charge on request.

Additional information

If and when the Trust has 100 or more direct investors, it will be classified by the Corporations Act as a 'disclosing entity'. As a disclosing entity the Trust will be subject to regular reporting and disclosure obligations. Investors would have a right to obtain a copy, free of charge, of any of the following documents:

- the most recent annual financial report lodged with ASIC ("Annual Report");
- any subsequent half yearly financial report lodged with ASIC after the lodgement of the Annual Report; and
- any continuous disclosure notices lodged with ASIC after the Annual Report but before the date of this PDS.

Equity Trustees will comply with any continuous disclosure obligation by lodging documents with ASIC as and when required.

Copies of these documents lodged with ASIC in relation to the Trust may be obtained from or inspected at an ASIC office.

Further reading...

You should read the important information in the Reference Guide under "Investing in the Barrow Hanley Global Equity Trust", "Managing your investment" and "Withdrawing your investment" about:

- application cut-off times;
- authorised signatories;
- reports;
- withdrawal cut-off times;
- withdrawal terms; and
- withdrawal restrictions,

before making an investment decision. Go to the Reference Guide which is available at www.eqt.com.au/insto or www.bnpparibas-am.com.au. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

3. Benefits of investing in the Barrow Hanley Global Equity Trust

Stability: BHMS' equity investment professionals have an average experience level of more than 20 years. The stability of the organisation means that clients can be assured of consistency in BHMS' value equity strategies.

Value discipline: BHMS is a strict manager in its definition of "value". It seeks the following value characteristics in its portfolios versus the market (MSCI World Index): price/earnings (P/E) ratios, price/book (P/B) ratios, and enterprise value/free cash flow (EV/FCF) ratios at or below the market, and dividend yields at or above the market. The global value equity strategy adheres to the same BHMS value discipline that has produced success in the large, medium, and small capitalisation sectors of the U.S. market for more than 30 years.

Strategic Complement: The BHMS global value equity strategy invests not only in large cap value companies, but also in the less-efficient medium capitalisation sector. Thus, this global value equity strategy can serve as a strategic complement to larger MSCI World managers whose substantial assets under management and resulting need for liquidity may restrict their portfolios to investments in companies in only the largest capitalisation range in the MSCI World Index markets.

Stock selection: BHMS' global value equity portfolios are built on an incremental, name-by-name basis within the context of broad sector risk controls. Hence, the majority of the strategy's targeted excess return is typically derived from stock selection, rather than from macro-economic or top-down predictions. BHMS believes its ability to identify undervalued companies with improving operating fundamentals has, and will continue to be, its greatest strength.

4. Risks of managed investment schemes

All investments carry risks. Different investment strategies may carry different levels of risk, depending on the assets acquired under the strategy. Assets with the highest long-term returns may also carry the highest level of short-term risk. The significant risks below should be considered in light of your risk profile when deciding whether to invest in the Trust. Your risk profile will vary depending on a range of factors, including your age, the investment time frame (how long you wish to invest for), your other investments or assets and your risk tolerance.

The Responsible Entity, Investment Manager, Delegated Investment Manager, BNP Paribas SA, or any member of the BNP Paribas Group do not guarantee the liquidity of the Trust's investments, repayment of capital or any rate of return or the Trust's investment performance. The value of the Trust's investments will vary. Returns are not guaranteed and you may lose money by investing in the Trust. The level of returns will vary and future returns may differ from past returns. Laws affecting managed investment schemes may change in the future. The structure and administration of the Trust is also subject to change.

In addition, we do not offer advice that takes into account your personal financial situation, including advice about whether the Trust is suitable for your circumstances. If you require personal financial advice, you should contact a licensed financial adviser.

The Trust offered in this PDS is not a deposit with or other liability of BNP Paribas SA or any other member company of BNP Paribas SA.

Active Management Risk

BHMS does not invest in a predetermined basket of securities, such as a basket of securities that reflects an index, but instead selects securities that meet its investment criteria. This carries with it the risk that the Trust may underperform the market generally.

Company Specific Risk

The value of investments can vary because of changes to a company's management, internal operations, product distribution or the company's business environment. Returns are affected by the underlying strength of the cash flows, balance sheets and management of the companies in which the Trust invests. An investment in shares carries the risk of a decline in value or a decrease in, or failure of payment in, distributions because of a number of factors, including a fall in investor confidence, poor management or changes in a company's competitive environment or internal operations.

Concentration Risk

The concentrated nature of the investments of the Trust will reduce the potential benefit of diversification. The potential benefit of diversification is to reduce volatility of investments. As the Trust has a concentrated portfolio of investments it may experience higher volatility than a more diversified portfolio.

Counterparty Risk

Counterparty risk is the risk that any of the Responsible Entity's or the Investment Manager's or BHMS' trading counterparties, custodians, or any issuer or guarantor of securities held by the Trust, becomes insolvent or cannot otherwise meet their obligations to settle or repay money.

Currency Risk

Currency risk is the sensitivity of the portfolio value to movement in foreign exchange rates. BHMS quantifies the risk of each individual security but does not actively manage currencies in aggregate for the Trust. Therefore, there is a risk that the Trust may be adversely affected by currency movements.

Emerging Markets Risk

Emerging Markets are more likely to experience greater volatility than markets in developed countries. Securities traded in Emerging Markets also have more limited liquidity when compared to securities traded in developed countries. This means that those securities may fall more sharply and rapidly than securities traded in developed countries. Further risks include differences in auditing and financial accounting standards, less regulated markets, less developed corporate laws and political risk.

Interest Rate Risk

Changes in official interest rates can directly or indirectly impact (negatively or positively) on investment returns. For instance, rising interest rates can have a negative impact on a company's value as increased borrowing costs may cause earnings to decline. As a result, the share price may fall.

Legal Risk

The Trust may be affected by the actions of governments and regulatory bodies. Legislation could be imposed retrospectively or may be issued in the form of internal regulations of which the public may not be aware. Legislation (including legislation relating to tax) or regulation may be introduced which inhibits the Trust from pursuing its strategy or which renders an existing strategy less profitable than anticipated. Such actions may take any form, for example nationalisation of any institution or restrictions on investment strategies in any given market sector (for example restrictions on short selling in the financial sector) or changing requirements (for example increased disclosure to market) and imposed without prior warning by any regulator. This risk is generally higher in developing countries.

Liquidity Risk

There may be times when securities may not be readily sold (for example, in a falling market where companies may become less liquid). If this occurs and it results in the Trust becoming illiquid, withdrawals of units from the Trust must be processed only in accordance with the Corporations Act. Trading volumes of stocks are generally expected to be sufficient to satisfy liquidity requirements when necessary.

Neither the Responsible Entity nor the Investment Manager nor the Delegated Investment Manager guarantees the liquidity of the Trust's investments.

Market Risk

The value of investments may fluctuate significantly over short periods of time. These fluctuations can be caused by changes in interest rates, economic cycles, investor sentiment, and political, social, technological and legal events. These changes can directly or indirectly create an environment that influences (negatively or positively) the value of the investments in the Trust. In addition, a downward move in the general level of the equities market can have a negative impact on the performance of the Trust.

Operational Risk

Operational risk addresses the risk of trading and back office or administration issues that may result in a loss to the portfolio. This could be the result of oversight, ineffective security processing procedures, computer system problems or human error. The Responsible Entity, the Investment Manager and BHMS have instituted certain practices and processes within their respective operations and business administrations designed to wherever possible mitigate the operational risk consequences that arise.

Political Risk

There may be high political risk in certain countries due to the fragile political environment of those countries. Political instability and/or political disturbances are more common in Emerging Markets than in developed nations. There may be higher economic risk from policy mistakes, as governments are less accountable than in developed nations. Examples of severe currency depreciation have also occurred in some nations.

Stock Selection Risk

BHMS may make poor investment decisions resulting in sub-standard returns (for example where BHMS invests in a company that significantly underperforms the share market). This risk is mitigated to some extent by the knowledge and experience of BHMS and the diversification of stocks held in the Trust.

Trust Risk

As with all managed funds, there are risks particular to the Trust including: that the Trust could be terminated, the fees and expenses could change, that Equity Trustees is replaced as Responsible Entity or that the Investment Manager or Delegated Investment Manager is replaced. There is also risk that investing in the Trust may give different results than investing directly in the securities because of income or capital gains accrued in the Trust and the consequences of withdrawal by other investors.

5. How we invest your money

Warning: Before choosing to invest in the Trust you should consider the likely investment returns, the risks of investing and your investment time frame.

Investment objective

The investment return objective of the Trust is to obtain higher returns compared to the Benchmark, while maintaining lower risk.

Benchmark

MSCI World Index, measured in AUD.

Minimum suggested time frame

The minimum suggested investment timeframe for the Trust is 5 years.

Risk level of the Trust

High.

There is a risk investors may lose some or all of their initial investment. Higher risk investments tend to fluctuate in the short-term but can produce higher returns than lower risk investments over the long-term.

Investor suitability

The Trust is designed for investors seeking capital appreciation over the longer term by investing in companies BHMS believes are undervalued with improving operating fundamentals.

Investment style and approach

BHMS' approach to the equity market is based on the underlying philosophy that markets are inefficient. These inefficiencies can best be exploited through adherence to a value-oriented investment process dedicated to the selection of securities on a Bottom-up basis. They do not attempt to time the market or rotate in and out of broad market sectors, as they believe that it is difficult, if not impossible, to add incremental value on a consistent basis by top-down or thematic market timing.

BHMS stays fully invested with a defensive, conservative orientation, based on the belief that superior returns can be achieved while taking below-average risks. They implement this strategy by constructing portfolios of individual stocks that reflect value characteristics such as:

- 1) P/E ratios at or below the market;
- 2) P/B ratios at or below the market;
- 3) EV/FCF ratios at or below the market; and
- 4) dividend yields at or above the market.

BHMS' history of value investing indicates that a strategy of emphasising low P/E ratios, low P/B ratios, and high dividend yields is consistent with providing a measure of protection in down markets, as well as participation in improving economic cycles.

Target asset allocation ranges:

- Global equities 95-100%
- Cash & cash equivalents 0-5%.

Currency Management

There is no overall currency management strategy for the Trust and the Trust is considered to be "unhedged".

Asset allocation

The global value equity strategy follows a value style with a fundamental, Bottom-up approach. BHMS' screening narrows the universe of global stocks by identifying companies with a favourable combination of valuation characteristics such as P/E, P/B, and EV/FCF ratios at or below the market and dividend yields at or above the market. In addition, BHMS' screen measures certain fundamental change factors to identify companies with positive changes in key operating fundamentals. BHMS then conducts Bottom-up, fundamental securities analysis on the stocks that received the highest ranking in its screening process. The resulting true traditional value portfolio is concentrated in 50 to 70 stocks. While the Trust is primarily invested in companies domiciled in developed markets, the Trust can invest up to 20% of the portfolio in companies domiciled in Emerging Markets.

Labour, environmental, social and ethical considerations

Decisions about the selection, retention or realisation of investments for the Trust are primarily based on company fundamentals. The Responsible Entity, the Investment Manager and BHMS take into account labour standards, environmental, social or ethical issues when making these decisions to the extent that these issues have a material impact on either investment risk or return.

Trust performance

Up to date information on the performance of the Trust will be available by:

- calling BNP Paribas Asset Management's Client Services on 1800 267 726 (Australia) or +612 9619 6245; or
- visiting the BNP Paribas Asset Management's website at www.bnpparibas-am.com.au.

6. Fees and costs

Did you know?

Small differences in both investment performance and fees and costs can have a substantial impact on your long term returns.

For example, total annual fees and costs of 2% of your investment balance rather than 1% could reduce your final return by up to 20% over a 30 year period (for example, reduce it from \$100,000 to \$80,000).

You should consider whether features such as superior investment performance or the provision of better member services justify higher fees and costs.

You may be able to negotiate to pay lower contribution fees and management costs where applicable. Ask the fund or your financial adviser.

To find out more

If you would like to find out more, or see the impact of the fees based on your own circumstances, the **Australian Securities and Investments Commission (ASIC)** website (www.moneysmart.gov.au) has a managed funds fee calculator to help you check out different fee options.

The information in the following table can be used to compare costs between this and other simple managed investment schemes. Fees and costs may be paid directly from your investment or deducted from investment returns. For information on tax please see Section 7 of this PDS.

Type of fee or cost	Amount
Fees when your money moves in or out of the Trust	
Establishment Fee	Nil
Contribution Fee	Nil
Withdrawal Fee	Nil
Exit Fee	Nil
Management costs	
The fees and costs for managing your investment ¹	Management fees: 0.99% p.a. of the value of your units in the Trust ²

¹ All fees quoted above are inclusive of Goods and Services Tax (GST) and net of any Reduced Input Tax Credits (RITC). See below for more details as to how management costs are calculated.

² Management fees can be negotiated. See "Differential fees" below. Until further notice, the management costs are capped, except for extraordinary expenses. If the total management costs exceed the cap, BNP Paribas Asset Management will reimburse the amount of the excess costs to the Trust unless the excess is due to an extraordinary expense, such as a significant but properly recoverable legal expense, in which case the expense would be incurred by the Trust and reflected in the unit price of the Trust, and in that way borne by the investors in the Trust.

Additional Explanation of fees and costs

What do the management costs pay for?

Management costs comprise the additional fees or costs that a unitholder incurs by investing in the Trust rather than by investing directly in the assets.

The management fees of 0.99% p.a. of the NAV of the Trust are payable to the Responsible Entity of the Trust for managing the assets and overseeing the operations of the Trust. The management fees are accrued daily and paid from the Trust monthly in arrears and reflected in the unit price. As at the date of this PDS, ordinary expenses such as investment management fees, custodian fees, administration and audit fees, and other ordinary expenses of operating the Trust are covered by the management fees.

The management costs shown above do not include extraordinary expenses (if they are incurred in future), such as litigation costs or the costs of convening unitholder meetings.

In addition, management costs do not include transactional and operational costs (i.e. costs associated with investing the underlying assets, some of which may be recovered through Buy/Sell Spreads).

Transactional and operational costs

In managing the assets of the Trust, the Trust may incur transaction costs such as brokerage, settlement costs, clearing costs and applicable stamp duty when assets are bought and sold. This generally happens when the assets of the Trust are changed in connection with day-to-day trading or when there are applications or withdrawals which cause net cash flows into or out of the Trust.

The Buy/Sell Spread reflects the estimated transaction costs incurred in buying or selling assets of the Trust when investors invest in or withdraw from the Trust. The Buy/Sell Spread is an additional cost to the investor but is incorporated into the unit price and incurred when an investor invests in or withdraws from the Trust and is not separately charged to the investor. The Buy/Sell Spread is paid into the Trust and not paid to Equity Trustees or the Investment Manager. The estimated Buy/Sell Spread is 0.30% upon entry and 0.30% upon exit. The dollar value of these costs based on an application or a withdrawal of \$50,000 is \$150 for each individual transaction. The Buy/Sell Spread can be altered by the Responsible Entity at any time. The Responsible Entity may also waive the Buy/Sell Spread in part or in full at its discretion.

Transactional costs which are incurred other than in connection with applications and redemptions arise through the day-to-day trading of the Trust's assets and are reflected in the Trust's unit price. As these costs are factored into the NAV of the Trust and reflected in the unit price, they are an additional implicit cost to the investor and are not a fee paid to the Responsible Entity. These costs can arise as a result of bid-offer spreads (the difference between an asset's bid/buy price and offer/ask price) being applied to securities traded by the Trust. Liquid securities generally have a lower bid-offer spread while less liquid assets have a higher bid-offer spread.

We estimate that the total transaction costs for the Trust over the first full financial year will be 0.49% of the NAV of the Trust, of which 61.70% of these transaction costs is reasonably estimated to be recouped via the Buy/Sell spread when applications or redemptions take place, resulting in a net transaction cost to the Trust of 0.19% p.a.

Can the fees change?

Yes, all fees can change without investor consent, subject to the maximum fee amounts specified in the Constitution. Equity Trustees has the right to recover all proper and reasonable expenses incurred in managing the Trust and as such these expenses may increase or decrease accordingly. We will generally provide investors with at least 30 days' notice of any proposed change to the management costs. In most circumstances, the Constitution defines the maximum fees that can be charged for fees described in this PDS. Expense recoveries may change without notice, for example, when it is necessary to protect the interests of existing members and if permitted by law.

Payments to IDPS Operators

Subject to the law, annual payments may be made to some IDPS Operators because they offer the Trust on their investment menus. Product access is paid by the Investment Manager out of its management fees and is not an additional cost to the investor. If the payment of annual fees to IDPS Operators is limited or prohibited by the law, Equity Trustees will ensure the payment of such fees is reduced or ceased.

Differential fees

The Responsible Entity or Investment Manager may from time to time negotiate a different fee arrangement (by way of a rebate or waiver of fees) with certain investors who are Australian Wholesale Clients or New Zealand Wholesale Investors.

Example of annual fees and costs for the Trust

This table gives an example of how the fees and costs for this managed investment product can affect your investment over a 1 year period. You should use this table to compare this product with other managed investment products.

Example – Barrow Hanley Global Equity Trust		
BALANCE OF \$50,000 WITH A CONTRIBUTION OF \$5,000 DURING THE YEAR		
Contribution Fees	Nil	For every \$5,000 you put in, you will be charged \$0
Plus Management costs	0.99% p.a.	And, for every \$50,000 you have in the Trust you will be charged \$495 each year
Equals Cost of Trust		If you had an investment of \$50,000 at the beginning of the year and you put in an additional \$5,000 during that year, then you would be charged fees of: \$495* What it costs you will depend on the fees you negotiate.

*This example assumes the \$5,000 contribution occurs at the end of the first year, therefore management costs are calculated using the \$50,000 balance only.

Additional fees may apply. Please note that this example does not capture all the fees and costs that may apply to you such as the Buy/Sell Spread. If you have consulted a financial adviser, you may pay additional fees. You should refer to the Statement of Advice or Financial Services Guide provided by your financial adviser in which details of the fees are set out.

ASIC provides a fee calculator on www.moneysmart.gov.au, which you may use to calculate the effects of fees and costs on your investment in the Trust.

7. How managed investment schemes are taxed

Warning: Investing in a registered managed investment scheme (such as the Trust) is likely to have tax consequences. You are strongly advised to seek your own professional tax advice about the applicable Australian tax (including income tax, GST and duty) consequences and, if appropriate, foreign tax consequences which may apply to you based on your particular circumstances before investing in the Trust.

The Trust is an Australian resident for tax purposes and does not pay tax on behalf of its members. Australian resident investors are assessed for tax on any income and capital gains generated by the Trust to which they become presently entitled or, where the Trust has made a choice to be an Attribution Managed Investment Trust (AMIT), are attributed to them.

Further reading

You should read the important information in the Reference Guide under “Other important information” about AMIT before making an investment decision. Go to the Reference Guide which is available at www.eqt.com.au/insto or www.bnpparibas-am.com.au. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

8. How to apply

To invest please complete the Application Form accompanying this PDS, and send funds by electronic transfer (details are in the Application Form), and send your completed Application Form to:

BNP Paribas Asset Management
GPO Box 804
Melbourne, VIC, 3001

Please note that cash and cheques cannot be accepted and all applications must be made in Australian dollars.

Who can invest?

Eligible persons (as detailed in the ‘About this PDS’ section) can invest, however individual investors must be 18 years of age or over.

Investors investing through an IDPS should use the application form provided by the operator of the IDPS.

Cooling-off period

If you are a Retail Client (as defined in the Corporations Act) who has invested directly in the Trust, you may have a right to a ‘cooling off’ period in relation to your investment in the Trust for 14 days from the earlier of:

- confirmation of the investment being received; and
- the end of the fifth business day after the units are issued.

A Retail Client may exercise this right by notifying Equity Trustees in writing. A Retail Client is entitled to a refund of their investment adjusted for any increase or decrease in the relevant Application Price between the time we process your application and the time we receive the notification from you, as well as any other tax and other reasonable administrative expenses and transaction costs associated with the acquisition and termination of the investment. The right of a Retail Client to cool off does not apply in certain limited situations, such as if the issue is made under a distribution reinvestment plan, switching facility or represents additional contributions required under an existing agreement. Also, the right to cool off does not apply to you if you choose to exercise your rights or powers as a unitholder in the Trust during the 14 day period, this could include selling part of your investment or switching it to another product.

Indirect Investors should seek advice from their IDPS Operator as to whether cooling off rights apply to an investment in the Trust by the IDPS. The right to cool off in relation to the Trust is not directly available to an Indirect Investor. This is because an Indirect Investor does not acquire the rights of a unitholder in the Trust. Rather, an Indirect Investor directs the IDPS Operator to arrange for their monies to be invested in the Trust on their behalf. The terms and conditions of the IDPS Guide or similar type document will govern an Indirect Investor’s investment in relation to the Trust and any rights an Indirect Investor may have in this regard.

Enquiries and complaints

If you have any questions regarding the management of the Trust, you can contact the Investment Manager on 1800 267 726 (Australia) or +612 9619 6245. If you are not completely satisfied with any aspect of our services regarding the management of the Trust, please contact Equity Trustees. Equity Trustees seeks to resolve potential and actual complaints over the management of the Trust to the satisfaction of investors. If you wish to lodge a formal complaint please write to:

Compliance Team
Equity Trustees Limited
GPO Box 2307
Melbourne VIC 3001
Email: complianceteam@eqt.com.au

Equity Trustees will respond within 14 days of receiving the complaint and will seek to resolve your complaint as soon as practicable but not longer than 45 days after receiving the complaint. If we are unable to resolve your complaint, you may be able to seek assistance from the Financial Ombudsman Service (“FOS”). To find out whether you are eligible (and if so, to make a complaint) contact FOS on 1800 367 287 (Australia) or +613 9613 7366, info@fos.org.au or GPO Box 3, Melbourne VIC 3001.

Please include the Equity Trustees FOS membership number with your enquiry. It is 13095.

FOS is an independent body that can assist you if Equity Trustees cannot. FOS may not consider a dispute where the value of a person’s claim exceeds \$500,000. FOS is only able to make a determination of up to \$309,000 per managed investment claim (excluding compensation for costs and interest payments). These monetary limits and the FOS terms of reference do change from time to time. Current details can be obtained from the FOS website (www.fos.org.au).

9. Other information

Consent

The Investment Manager and the Delegated Investment Manager have given and, as at the date of this PDS, have not withdrawn:

- their written consent to be named in this PDS as the Investment Manager and the Delegated Investment Manager of the Trust; and
- their written consent to the inclusion of the statements made about them which are specifically attributed to them, in the form and context in which they appear.

The Investment Manager and the Delegated Investment Manager have not otherwise been involved in the preparation of this PDS or caused or otherwise authorised the issue of this PDS. Neither the Investment Manager, the Delegated Investment Manager nor their employees or officers accept any responsibility arising in any way for errors or omissions, other than those statements for which they have provided their written consent to Equity Trustees for inclusion in this PDS.

Further reading

You should read the important information in the Reference Guide "Other important information" section about:

- your privacy;
- the Constitution for the Trust;
- Attribution Managed Investment Trusts ("AMITs");
- the Anti-Money Laundering and Counter-Terrorism Financing laws ("AML/CTF laws");
- Indirect Investors;
- Information on underlying investments;
- Foreign Account Tax Compliance Act ("FATCA"); and
- Common Reporting Standards ("CRS"),

before making a decision to invest. Go to the Reference Guide which is available at www.eqt.com.au/insto or www.bnpparibas-am.com.au. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

Barrow Hanley Global Equity Trust

Reference Guide

Issue Date 5 June 2017



BNP PARIBAS
ASSET MANAGEMENT

About this Reference Guide

This Reference Guide ("RG") has been prepared and issued by Equity Trustees Limited ("Equity Trustees", "we" or "Responsible Entity"). The information in this document forms part of the Product Disclosure Statement ("PDS") for the following Fund: Barrow Hanley Global Equity Trust ("Trust") dated 5 June 2017.

The information provided in this RG is for general information only and does not take into account your individual objectives, financial situation or needs. You should obtain financial advice tailored to your personal circumstances.

Contents

1. Investing in the Barrow Hanley Global Equity Trust
2. Managing your investment
3. Withdrawing your investment
4. Other important information
5. Glossary

Updated information

Information in the PDS and this RG is subject to change. Before making an investment in the Trust, you should ensure that you have read the PDS and RG current as at the date of your investment.

You can request a copy of the PDS and RG by visiting www.eqt.com.au/insto or www.bnpparibas-am.com.au or request a copy by calling BNP Paribas Asset Management on 1800 267 726 (Australia) or +612 9619 6245. A paper copy of the updated information may also be provided free of charge on request.

Investment Manager

BNP PARIBAS ASSET MANAGEMENT
Australia Limited
ABN 78 008 576 449, AFSL 223418
GPO Box 269, Sydney NSW 2001

Client Services

BNP Paribas Asset Management
Phone: 1800 267 726 (Australia)
or +612 9619 6245
Fax: +612 9006 9051
Email: AMAU.ClientService@bnpparibas.com
Web: www.bnpparibas-am.com.au

Responsible Entity

Equity Trustees Limited
ABN 46 004 031 298, AFSL 240975
GPO Box 2307, Melbourne, VIC, 3001
Ph. +613 8623 5000
Web: www.eqt.com.au/insto

Delegated Investment Manager

Barrow, Hanley, Mewhinney & Strauss, LLC

1. Investing in the Barrow Hanley Global Equity Trust

Application cut-off times

If we receive a correctly completed Application Form/Additional Investment Form, identification documents (if applicable) and cleared application money:

- before or at 2pm (Sydney time) on a Business Day, the application will generally be processed on that Business Day. If your application for units is accepted, you will receive the Application Price calculated for that Business Day; or
- after 2pm (Sydney time) on a Business Day, the application will generally be processed on the next Business Day. If your application for units is accepted you will receive the Application Price calculated for the next Business Day.

We will only start processing an application if:

- we consider that you have correctly completed the Application Form/Additional Investment Form;
- you have provided us with the relevant identification documents if required; and
- we have received the application money (in cleared funds) stated in your Application Form/Additional Investment Form.

We reserve the right to accept or reject applications in whole or in part at our discretion. We have the discretion to delay processing applications where we believe this to be in the best interest of the Trust investors.

Please see the PDS for information regarding how to apply.

2. Managing your investment

Authorised signatories

You can appoint a person, partnership or company as your authorised signatory. To do so, please nominate them on the Application Form and have them sign the relevant sections. If a company is appointed, the powers extend to any director and officer of the company. If a partnership is appointed, the powers extend to all partners. Such appointments will only be cancelled or changed once we receive written instructions from you to do so.

Once appointed, your authorised signatory has full access to operate your investment account for and on your behalf. This includes the following:

- making additional investments;
- requesting income distribution instructions to be changed;
- withdrawing all or part of your investment;
- changing bank account details;
- enquiring and obtaining copies of the status of your investment.

If you do appoint an authorised signatory:

- you are bound by their acts;
- you release, discharge and indemnify us from and against any losses, liabilities, actions, proceedings, account claims and demands arising from instructions received from your authorised representatives, and
- you agree that our acting on any instructions received from your authorised representative shall amount to complete satisfaction of our obligations, even if these instructions were made without your knowledge or authority.

Reports

We will make the following statements available to all investors in the Trust:

- A transaction confirmation statement.
- The Trust half-yearly financial accounts (if applicable).
- The Trust annual audited accounts for the relevant financial year.
- Annual distribution, tax and confirmation of holdings statements for the relevant financial year.

3. Withdrawing your investment

Withdrawal cut-off times

All withdrawal requests should be received by 2pm (Sydney time) on a Business Day for processing that day and will generally receive the Withdrawal Price for that Business Day. Any withdrawal request received after that time will be treated as having been received the following Business Day.

We reserve the right to accept or reject withdrawal requests in whole or in part at our discretion. We have the discretion to delay processing withdrawal requests where we believe this to be in the best interest of the Trust investors.

Please see the relevant PDS for information regarding how to request a withdrawal.

Withdrawal terms

Once we receive your withdrawal request, we may act on your instruction without further enquiry if the instruction bears your account number or investor details and your (apparent) signature(s), or your authorised signatory's (apparent) signature(s).

We may contact you to check your details before processing your withdrawal request. This may cause a delay in finalising payment of your withdrawal money. No interest is payable for any delay in finalising payment of your withdrawal money.

We are not responsible or liable if you do not receive, or are late in receiving, any withdrawal money that is paid according to your instructions.

When you are withdrawing, you should take note of the following:

- Withdrawals will only be paid to the investor.
- We reserve the right to fully redeem your investment if, as a result of processing your request, your investment balance in the Trust falls below the minimum balance set out in the PDS.
- If we cannot satisfactorily identify you as the withdrawing investor, we may reject your withdrawal request or payment of your withdrawal proceeds will be delayed. We are not responsible for any loss you consequently suffer.
- As an investor who is withdrawing, you agree that any payment made according to instructions received by post, email, courier or fax, shall be a complete satisfaction of our obligations, despite any fact or circumstances such as the payment being made without your knowledge or authority.
- You agree that if the payment is made according to these terms you, and any person claiming on your behalf, shall have no claim against us with regards to such payment.

Withdrawal restrictions

Under the Corporations Act, you do not have a right to withdraw from the Trust if the Trust is illiquid. In such circumstances, you will only be able to withdraw your investment if Equity Trustees makes a withdrawal offer in accordance with the Corporations Act. Equity Trustees is not obliged to make such offers.

The Trust will be deemed liquid if at least 80% of its assets are liquid assets (generally cash and marketable securities). In addition, should Equity Trustees be unable to realise sufficient assets to meet withdrawal payments, it may suspend the calculation of the NAV and withhold withdrawal proceeds.

4. Other important information

Your privacy

The Privacy Act 1988 (Privacy Act) and the Australian Privacy Principles regulate the way organisations collect, use, disclose, keep, secure and give people access to their personal information. At Equity Trustees we are committed to respecting the privacy of your personal information throughout the information lifecycle and our Privacy Policy details how we do this.

Equity Trustees may collect personal information about you and individuals associated with you in order to provide products and services to you, and to ensure compliance with legal and regulatory obligations (including under the Corporations Act, the AML/CTF Act and tax related legislation). You must ensure that all personal information which you provide to Equity Trustees is true and correct in every detail, and should those personal details change it is your responsibility to ensure that you promptly advise Equity Trustees of the changes in writing. If you do not provide the information requested we may not be able to process your application, administer, manage, invest, pay or transfer your investment(s). We may also obtain or confirm information about you from publicly available sources in order to meet regulatory obligations.

Equity Trustees may disclose your information to other members of our corporate group or to third parties, where it is necessary, in order to provide you with the products or services. Those third parties may be situated in Australia or offshore, and we take reasonable steps to ensure that all third parties with whom we have a contractual relationship or other influence comply with the Australian Privacy Principles.

The third parties that we may disclose your information to include, but are not limited to:

- stockbrokers, financial advisers or adviser dealer groups, their service providers and/or any joint holder of an investment;
- those providing services for administering or managing the Trust, including the Investment Manager, Custodian and Administrator, auditors, or those that provide mailing or printing services;
- those where you have consented to the disclosure and as required by law; and
- regulatory bodies such as ASIC, ATO, APRA and AUSTRAC.

Equity Trustees or the Investment Manager may from time to time provide you with direct marketing and/or educational material about products and services they believe may be of interest to you. You have the right to “opt out” by contacting Equity Trustees.

Equity Trustees’ Privacy Policy contains information about how you can access information held about you, seek a correction if necessary, make a complaint if you think there has been a breach of your privacy and about how Equity Trustees will deal with your complaint.

Full details of Equity Trustees’ Privacy Policy is available at www.eqt.com.au. You can contact Equity Trustees’ Privacy Officer on +61 3 8623 5000, or email at privacy@eqt.com.au to request a copy.

The Constitution

The Trust is governed by a constitution that sets out the Trust’s operation (the “Constitution”). This Constitution, together with the Trust’s PDS, the Corporations Act and other laws, regulate our legal relationship with investors in the Trust. If you invest in the Trust, you agree to be bound by the terms of the Trust’s PDS and the Trust’s Constitution. You can request a copy of the Constitution free of charge. Please consider these documents before investing in the Trust.

We may amend the Constitution from time to time in accordance with the provisions in the Constitution and the Corporations Act.

Attribution Managed Investment Trusts (AMITs)

The Constitution provides, where separate classes of units are on issue in respect of the Trust, for income allocation to take into account any impact of the currency overlay that may be in place for the respective classes. The quantum of the distribution is sought to be determined on a standalone basis. Prior to the AMIT multi-class election being made (as described below), the Trust is treated as a single taxpayer. As any separate classes of units would not currently be treated as separate taxpayers, it is possible under the current taxation regime that the tax character of distributions made to a particular class may be impacted by transactions associated with another class. The Constitution provides a mechanism to seek to minimise this outcome. Insofar as possible, where separate classes of units are on issue, the Constitution seeks to quarantine the income associated with a particular class to that class.

In May 2016, the Australian Federal Government enacted legislation establishing a new tax system for Attribution Managed Investment Trusts (AMITs). Trusts that meet the eligibility criteria to be an AMIT may elect into the AMIT rules. Equity Trustees is intending that an election into AMIT be made in respect of the Trust and thereafter the following will apply:

Fair and reasonable attribution: Each year, the Trust’s determined trust components of assessable income, exempt income, non-assessable non-exempt income and tax offsets (i.e. credits) will be allocated to investors on a “fair and reasonable” attribution basis, rather than being allocated proportionally based on each investor’s present entitlement to the income of the Trust.

Unders or overs adjustments: Where the Trust’s determined trust components for a year are revised in a subsequent year (e.g. due to actual amounts differing to the estimates of income, gains / losses or expenses), then unders and overs may arise. Unders and overs will generally be carried forward and adjusted in the year of discovery.

Cost base adjustments: Where the distribution made is less than (or more than) certain components attributed to investors, then the cost base of an investor’s units may be increased (or decreased). Details of cost base adjustment will be included on an investor’s annual tax statement, referred to as an AMIT Member Annual Statement (AMMA).

Large redemptions: In certain circumstances, gains may be attributed to a specific investor, for example, gains on disposal of assets to fund a large redemption being attributed to the redeeming investor.

Multi-class AMITs: A choice is available to elect to treat separate classes of units as separate AMITs. Equity Trustees is intending that the AMIT multi-class election be made in respect of the Trust.

Penalties: In certain circumstances (e.g. failure to comply with certain AMIT rules), specific penalties may be imposed.

The new rules are intended to reduce complexity, increase certainty and reduce compliance costs for managed investment trusts and their investors.

Anti-Money Laundering and Counter Terrorism Financing (“AML/CTF”)

Australia’s AML/CTF laws require Equity Trustees to adopt and maintain an Anti-Money Laundering and Counter Terrorism Financing Program. A fundamental part of the AML/CTF Program is that Equity Trustees knows certain information about investors in the Trust.

To meet this legal requirement, we need to collect certain identification information and documentation (KYC Documents) from new investors. Existing investors may also be asked to provide KYC Documents as part of a re-identification process to comply with AML/CTF laws. Processing of applications will be delayed or refused if investors do not provide the applicable KYC Documents when requested.

Under the AML/CTF laws, Equity Trustees is required to submit regulatory reports to AUSTRAC. This may include the disclosure of your personal information. Equity Trustees may not be able to tell you when this occurs.

The Responsible Entity, the Investment Manager and the Delegated Investment Manager shall not be liable for any loss you may suffer because of compliance with the AML/CTF laws.

Indirect Investors

You may be able to invest indirectly in the Trust via an IDPS by directing the IDPS Operator to acquire units on your behalf. If you do so, you will need to complete the relevant forms provided by the IDPS Operator. This will mean that you are an Indirect Investor in the Trust and not a unitholder or member of the Trust. Indirect Investors do not acquire the rights of a unitholder as such rights are acquired by the IDPS Operator who may exercise, or decline to exercise, these rights on your behalf.

Indirect Investors do not receive reports or statements from us and the IDPS Operator's application and withdrawal conditions determine when you can direct the IDPS Operator to apply or redeem. Your rights as an Indirect Investor should be set out in the disclosure document issued by the IDPS Operator.

Information on underlying investments

Information regarding the underlying investments of the Trust will be provided to an investor of the Trust on request, to the extent Equity Trustees is satisfied that such information is required to enable the investor to comply with its statutory reporting obligations. This information will be supplied within a reasonable timeframe having regard to these obligations.

Foreign Account Tax Compliance Act ("FATCA")

In April 2014, the Australian Government signed an intergovernmental agreement ("IGA") with the United States of America ("U.S."), which requires all Australian financial institutions to comply with the FATCA Act enacted by the U.S. in 2010.

Under FATCA, Australian financial institutions are required to collect and review their information to identify U.S. residents that invest in assets through non-U.S. entities. This information is reported to the Australian Taxation Office ("ATO"). The ATO may then pass that information onto the U.S. Internal Revenue Service.

In order to comply with the FATCA obligations, we may request certain information from you. Failure to comply with FATCA obligations may result in the Trust, to the extent relevant, being subject to a 30% withholding tax on payment of U.S. income or gross proceeds from the sale of certain U.S. investments. If the Trust suffers any amount of FATCA withholding and is unable to obtain a refund for the amounts withheld, we will not be required to compensate unitholders for any such withholding and the effect of the amounts withheld will be reflected in the returns of the Trust.

Common Reporting Standard ("CRS")

The CRS is a standardised set of rules developed by the Organisation of Economic Co-operation and Development that requires certain financial institutions resident in a participating jurisdiction to document and identify reportable accounts and implement due diligence procedures. These financial institutions will also be required to report certain information on reportable accounts to their relevant local tax authorities.

Australia signed the CRS Multilateral Competent Authority Agreement and has enacted provisions within the domestic tax legislation to implement CRS in Australia. From 1 July 2017, Australian financial institutions will need to document and identify reportable accounts, implement due diligence procedures and report certain information with respect to reportable accounts to the ATO. The ATO may then exchange this information with foreign tax authorities in the relevant signatory countries.

In order to comply with the CRS obligations, we may request certain information from you. Unlike FATCA, there is no withholding tax that is applicable under CRS. However, penalties may apply for failing to comply with the CRS obligations.

5. Glossary

ABN

Australian Business Number.

Additional Investment Form

The form used by investors who wish to subscribe for additional units directly in the Trust. Available from the Online Investor Portal at www.bnpparibas-am.com.au or by calling BNP Paribas Asset Management's Client Services on 1800 267 726 (Australia) or +612 9619 6245.

AFSL

Australian Financial Services Licence.

AML/CTF Act

Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) and the Anti-Money Laundering and Counter-Terrorism Financing Rules, as amended from time to time.

APIR Code

This is a unique code for products in the financial services industry.

APRA

Australian Prudential Regulation Authority.

Application Price

The NAV of the Trust divided by the number of units on issue in the Trust plus any Buy Spread.

ARSN

Australian Registered Scheme Number.

ASIC

Australian Securities and Investments Commission.

AUD or \$

Australian dollars.

AUSTRAC

Australian Transaction Reports and Analysis Centre.

Benchmark

MSCI World Index, measured in AUD.

Bottom-up

An investment strategy in which companies are considered based on their own merit, without regard for the sectors they are part of, or the current economic conditions.

Business Day

A day other than a Saturday or Sunday on which banks are open for general banking business in Sydney, NSW.

Buy/Sell Spread

The difference between the Application Price and Withdrawal Price of units in the Trust, which reflects the estimated transaction costs associated with buying or selling the assets of the Trust, when investors invest in or withdraw from the Trust.

Constitution

The document which describes the rights, responsibilities and beneficial interest of both investors and the Responsible Entity in relation to the Trust, as amended from time to time.

Corporations Act

The Corporations Act 2001 and Corporations Regulations 2001 (Cth), as amended from time to time.

Custodian and Administrator

BNP Paribas Securities Services (ARBN 149 440 291).

Delegated Investment Manager or BHMS

Barrow, Hanley, Mewhinney & Strauss, LLC.

Emerging Markets

Developing countries with relatively low per capita income, often with above-average economic growth potential. Many Latin American, Eastern European and Asian countries are considered Emerging Markets.

GST

Goods and Services Tax.

IDPS

Investor Directed Portfolio Service. An IDPS service is generally the vehicle through which an investor purchases a range of underlying investment options from numerous investment managers, with the IDPS Operator providing the investor with consolidated and streamlined transaction statements and other reporting.

IDPS Operator

An entity that operates and offers an IDPS.

Indirect Investors

Individuals who invest in a Trust through an IDPS.

Initial Application Form

The application form used by applicants who wish to subscribe for units directly in the Trust accompanying this PDS. Available from the Online Investor Portal at www.bnpparibas-am.com.au or by calling BNP Paribas Asset Management's Client Services on 1800 267 726 (Australia) or +612 9619 6245.

Investment Manager

BNP PARIBAS ASSET MANAGEMENT Australia Limited ABN 78 008 576 449, AFSL 223418.

Net Asset Value (NAV)

The value of assets of the Trust, less the value of the liabilities of the Trust.

Redemption Request Form

The form used by investors who wish to withdraw units directly from the Trust. Available from the Online Investor Portal at www.bnpparibas-am.com.au or by calling BNP Paribas Asset Management's Client Services on 1800 267 726 (Australia) or +612 9619 6245.

Responsible Entity

Equity Trustees Limited ("Equity Trustees").

We, us

Refers to Equity Trustees.

US Person

A person so classified under securities or tax law in the United States of America ("US") including, in broad terms, the following persons:

(a) any citizen of, or natural person resident in, the US, its territories or possessions; or

(b) any corporation or partnership organised or incorporated under any laws of or in the US or of any other jurisdiction if formed by a US Person (other than by accredited investors who are not natural persons, estates or trusts) principally for the purpose of investing in securities not registered under the US Securities Act of 1933; or

(c) any agency or branch of a foreign entity located in the US; or

(d) a pension plan primarily for US employees of a US Person; or

(e) a US collective investment vehicle unless not offered to US Persons; or

(f) any estate of which an executor or administrator is a US Person (unless an executor or administrator of the estate who is not a US Person has sole or substantial investment discretion over the assets of the estate and such estate is governed by non-US law) and all the estate income is non-US income not liable to US income tax; or

(g) any trust of which any trustee is a US Person (unless a trustee who is a professional fiduciary is a US Person and a trustee who is not a US Person has sole or substantial investment discretion over the assets of the trust and no beneficiary (or settlor, if the trust is revocable) of the trust is a US Person); or

(h) any discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary for the benefit or account of a US Person; or

(i) any non-discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary organised, incorporated or (if an individual) resident in the US for the benefit or account of a US Person.

Wholesale Client and Retail Client

Persons or entities defined as such under section 761G of the Corporations Act.

Wholesale Investor

In the case of a New Zealand investor, has the meaning given in clause 3(2) of Schedule 1 of the Financial Markets Conduct Act 2013 (New Zealand).

Withdrawal Price

NAV of the Trust divided by the number of units on issue in the Trust, less any Sell Spread.



BNP PARIBAS
ASSET MANAGEMENT

Client Services contact details

Phone

1800 267 726

Enquiries email

amau.clientservice@bnpparibas.com

Transactions email

bnppam.transactions@onevue.com.au

Initial application form

Please use this form if you are a new investor and wish to invest in one or more of the funds listed in section 6 by making an initial application.

1. Read and ensure you understand the Product Disclosure Statement (PDS) and the Reference Guide.

The PDS and Reference Guide are available at www.bnpparibas-am.au. The law prohibits any person passing this Application Form on to another person unless it is accompanied by a complete PDS. We will provide on request and without charge a paper or electronic copy of the current PDS and its incorporated documents.

2. Complete all relevant sections of this application form either:

- **online** - then print and sign in the relevant fields using a black pen; or
- **manually** - please write in BLOCK letters, using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

Individuals: complete section 1, section 2, section 3 and then section 6 onwards.

Companies: complete section 1, section 2, section 4 and then section 6 onwards.

Trusts/superannuation funds:

- if you are an individual trustee - complete section 1, section 2, section 3 and then section 5 onwards.
- if you are a trust with a company as a trustee – complete section 1, section 2 and then section 4 onwards.

3. Collect and certify the identification documents.

Please refer to section 11 'Identification and verification' and complete the relevant identification document attached to this Application Form.

4. Tell us your US tax status.

Please complete the tax information form attached to this Application Form.

5. Send your documents to our UNIT REGISTRY PROVIDER.

You can return your forms by post to:

BNP PARIBAS ASSET MANAGEMENT Australia Limited
GPO Box 804
MELBOURNE VIC 3001

6. Make your payment.

Please refer to section 7 'Payment of application amount'.

Your application cannot be processed until all relevant identification documents and cleared funds are received.

1. DO YOU HAVE AN EXISTING INVESTMENT IN ANY BNP PARIBAS ASSET MANAGEMENT AUSTRALIA LIMITED DISTRIBUTED FUND FOR WHICH ONEVUE PROVIDES UNIT REGISTRY SERVICES?

☐ No, complete section 2 onwards.

☐ Yes, the account number is Please complete from section 6 onwards.

2. FATCA (US FOREIGN ACCOUNT TAX COMPLIANCE ACT) DECLARATION

Regulated super funds (Self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or Semi-Government superannuation funds or pooled superannuation trust) do not need to complete this section unless you have a Global Intermediary Identification Number (GIIN).

Are you:

- an individual who is a US citizen or US resident for tax purposes (with a Taxpayer Identification Number)
- a trust that is established under the laws of the US or a US taxpayer or a trust that has trustees, beneficiaries or settlor's that are US citizens or taxpayers, or
- a company established under the laws of the US or a US taxpayer or a company whose beneficial owners through one or more shareholdings owns 25% or more of the company's issued capital.

☐ No ☐ Yes

Do you have a GIIN or are you otherwise registered for FATCA?

☐ No ☐ Yes – You are required to complete the tax information form located on pages 7–10 together with your application form.

Note: You are still required to complete the relevant form based on your investor type.

3. INDIVIDUALS

Please complete if you are investing individually, jointly or you are an individual or joint trustee.

Investor 1 – Personal details

Title Full given names

Surname

Date of birth (DD/MM/YYYY)

DD / MM / YYYY

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Postal address (if different to residential address)

A PO Box/RMB/Locked Bag is acceptable.

Sole trader?

☐ No ☐ Yes

If you are a sole trader, what is your business name?

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Contact details

Home number (include country and area code)

Business number (include country and area code)

Mobile number (include country code)

Email address

This email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material).

ABN

Tax details — Australian residents

If you are an Australian resident for tax purposes, please provide your tax file number (TFN) or reason for exemption. If you are an Australian resident and do not provide your TFN, or reason for exemption, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN

Reason for exemption

Tax details — Non Australian residents

If you are not an Australian resident for tax purposes, please indicate your country of residence for tax purposes.

Investor 2 – Personal details

Title Full given names

Surname

Date of birth (DD/MM/YYYY)

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Postal address (if different to residential address)

A PO Box/RMB/Locked Bag is acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Contact details

Home number (include country and area code)

Business number (include country and area code)

Mobile number (include country code)

Email address

All correspondence will be sent to the address provided for investor 1.

Tax details — Australian residents

If you are an Australian resident for tax purposes, please provide your Tax File Number (TFN) or reason for exemption. If you are an Australian resident and do not provide your TFN, or reason for exemption, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN

Reason for exemption

Tax details — Non Australian residents

If you are not an Australian resident for tax purposes, please indicate your country of residence for tax purposes.

If there are more than two individual investors or trustees, please provide the full name, date of birth, and residential address of each on a separate sheet and attach to this form.

4. COMPANIES

Please complete if you are investing as a company or as a trust with a corporate trustee.

Note: You are also required to complete the relevant Identification Form.

Company details

Full name of company (as registered by ASIC)

ACN or ABN (for foreign companies, provide your Australian Registered Body Number (ARBN) if you have one)

TFN

Country of residency (if a foreign company)

Registered office address

A PO Box/RMB/Locked Bag is not acceptable. If you are a foreign company, write the address of your Australian registered agent (if you have one) or else write your principal place of business.

Name of Australian registered agent (if applicable)

Property name/building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Postal address (if different to above)

A PO Box/RMB/Locked Bag is acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Contact person at company

Name

Home number (include country and area code)

Business number (include country and area code)

Mobile number (include country code)

Email address

This email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material).

5. TRUSTS OR SUPERANNUATION FUNDS

Please complete if you are investing as a trust or superannuation fund. Individuals and non-corporate trustee(s) must also complete sections 2 and 3. Corporate trustees must also complete sections 2 and 4.

Note: You are also required to complete the Identification Form - Trusts and Trustees.

Trust or superannuation fund details

Name of trust or superannuation fund

ABN (applicable if you are a trust or a self-managed superannuation fund registered with the Australian Tax Office)

TFN

6. INVESTMENT DETAILS AND DISTRIBUTION INSTRUCTIONS

Please specify your initial application amount and your distribution choice below. If you do not make an election, distributions will be reinvested.

FUND NAME	MINIMUM INVESTMENT AMOUNT (AUD)	INVESTMENT AMOUNT (AUD)	DISTRIBUTION PREFERENCE (indicate preference with an X)	
			Pay to my bank a/c	Reinvest
Arnhem Australian Equity Fund	\$20,000		<input type="checkbox"/>	<input type="checkbox"/>
Arnhem Concentrated Australian Equity Fund	\$20,000		<input type="checkbox"/>	<input type="checkbox"/>
Arnhem Long Short Australian Equity Fund	\$20,000		<input type="checkbox"/>	<input type="checkbox"/>
Barrow Hanley Global Equity Trust	\$25,000		<input type="checkbox"/>	<input type="checkbox"/>
C WorldWide Global Equity Trust	\$25,000		<input type="checkbox"/>	<input type="checkbox"/>

7. PAYMENT OF APPLICATION AMOUNT

All payments must be made in AUD.

EFT

Account name: Equity Trustees Ltd App Trust A/c – BNPP AM
BSB: 255-000
Account number: 246674803
Your reference: [please use the name of the investor]

8. FINANCIAL INSTITUTION ACCOUNT DETAILS

Australian bank account details

Please provide your bank account details if you have selected to take your distribution in cash or wish to provide these details for future redemptions. We will only pay cash proceeds to a bank account in the name(s) of the investor(s). We will not make any payments into third party bank accounts.

Financial institution name

Branch name

BSB number

Account number

Account name

9. COMMUNICATION

Automatic online account access

Online access enables you to view details of your investments (account balance, investment details and account statements). We will send you the necessary registration details by post once your application is processed.

10. IDENTIFICATION AND VERIFICATION

Please tick one box only

- ☐ I have not previously invested in any BNP PARIBAS ASSET MANAGEMENT Australia Limited distributed fund and will complete the relevant investor identification forms located at the end of this application form.
- ☐ I am an existing investor in a BNP PARIBAS ASSET MANAGEMENT Australia Limited distributed fund and am not required to complete the investor identification forms located at the end of this application form.

11. DECLARATIONS AND ACKNOWLEDGMENTS

When you apply to invest, you (the applicant) are telling us:

- you have received, read and understood the current PDS
- monies deposited are not associated with crime, terrorism, money laundering or terrorism financing, nor will monies received from your account have any such association
- you are not bankrupt or a minor
- you agree to be bound by the constitution of the Fund and the PDS as supplemented, replaced or re-issued from time to time, and
- you consent to the handling of your personal information in accordance with the Privacy Act 1988 and relevant privacy policies.

12. SIGNATURES

Signing instructions

Individual — where the investment is in one name, the sole investor must sign.

Joint Holding — where the investment is in more than one name, all investors must sign. If more than two signatures are required, please attach an additional page with the full names of each account holder, their signatures, and date.

Companies — where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Trust — the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

Power of Attorney — if signing under a Power of Attorney and you have not already lodged the Power of Attorney document, please attach a certified copy of the Power of Attorney annotated with the following: I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of investor 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 / /

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Sole director and company secretary
- ☐ Authorised signatory

Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 / /

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Company secretary
- ☐ Authorised signatory

If you are investing jointly or are a joint trustee, please indicate whether a single investor can operate your account.

☐ Yes ☐ No

Client Services contact details
Phone
1800 267 726
Enquiries email
amau.clientservice@bnpparibas.com
Transactions email
bnppam.transactions@onevue.com.au

Tax information form

Why do you need to complete this form?

The Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) are regulatory requirements that aim to deter tax evasion by US and foreign taxpayers. The Australian and a number of other foreign Governments (through their tax offices) have an agreement which means we must ask you, and you must answer, these questions. Information we gather is reported to the Australian Taxation Office (ATO) and in turn to global tax authorities. For more information, visit www.ato.gov.au.

If you are unsure of any of the answers, please contact a legal, accounting or immigration professional.

Which sections of the form should you complete?

- Individuals – Section 2
- Superannuation Funds – Section 1
- Companies – Section 3
- Regulated and Unregulated Trusts – Section 3
 - Corporate trustee – Section 3
 - Individual trustee – Section 2
- Registered Cooperatives – Section 4

Investor name

Account number

1. SUPERANNUATION FUNDS

If you can tick this box, you don't need to go past this question other than to sign this form at the end: unless you have a GIIN, in which case please go to question 3.

☐ I am a super fund

2. INDIVIDUAL

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 be as a result of citizenship or residency.

Please answer **both** tax residency questions:

Is the individual a tax resident of Australia? ☐ Yes ☐ No

Is the individual a tax resident of another country? ☐ Yes ☐ No

If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.

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 a Social Security 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.

<input type="text"/>	TIN	<input type="text"/>
<input type="text"/>	TIN	<input type="text"/>
<input type="text"/>	TIN	<input type="text"/>

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 Trust has not been issued with a TIN
Reason C The country of tax residency does not require the TIN to be disclosed

3. ENTITIES

3.1 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 produced 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 an Active NFE, please proceed to section 3.3 (Country of tax residency).

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

Please proceed to section 3.2 (Foreign Beneficial Owners).

3.2 FOREIGN BENEFICIAL OWNERS (INDIVIDUALS)

Are any of the company's Beneficial Owners 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 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.

Full given name(s)	Surname	Role (such as Director or Senior Managing Official)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Please proceed to section 3.3 (Country of tax residency).

3.3 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, please complete the form by signing and dating at the end of the document.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a TFN 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="text"/>
2.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

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

Collection of tax status in accordance with United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

3.4 FOREIGN FINANCIAL INSTITUTIONS

Select one of the tax status boxes below (if the company is a Financial Institution, please provide all the requested information below)

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

Tick ☒ **one of the Tax Status boxes below or on the next page** (if the company is a Financial Institution, please provide all the requested information below)

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 its 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 (describe the company's FATCA status in the box provided)

- ☐ **Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company or Australian Registered Charity** (Public listed companies or majority owned subsidiaries of Australian listed companies as per 3.4 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)

If the company type is listed above, please proceed to sign and date to complete the form.

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 3.5 (Foreign Controlling Persons). If No, proceed to sign and date to complete the form.

CRS Participating Jurisdictions are on the OECD website at www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction

- ☐ **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, please proceed to sign and date to complete the form.

- ☐ **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 produced 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, please proceed to section 3.3 (Country of tax residency).

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

Please proceed to section 3.2 (Foreign Beneficial Owners).

3.5 FOREIGN CONTROLLING PERSONS (INDIVIDUALS)

Are any of the Trust's Controlling Persons tax residents of countries other than Australia? ☐ Yes ☐ No

If the Trustee is a company, are any of this company's Controlling Persons tax residents of countries other than Australia? ☐ Yes ☐ No

* A Controlling Person is any individual who directly or indirectly exercises control over the Trust. For a Trust, this includes all Trustees, Settlers, Protectors or Beneficiaries. For a Trustee company this includes any beneficial owners controlling more than 25% of the shares in the company or Senior Managing Officials.

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 be as a result of citizenship or residency.

If Yes to either of the two questions above, please provide the details of these individuals below and complete a separate Individual Identification Form for each Controlling Person (unless already provided as a Beneficial Owner)

Full given name(s)	Surname	Role (such as Trustee or Beneficiary, etc.)

If there are more controlling persons, provide details on a separate sheet and tick this box. ☐

Proceed to sign and date to complete the form.

4. REGISTERED COOPERATIVE

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Is the Registered Cooperative a tax resident of a country other than Australia? ☐ Yes ☐ No

(A Registered Cooperative created or established under the laws of a country other than Australia)

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

If No, proceed to sign and date 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 TFN in Australia or an Employee 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		TIN		If no TIN, list reason A, B or C	
2.	Country		TIN		If no TIN, list reason A, B or C	
3.	Country		TIN		If no TIN, list reason A, B or C	

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

Signature 1

Please print full name

Date (DD/MM/YYYY)

Signature 2

Please print full name

Date (DD/MM/YYYY)



BNP PARIBAS
ASSET MANAGEMENT

Client Services contact details

Phone

1800 267 726

Enquiries email

amau.clientservice@bnpparibas.com

Transactions email

bnppam.transactions@onevue.com.au

Instructions: identification forms

Which form?	<p>There are three forms that follow: one each for individuals, companies and trustees.</p> <p>Choose the form that is applicable to you.</p> <p>If you are a partnership, an association, a co-operative or a Government body, then contact us and we will send a more appropriate form to you.</p>
Copies or originals?	<p>This form asks you to send us certain documents. Please send us certified copies, not originals. We will keep what you send to us.</p>
Certifying copies	<p>You must have someone certify the copies you send to us. The following people can be the certifier:</p> <p>You must certify the copies you send to us by one of the following certifiers:</p> <ul style="list-style-type: none">• a Justice of the Peace• a Notary public (for the purposes of the Statutory Declaration Regulations 1993)• an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public• a permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public• an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees• an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)• a finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993)• a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership• a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)• a Judge of a court• a magistrate• a chief executive officer of a Commonwealth court• a registrar or deputy registrar of a court• a Police officer• an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).
What should the person certifying write?	<p>"I [name] of [address] being [capacity e.g. Justice of the Peace] certify this and the following [x] pages as a true copy of the original document." Each page should be initialed by the person certifying your documents.</p>
Not in English?	<p>Documents not in English must be accompanied by an English translation prepared by an accredited translator. Contact us if you need guidance on accredited translators.</p>



BNP PARIBAS
ASSET MANAGEMENT

Client Services contact details

Phone

1800 267 726

Enquiries email

amau.clientservice@bnpparibas.com

Transactions email

bnppam.transactions@onevue.com.au

Identification form – Individuals

Please complete this form if you have not previously invested in a BNP PARIBAS ASSET MANAGEMENT Australia Limited distributed fund. A separate form is required for each investor in the case of joint holdings. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

If you are a trustee, do NOT complete this form. Complete the Identification form – Trusts and Trustees instead.

1. Please complete this identification form in block letters and using a black pen.
2. Make copies of your ID document(s) and arrange for them to be certified. Please refer to the 'Instructions' page for more information on getting your documents certified.
3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

1. PERSONAL DETAILS

Title Full given names

Surname

Date of birth (DD/MM/YYYY)

Usual occupation

Please indicate the source and origin of funds being invested:

☐ savings

☐ investment

☐ superannuation contributions

☐ commission

☐ donation/gift

☐ inheritance

☐ normal course of business

☐ asset sale, OR

☐ other – write the source and origin of funds below

2. VERIFICATION PROCEDURE – INDIVIDUAL INVESTOR

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

Group 1

Provide a certified copy of one of these:

☐ Australian driver's licence

showing your photo, and please copy the front and back OR

☐ foreign driver's licence

showing your date of birth, signature and photo OR

☐ Australian passport

a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you OR

☐ foreign passport

showing your signature and photo, and please copy the pages which identify you OR

☐ Australian State or Territory Government issued ID card

showing your date of birth, signature and photo OR

☐ foreign Government issued ID card

showing your date of birth, signature and photo.

Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

☐ Australian or foreign government issued birth certificate OR

☐ Australian or foreign government issued citizenship certificate

OR

☐ Centrelink pension or health card

please copy the front and back.

PLUS provide a certified copy of one of the following:

☐ a Government issued notice

one which shows your name and residential address, not more than 12 months old **OR**

☐ a rates or utilities notice

one which shows your name and residential address, not more than 3 months old **OR**

☐ ATO notice

one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

3. SIGNATURE

Signature

Date (DD/MM/YYYY)



BNP PARIBAS
ASSET MANAGEMENT

Client Services contact details

Phone

1800 267 726

Enquiries email

amau.clientservice@bnpparibas.com

Transactions email

bnppam.transactions@onevue.com.au

Identification form – Australian and foreign companies

Please complete this form if you are a company investing for the first time with a BNP PARIBAS ASSET MANAGEMENT Australia Limited distributed fund. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

If you are a trustee, do NOT complete this form. Complete the Identification form – Trusts and Trustees instead.

1. Please complete this identification form in block letters and using a black pen.
2. Make copies of your ID document(s) and arrange for them to be certified. Please refer to the 'Instructions' page for more information on getting your documents certified.
3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

1. COMPANY DETAILS

1.1. General information

Full name of company

Nature of business

Please indicate the source and origin of funds being invested:

☐ savings

☐ investment

☐ superannuation contributions

☐ commission

☐ donation/gift

☐ inheritance

☐ normal course of business

☐ asset sale, OR

☐ other – write the source and origin of funds below

1.2. Australian companies

Principal place of business (if different to registered office address).

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Please provide us with certified copies of the following:

☐ an ASIC search OR

☐ a certificate of registration issued by ASIC

1.3. Foreign companies

Country of formation

Registered in Australia?

☐ No ☐ Yes – what is the ARBN

Registered in country of formation?

☐ No ☐ Yes – name of regulator/exchange

Identification number issued by foreign registration body

If you are a foreign company registered in Australia write your principal place of business in Australia or the full name and address of your Australian agent.

If you are a foreign company not registered in Australia write your registered business address in country of formation or principal place of business if there is not a registered address.

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country (if not Australia)

Please provide us with certified copies of one of the following:

☐ an ASIC or foreign regulator search OR

☐ an ASIC or foreign regulator certificate of registration.

2. COMPANY TYPE

Please complete the section below for public companies (section 2.1) or private companies (section 2.2) (as applicable).

2.1. Public company

Are you a public company?

☐ No ☐ Yes

If yes, please proceed to section 3.

2.2. Private company

Are you a private company?

☐ No ☐ Yes

If yes, please complete the director details section below if you are a private Australian company or a private foreign company. Do not complete for public companies.

Director details

How many directors are there?

Provide the full name of each director

Director 1

Title

Full given names

Surname

Director 2

Title

Full given names

Surname

Director 3

Title Full given names

Surname

Director 4

Title Full given names

Surname

If there are more directors, please provide their name on a separate sheet and attach to this form.

3. REGULATED/LISTED COMPANIES**Are you an Australian listed company?**
☐ No ☐ Yes – please provide name of market/exchange

Market/exchange

Are you a majority-owned subsidiary of an Australian listed company?
☐ No ☐ Yes – please provide name of listed company and market/exchange

Company

Market/Exchange

Are you a regulated company?

One that which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

☐ No ☐ Yes – please provide details of the regulator and license number

Regulator

Licence number

If you answered yes to any of these questions, please provide us with a certified copy of one of the following and sign the form at the end. For you, this form is then complete.

- ☐ an ASIC search OR
- ☐ a search of the licence or other records of the relevant regulator OR
- ☐ a public document issued by the company OR
- ☐ a search of the relevant market/exchange

4. NON-REGULATED/NON-LISTED COMPANIES

If you answered no to all the questions in section 3, please fill in the sections 4.1, 4.2 and 4.3 below.

4.1. Beneficial owner details

Provide details of all beneficial owners who are individuals who, through one or more shareholdings, ultimately own 25% or more of the company's issued capital or who control (whether directly or indirectly) the company and either the date of birth or full residential address of each beneficial owner.

HELP

Control: includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating policies.

Beneficial owner 1

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address/Registered office address.

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 2

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address/Registered office address.

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 3

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)
 / /

Usual occupation/nature of business

Residential address/Registered office address.

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Beneficial owner 4

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)
 / /

Usual occupation/Nature of business

Residential address/Registered office address.

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

Verification procedure - beneficial owners

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

Group 1

Provide a certified copy of one of these:

- ☐ **Australian driver's licence**
 showing your photo, and please copy the front and back **OR**
- ☐ **foreign driver's licence**
 showing your date of birth, signature and photo **OR**
- ☐ **Australian passport**
 a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you **OR**
- ☐ **foreign passport**
 showing your signature and photo, and please copy the pages which identify you **OR**
- ☐ **Australian State or Territory Government issued ID card**
 showing your date of birth, signature and photo **OR**
- ☐ **foreign Government issued ID card**
 showing your date of birth, signature and photo.

Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- ☐ **Australian or foreign government issued birth certificate** **OR**
- ☐ **Australian or foreign government issued citizenship certificate** **OR**
- ☐ **Centrelink pension or health card**
 please copy the front and back.

PLUS provide a certified copy of one of the following:

- ☐ **a Government issued notice**
 one which shows your name and residential address, not more than 12 months old **OR**
- ☐ **a rates or utilities notice**
 one which shows your name and residential address, not more than 3 months old **OR**
- ☐ **ATO notice**
 one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

- ☐ a completed Identification form – Australian and Foreign companies, plus any relevant identification.

4.2. Voting rights

If there are any other individuals, who have not been listed above in section 4.1, and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please provide their name, date of birth, and residential address on a separate sheet and attach to this form.

4.3. Senior Managing Official details

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

Title Full given names

Surname

Date of birth (DD/MM/YYYY)
 / /

Company title

Residential address/Registered office address
A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

HELP

Senior managing official: an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

Verification procedure - senior managing official details

If you are unable to provide details of the beneficial owners in 4.1 above, please provide documentation showing the name of the senior managing official, as provided in this section 4.3.

5. SIGNATURES

Signing instructions

Where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Signature of director 1

Please print full name

Date (DD/MM/YYYY)
 / /

Company officer (please indicate company capacity)

- ☐ Director
☐ Sole director and company secretary

Signature of director 2/company secretary

Please print full name

Date (DD/MM/YYYY)
 / /

Company officer (please indicate company capacity)

- ☐ Director
☐ Company secretary



BNP PARIBAS
ASSET MANAGEMENT

Client Services contact details

Phone

1800 267 726

Enquiries email

amau.clientservice@bnpparibas.com

Transactions email

bnppam.transactions@onevue.com.au

Identification form – Trusts and Trustees

Please complete this form if you have not previously invested in a BNP PARIBAS ASSET MANAGEMENT Australia Limited distributed fund. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

1. Please complete this identification form in block letters and using a black pen.
2. Make copies of your ID document(s) and arrange for them to be certified. Please refer to the 'Instructions' page for more information on getting your documents certified.
3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

1. TRUST DETAILS

Full name of trust

Business name (if any)

Country in that the trust was established

Please indicate the source and origin of funds being invested:

☐ savings

☐ investment

☐ superannuation contributions

☐ commission

☐ donation/gift

☐ inheritance

☐ normal course of business

☐ asset sale, OR

☐ other – write the source and origin of funds below

2. TYPE OF TRUST

2.1. Regulated trusts

This includes complying super funds and SMSFs

Super fund - or another type of trust registered and regulated by an Australian Commonwealth statutory regulator

☐ No ☐ Yes

If yes, please tell us:

The trust's ABN

The regulator if not APRA or the ATO

Any licence number

Registered managed investment scheme

☐ No ☐ Yes

If yes, please tell us the ARSN

Government superannuation fund

☐ No ☐ Yes

If yes, please tell us the name of the Act that regulates the trust

If you answered yes to any of these questions, then please provide a certified copy of one of the following:

☐ **super funds**

go to www.abn.business.gov.au, select the 'Super Fund Lookup' option and print out the results for your super fund OR

☐ **registered managed investment schemes**

an ASIC search of the scheme OR

☐ Government superannuation funds
an extract of the establishing legislation.

2.2. Non-regulated trusts

Including family discretionary trusts, family and other unit trusts, deceased estates and charitable trusts (but not including self managed super funds)

Is the trust a non-regulated trust?

☐ No ☐ Yes

If yes, please specify the type of trust

Please provide full name, address and date of birth of all beneficial owners who are individuals who own 25% or more of the trust income or assets or who control (whether directly or indirectly) the trust and either the date of birth or full residential address of each beneficial owner:

HELP

Control: includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating policies.

Beneficial owner 1

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 2

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 3

Title

Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 4

Title

Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Please provide the name of all beneficiaries that are not beneficial owners.

If the trust deed describes the beneficiaries by reference to member of a class please provide details of, the class to which the beneficiaries belong e.g. family members, unit holders, un-named charities on a separate sheet and attach to this form.

Beneficiary 1

Title

Full given names

Surname

Beneficiary 2

Title

Full given names

Surname

Beneficiary 3

Title

Full given names

Surname

Beneficiary 4

Title

Full given names

Surname

Please provide the name of the **appointor** of the trust, if applicable

HELP

Appointor: the appointor has the power to appoint or remove the trustees of the trust. Not all trusts have an appointor.

Name of trust **settlor**

HELP

Settlor: this is the person that creates the trust. The settlor may be, for example, your accountant or solicitor.

Note: you do not need to provide the name of the trust settlor if they are deceased, or the material asset at the time the trust was established was less than \$10,000.

If you are a non-regulated trust, please provide us with certified copies of one of the following:

- ☐ **Trust deed**
or an extract of the trust deed showing the full name of the trust and any named trust settlor
- ☐ **Other documentation**
confirming the full name of the trust and the name of the trust settlor

3. TRUSTEE DETAILS

3.1 Verification procedure – individual trustee

Title	Full given names
<input type="text"/>	<input type="text"/>

Surname

Date of birth (DD/MM/YYYY)
 DD / MM / YYYY

Usual occupation

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

Group 1

Provide a certified copy of one of these:

- ☐ **Australian driver's licence**
showing your photo, and please copy the front and back **OR**
- ☐ **foreign driver's licence**
showing your date of birth, signature and photo **OR**
- ☐ **Australian passport**
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you **OR**
- ☐ **foreign passport**
showing your signature and photo, and please copy the pages which identify you **OR**
- ☐ **Australian State or Territory Government issued ID card**
showing your date of birth, signature and photo **OR**
- ☐ **foreign Government issued ID card**
showing your date of birth, signature and photo.

Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- ☐ **Australian or foreign government issued birth certificate** **OR**
- ☐ **Australian or foreign government issued citizenship certificate** **OR**
- ☐ **Centrelink pension or health card**
please copy the front and back.

PLUS provide a certified copy of one of the following:

- ☐ **a Government issued notice**
one which shows your name and residential address, not more than 12 months old **OR**
- ☐ **a rates or utilities notice**
one which shows your name and residential address, not more than 3 months old **OR**

- ☐ **ATO notice**
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

- ☐ a completed Identification form – Australian and Foreign companies, plus any relevant identification.

3.2 Verification procedure – company trustees

3.2.1 General information

Full name of company trustee

Nature of business

ACN

3.2.2 Australian company trustee

Place of business (if different to registered office address)

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit	Street number
<input type="text"/>	<input type="text"/>

Street name

Suburb	State
<input type="text"/>	<input type="text"/>

Post code	Country
<input type="text"/>	<input type="text"/>

3.2.3 Foreign company trustee

Country of formation

Registered in Australia?
☐ No ☐ Yes

If yes, please provide the ARBN

Registered in that country?

☐ No ☐ Yes

If yes, please provide the name of regulator/exchange

Identification number issued by foreign registration body

Registered business address in country of formation.

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit	Street number
<input type="text"/>	<input type="text"/>

Street name

Suburb

State

Post code

Country (if not Australia)

Please provide us with certified copies of one of the following:

☐ an ASIC or foreign regulator search OR

☐ an ASIC or foreign regulator certificate of registration.

3.2.4 Company type

Please complete the section below for public companies (3.2.4 (a)) or private companies (section 3.2.4 (b)) (as applicable).

3.2.4 (a) Public company

Are you a public company?

☐ No ☐ Yes

If yes, please proceed to section 3.2.5

3.2.4 (b) Private company

Are you a private company?

☐ No ☐ Yes

If yes, please complete the director details section below if you are a private Australian company or a private foreign company. Do not complete for public companies.

Director details

How many directors are there?

Provide the full name of each director

Director 1

Title Full given names

Surname

Director 2

Title Full given names

Surname

Director 3

Title Full given names

Surname

Director 4

Title Full given names

Surname

If there are more directors, please provide their name on a separate sheet and attach to this form.

3.2.5 Regulated/Listed companies

Are you an Australian listed company?

☐ No ☐ Yes – please provide name of market/exchange

Market/Exchange

Are you a majority-owned subsidiary of an Australian listed company?

☐ No ☐ Yes – please provide name of listed company and market/exchange

Company

Market/Exchange

Are you a regulated company?

One which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

☐ No ☐ Yes – please provide details of the regulator and licence number

Regulator

Licence number

If you answered yes to any of these questions, please provide us with a certified copy of one of the following and sign the form at the end. For you, this form is then complete.

☐ an ASIC search OR

☐ a search of the licence or other records of the relevant regulator OR

☐ a public document issued by the company OR

☐ a search of the relevant market/exchange

3.2.6 Non-regulated/Non-listed companies

If you answered no to all the questions in section 3.2.5, please fill in the sections 3.2.6 (a), (b) and (c) below.

3.2.6 (a) Beneficial owner details

Provide details of all deneficial owners (i.e. company shareholders) who, through one of more shareholdings, own 25% or more of the company's issued capital.

Beneficial owner 1

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 2

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property name/building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 3

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Beneficial owner 4

Title

Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/nature of business

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

Verification procedure - beneficial owners

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

Group 1

Provide a certified copy of one of these:

☐ Australian driver's licence
showing your photo, and please copy the front and back OR

☐ foreign driver's licence
showing your date of birth, signature and photo OR

☐ Australian passport
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you OR

☐ foreign passport
showing your signature and photo, and please copy the pages which identify you OR

☐ Australian State or Territory Government issued ID card
showing your date of birth, signature and photo OR

☐ foreign Government issued ID card
showing your date of birth, signature and photo.

Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

☐ Australian or foreign government issued birth certificate OR

☐ Australian or foreign government issued citizenship certificate
OR

☐ Centrelink pension or health card
please copy the front and back.

PLUS provide a certified copy of one of the following:

☐ **a Government issued notice**

one which shows your name and residential address, not more than 12 months old **OR**

☐ **a rates or utilities notice**

one which shows your name and residential address, not more than 3 months old **OR**

☐ **ATO notice**

one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

☐ a completed Identification form – Australian and Foreign companies, plus any relevant identification.

3.2.6 (b) Voting rights

If there are any other individuals, who have not been listed above in section 3.2.6 (a), and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please write down their full names on a piece of paper and attach to this form.

3.2.6 (c) Senior Managing Official details

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

Title Full given names/company name

Surname

Date of birth (DD/MM/YYYY)

 / /

Nature of business

Company title

Residential address

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Post code

Country

HELP

Senior managing official: an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

Verification procedure - senior managing official details

If you are unable to provide details of beneficial owners in 3.2.6 (a) above, please provide documentation showing the name of the senior managing official, as provided in this section 3.2.6 (c).

4. SIGNATURES

Signing instructions

Individual Trustee – where the investment has one individual trustee, the trustee must sign.

Multiple trustees – where the investment has more than one individual trustee, all trustees must sign.

Corporate trustee – where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Trust – the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

Power of Attorney – if signing under a Power of Attorney and you have not already lodged the Power of Attorney with us, please attach a certified copy of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of trustee 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 / /

Company officer (please indicate company capacity)

- ☐ Director
☐ Sole director and company secretary
☐ Authorised signatory

Signature of trustee 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 / /

Company officer (please indicate company capacity)

- ☐ Director
☐ Company secretary
☐ Authorised signatory