

Application Form

This application form relates to the Product Disclosure Status dated 18 September 2020 (PDS) issued by The Trust Company (RE Services) Limited ABN 45 003 278 831 AFSL235150.

Please read the PDS in full before completing this Application Form.

SUBMIT YOUR APPLICATION

Email or Post:

Mainstream Fund Services – Unit Registry

E: registry@mainstreamgroup.com

GPO Box 4968 Sydney NSW 2001

NEED HELP?

Contact Mainstream

T: +61 2 8259 8566

E: registry@mainstreamgroup.com

PART A: INVESTOR & INVESTMENT DETAILS (all investors must complete this section)

Investor Name:

Type of Investor: (Please tick applicable box)

Account Type	Identification Requirement Groups to Complete	Sections to Complete after Part A is completed
Individual/Joint investors	Group A	Sections 1, 4, 5(i), 6
Superannuation fund with individual trustee(s)	Group B & C	Sections 1, 3, 4, 5(ii), 6
Superannuation fund with corporate trustee	Group B & C	Sections 2, 3, 4, 5(ii), 6
Trust with individual trustee(s)	Group B & C	Sections 1, 3, 4, 5(iii), 6
Trust with corporate trustee	Group B & C	Sections 2, 3, 4, 5(iii), 6
Company	Group D, E or F	Sections 2, 4, 5(iii), 6

AML Identity Verification Requirements

- Identification documentation provided must be in the name of the Applicant.
- Non-English language documents must be translated by an accredited translator.
- Applications made without providing this information cannot be processed until all the necessary information has been provided.
- If you are unable to provide the identification documents described please call Mainstream on +61 2 8259 8566.
- Applications from outside Australia will not be accepted.

These documents should be provided as an original or a CERTIFIED COPY of the original. Soft copies of your application form and identity documents can be accepted via email.

GROUP A – Individuals

Each individual investor, individual trustee, and beneficial owner must provide one of the following primary photographic ID:

- A current Australian driver's licence (or foreign equivalent) that includes a photo and signature
- An Australian or foreign passport (Australian passport can be expired within preceding 2 years)
- An identity card issued by a State or Territory Government that includes a photo

If you do NOT own one of the above ID documents, please provide one valid option from Column A and one valid option from Column B.

Column A	Column B
<ul style="list-style-type: none"> Australian birth certificate Australian citizenship certificate Pension card issued by Department of Human Services (previously known as Centrelink) Health care card issued by Department of Human Services (previously known as Centrelink) 	<ul style="list-style-type: none"> A document issued by the government within the last 12 months which contains the individual's name and residential address. A document issued by the Australian Taxation Office within the last 12 months which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document. A document issued by a local government body or utilities provider within the preceding 3 months which contains the individual's name and residential address.

New Zealand Investors - You may submit in place of the secondary identification documents listed above, a document of equivalency (e.g. A notice issued by the New Zealand Inland Revenue to you in the last 12 months, containing your name and residential address, and that records a debt payable to you).

GROUP B – Other Trusts (unregulated)

Provide Group A verification documents for each beneficial owner of the trust who is directly or indirectly entitled to benefit from a 25% or greater interest in the trust, or who directly or indirectly controls the trust, **and** in relation to the Trust, the following:

A certified copy or certified extract* of the Trust Deed. Extracts of Trust Deeds must include the name of the Trust, Trustees, Beneficiaries, Settlor and Settled Sum and be executed.

GROUP C – Trustees

If you are an **Individual Trustee** – please provide the identification documents listed under Group A.

If you are a **Corporate Trustee** – please provide the identification documents listed under Group D, E or F.

If you are a **combination** of both – please provide the identification documents for each investor type listed under Group A and D, E or F.

GROUP D – Regulated Australian Companies

Provide **one** of the following:

A copy of information regarding the company's licence or other information held by the relevant Commonwealth, State or Territory regulatory body e.g. AFSL, RSL, ACL etc.

If the company is listed on an Australian securities exchange, provide details of the exchange and the ticker (issuer) code

If the company is a majority owned subsidiary of a company listed on an Australian securities exchange, provide details of the exchange and the ticker (issuer) code for the holding company

All of above must clearly show the company's full name, its type (i.e. public or proprietary) and ACN issued to the company.

GROUP E – Other Australian Companies (unregulated)

Provide Group A verification documents for each beneficial owner (including any shareholder who directly or indirectly owns or controls 25% or more of the issued capital, or who exerts control over the company).

GROUP F – Non-Australian Companies

Provide Group A verification documents for each beneficial owner (including any shareholder who directly or indirectly owns or controls 25% or more of the issued capital, or who exerts control over the company), **and** in relation to the foreign company, one of the following:

A certified copy of the company's Certificate of Registration or incorporation issued by ASIC or the equivalent issued by the foreign jurisdiction's in which the company was incorporated, established or formed.

A certified copy of the company's articles of association or constitution.

A copy of a company search on the ASIC database or relevant foreign registration body. The company search from a foreign regulator must include the name of the regulator, the name of the company and the foreign registration number.

All of above must clearly show the company's full name, its type (i.e. public or private) and the ARBN issued by ASIC, or the identification number issued to the company by the foreign regulator.

1. Contact Details

Full given name(s)

Surname

Company name / Trustee Name (if applicable)

Telephone (mobile preferred)

Email (required, will be used for all correspondence)

Postal Address

Street

Suburb

State

Postcode

Country

New Zealand investors, please ensure you include the relevant area/city codes.

Online Portal Access – If an investor has provided both mobile number and email address, online access details to view holdings will be sent via text message and emailed upon approval of the application.

PART B: INVESTOR IDENTIFICATION

SECTION 1 - INVESTOR TYPE : INDIVIDUAL OR JOINT INDIVIDUALS

INVESTOR 1

Investor's name must match investor's ID exactly.

Full given name(s)

Surname

Date of birth (dd/mm/yyyy)

Contact number

Email

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Tax file number (TFN)

Country of birth

Occupation

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full business name

ABN (if any)

Principal Place of Business (if any) (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

INVESTOR 2

Investor's name must match investor's ID exactly.

Full given name(s)

Surname

Date of Birth (dd/mm/yyyy)

Contact number

Email

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Tax file number (TFN)

Country of birth

Occupation

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full business name

ABN (if any)

Principal Place of Business (if any) (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

If there are more than 2 joint individual investors, provide details on a separate sheet of paper and attach it to your application form.

SECTION 2 - INVESTOR TYPE : AUSTRALIAN & FOREIGN COMPANY

Please note, if you are an Australian Company acting as trustee of a fund, please also complete Section 3.

2.1 General Information

Full name as registered by ASIC or foreign registration body

Registration number

(select ✓ the following categories which apply to the company and provide the information requested)

ACN

ARBN

Foreign body registration number

Please also provide name of the foreign registration body below:

Country of formation / incorporation / registration

Tax file number (TFN)

Business activity

Registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Principal place of business (if any) (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

2.2 Regulatory and listing details (select ✓ the following categories which apply to the company and provide the information requested)

Regulated company (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees)

Regulator name

Licence Details (e.g. AFSL, ACL, RSE)

Australian listed company or Foreign listed company as defined in the IFSA/FPA Guidelines

Name of market / exchange

Majority-owned subsidiary of an Australian listed company

Australian listed company name

Name of market or exchange

Foreign company

Country of formation / incorporation / registration

2.3 Company Type (select ✓ only ONE of the following categories)

Australian Listed Public Company

Section 2 now completed

Australian Proprietary/Private Company or Non- Listed Public Company

Go to Section 2.4 and 2.5 below.

Foreign Company

Go to Section 2.4 and 2.5 below

2.4 Directors (only needs to be completed for proprietary/private, non-listed public company and foreign companies)

How many directors are there?

provide full name of each director

Full given name(s)

Surname

1

2

3

4

If there are more directors, provide details on a separate sheet of paper and attach it to your application form.

2.5 Beneficial Ownership Details (only needs to be completed for proprietary/private, non-listed public company and foreign companies that are not regulated companies as selected in Section 2.2)

Provide details of ALL individuals who owns directly, jointly or beneficially at least 25% of the company's issued share capital (through direct or indirect shareholdings).

Shareholder/Beneficial Owner 1

Full given name(s) **Surname** **Date of Birth** (dd/mm/yyyy)

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Shareholder/Beneficial Owner 2

Full given name(s) **Surname** **Date of Birth** (dd/mm/yyyy)

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

If there are more shareholder/beneficial owners, provide details on a separate sheet of paper and attach it to your application form.

SECTION 3 - INVESTOR TYPE : ALL TRUSTS (INCLUDING SUPERANNUATION FUNDS)

3.1 General Information

Full name of trust

Country where trust established

Tax file number (TFN)

ABN

3.2 Trustee Details

How many trustees are there?

Type of Trustee (please select):

Corporate Trustee:

Full name of Company (please then also complete section 2)

Individual Trustee(s):

Please fill out details of individual trustee(s) below (please then also complete section 1)

If there are more trustees, provide details on a separate sheet of paper and attach it to your application form.

3.3 Type of Trust (select ✓ only one of the following trust types and provide the information requested)

Registered managed investment scheme

Provide Australian Registered Scheme Number (ARSN)

Regulated trust (e.g. a Self-Managed Superfund)

Provide name of the regulator (e.g. ASIC, APRA, ATO)

Provide the trust's ABN or registration / licensing details

Government superannuation fund

Provide name of the legislation establishing the fund

Other trust type

Trust description (e.g. unregistered, fixed, family, unit)

Full name of settlor(s)¹

¹ Provide name of settlor of the trust where the initial asset contribution to the trust was greater than \$10,000 (unless settlor is now deceased). Group A verification will also be required.

3.4 Beneficiary Details (only complete if "Other trust type" is selected in section 3.3 above)

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (SMSF) or government superannuation fund.

Does the Trust Deed name beneficiaries?

Yes, how many? provide full name of each beneficiary below:

	Full given name(s)	Surname
1		
2		
3		

If there are more beneficiaries, provide details on a separate sheet of paper and attached it to your application form.

No, describe the class of beneficiary (e.g. unitholders, family members of named person, charitable purpose)

Provide details of the membership class(-es)

3.5 Beneficial Ownership Details (only complete if "Other trust type" is selected in section 3.3 above)

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (SMSF) or government superannuation fund.

Please provide the names and details of any beneficial owner of the trust. A beneficial owner of a trust is any individual who has a 25% or more interest in the trust or who directly or indirectly controls* the trust.

* includes control by acting as trustee; or by means of trusts, agreements, arrangements, understandings and practices; or exercising control through the capacity to direct the trustees; or the ability to appoint or remove the trustees.

Beneficial Owner 1

Full given name(s)

Surname

Date of Birth (dd/mm/yyyy)

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Role (such as trustee or appointor)

Beneficial Owner 2

Full given name(s)

Surname

Date of Birth (dd/mm/yyyy)

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Role (such as trustee or appointor)

If there are more beneficial owners, provide details on a separate sheet of paper and attach it to your application form.

Please note: You are not obliged to provide your TFN but if you do not provide your TFN (or an ABN) and unless you claim a TFN exemption, the Responsible Entity will be required to deduct tax at the highest marginal tax rate (plus Medicare levy). By inserting the TFN (or ABN) and signing this Application Form, you declare that this investment is made in the course or furtherance of your enterprise. Collection of TFN information is authorised and its use and disclosure are strictly regulated by the tax laws and the Privacy Act 1988 (Cth).

SECTION 4**I. AUTHORISED REPRESENTATIVE (IF APPLICABLE)**

Complete this section if you wish to appoint a person to act in a legal capacity as your authorised representative and to operate your investment in the Fund on your behalf. In general, an authorised representative can do everything you can do with your investment, except appoint another authorised representative.

We may act on the sole instructions of the authorised representative until you advise us in writing that the appointment of your authorised representative has terminated. We may also terminate or vary an appointment of an authorised representative by giving you 14 days prior notice.

Please attach a certified copy of your Power of Attorney ID.

Given name

Surname

Signature of authorised representative

Date

II. INVESTMENT DETAILS

Amount:

AUD \$

Please note the minimum initial investment amount is \$20,000 and the minimum additional investment amount is \$5,000.

Source of funds being invested:

retirement income employment income/savings business activities sale of assets
inheritance/gift financial investments Other

III. INVESTMENT OPTIONS [PLEASE CHOOSE ONE]

AORIS INTERNATIONAL FUND

Class A: Flat fee option of 1.5% inc. gst

Class B: Performance fee option of 1.1% + 15% performance fee

AORIS INTERNATIONAL FUND (CURRENCY HEDGED)

Class C: Flat fee option of 1.55% inc. gst

Class D: Performance fee option of 1.15% + 15% performance fee

IV. PAYMENT DETAILS

Electronic Funds Transfer (EFT) to:

Bank: NAB
BSB: 082 401
Account Number: 308 454 586
Account Name: AORIS INTERNATIONAL FUND APP AC
Please include your Investor Name in the reference field of your EFT

Cheque made payment to:

Aoris Investment Management Pty Ltd

V. DISTRIBUTIONS

Distributions

Please confirm how you would like to receive any distributions – either paid into an Australian bank account or automatically reinvested as additional units in the Fund.

Reinvestment **Payment into bank account** (Australian Investors only)

If no election is made, any distributions will be reinvested.

VI. BANK ACCOUNT

IMPORTANT INFORMATION:

Distributions and withdrawal proceeds can only be paid to an Australian bank account in the name of the investor and cannot be paid by cheque or to third party accounts. By completing this section you confirm that any distributions and withdrawal proceeds sent by Electronic Funds Transfer (EFT) to a designated bank account are sent at your risk insofar as the onus to provide bank account details rests solely on you.

If this section is not completed it may cause a delay in processing of your withdrawal proceeds. Additional security checks to verify bank account changes will be performed at the time of payment of your withdrawal proceeds.

*Note: New Zealand Investors can redeem to New Zealand bank accounts.

Please pay distributions and withdrawal proceeds to the following bank account:

Name of Financial Institution

Branch Name

BSB

Account Number

Account Name

VII. FINANCIAL ADVISER (IF APPLICABLE)

By completing this section you nominate the named adviser as your financial adviser for the purposes of your investment in the Fund. You also consent to give your financial adviser access to your account information. Please attach a certified copy of your Financial Advisor ID.

Adviser Name:

Dealer Group:

Advisory Firm:

AFSL number or AFSL Rep number:

Contact phone:

Contact email:

Address

Street

Suburb

State

Postcode

Country

Advisor signature

Date

SECTION 5 - FATCA & CRS – Self-certification Declaration

This certification must be completed **by all investors** to declare their FATCA & CRS status. Please refer to section 5 (IV) for explanations of terms before completing this form. Neither the Trustee of the Fund or Mainstream is able to provide you with tax or professional advice in respect of FATCA & CRS and we strongly encourage you to seek the advice of an experienced tax professional in relation to completing this form.

What are FATCA & CRS?

The U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) are two ways in which a large number of governments are seeking the same thing – to improve global tax compliance. Both require financial institutions to capture relevant information on foreign tax payers, as follows:

- FATCA promotes cross border tax compliance by U.S. taxpayers, by implementing an international standard for the automatic exchange of information related to those taxpayers. Australia has entered into an inter-governmental agreement (IGA) with the U.S. to implement FATCA in Australia, to be administered through the ATO. The AUS-USA FATCA IGA requires the ATO to obtain detailed account information for U.S. citizens and/or taxpayers on an annual basis. The effect of this is that, to satisfy their FATCA obligations, relevant Australian financial institutions must identify any U.S. taxpayers and report those taxpayers' financial account data to the ATO.
- CRS is a global reporting standard, developed by the OECD, for the automatic exchange of information (AEOI). Its goal is to allow tax authorities to obtain a clearer understanding of financial assets held abroad by their residents, for tax purposes. Over 88 countries (**refer to OECD link in explanations section for participating jurisdictions**) have agreed to share information on residents' assets and incomes in accordance with defined reporting standards. Once again, this means that financial institutions around the globe must provide tax authorities with taxpayer financial account data, and the financial institutions must therefore collect this information from their customers and pass it on.

I. Individual & Joint Investors

Please provide details for each individual. If there are more than 2 individuals please provide their details on a separate page.

FATCA

1. Are you a U.S. citizen or U.S. resident for tax purposes?

Yes ► Provide your Name & U.S. Taxpayer Identification Number (TIN) below and continue to question 2:

Individual 1

Full Name

Individual 2

Full Name

TIN

TIN

No ► Continue to question 2

CRS

2. Are you a tax resident of any other country outside of Australia?

Yes ► Provide details below and skip to section 6. If resident in more than one jurisdiction please include details for all jurisdictions below (if more than 2 jurisdictions please provide them on a separate piece of paper)

Individual 1

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.			
2.			

Individual 2

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.			
2.			

If TIN or equivalent is not provided, please provide reason from the following options:

- Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents
- Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason)
- Reason C:** No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

If **Reason B** has been selected above, explain why you are unable to obtain a TIN:

No ► Skip to section 6

II. Superannuation Funds

Full legal name of the Superannuation Fund

3. Are you an Australian Retirement Fund? (refer to FATCA definitions in section IV)

Yes ► Skip to section 6 on Page 15

No ► Continue to section III

III. Entities (Company, Trust, Partnership, Association etc.)

Full legal name of the Entity

FATCA

4. Select only ONE of the following three FATCA categories that best describes the entity and provide the information requested.

U.S. person as defined under FATCA and U.S. Internal Revenue Code.

This includes but is not limited to company, trust or partnership that is established under the laws of a U.S. and is considered a U.S. resident for tax purposes.

(a) U.S. federal tax classification ▶ Please confirm entity's U.S. federal tax classification below

Single-member LLC	C Corporation	S Corporation	Partnership	Trust/estate
Limited liability company - C corporation	Limited liability company - S corporation			
Limited liability company - Partnership	Other ▶ Please provide detail: _____			

(b) Are you exempt from FATCA reporting?

Yes ▶ Please provide your FATCA exemption code

FATCA exemption code

No ▶ Please provide your U.S. Taxpayer Identification Number (TIN)

U.S. Tin

Financial institution (FFI) ▶ Select one of the options from (a) to (e) to confirm which type of FFI are you

(a) Reporting IGA FFI or Participating FFI

GIIN

▶ Provide entity's GIIN and continue to question 5

(b) Sponsored FFI or Trustee Documented Trust

▶ Please complete details of the Sponsoring entity or Trustee below and continue to question 5

Name of Sponsoring entity or Trustee

GIIN of Sponsoring entity or Trustee

(c) FFI that does not need to register (e.g. Non-Reporting IGA FFI) ▶ Please complete details below and continue to question 5

FATCA status

GIIN (if applicable)

(d) Non-participating FFI ▶ Note that information about you will be reported to ATO and IRS. Continue to question 5

(e) Exempt Beneficial Owner ▶ Continue to question 5

Non-Financial Foreign Entity (NFFE) ▶ Select one of the options from (a) to (c) to confirm which type of NFFE are you

(a) Active NFFE ▶ Continue to question 5

(b) Passive NFFE with no controlling U.S. persons ▶ Continue to question 5

(c) Passive NFFE with controlling persons (refer to FATCA definitions in section 8) who are U.S. citizens or U.S. residents for tax purposes ▶ Provide details of each of the controlling U.S. persons below (if there are more than 2 controlling U.S. persons please provide their details on a separate page and attach to this form) and continue to question 5:

U.S. Person 1

Controlling Person Beneficiary Trustee Owner
 Director Other - please specify _____

Full Name

Residential address (PO box is not acceptable)

U.S. Taxpayer Identification Number (TIN) Full Name

U.S. Person 2

Controlling Person Beneficiary Trustee Owner
 Director Other - please specify _____

Full Name

Residential address (PO box is not acceptable)

U.S. Taxpayer Identification Number (TIN) Full Name

CRS

5. Are you a tax resident of any other country outside of Australia?

Yes ► Provide details below and continue to question 6. If resident in more than one jurisdiction please include details for all jurisdictions below (if more than 2 jurisdictions please provide them on a separate piece of paper)

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.			
2.			

If TIN or equivalent is not provided, please provide reason from the following options:

- o **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents
- o **Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason)
- o **Reason C:** No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

If **Reason B** has been selected above, explain why you are unable to obtain a TIN:

No ► Continue to question 6

6. Are you a Financial Institution for the purposes of CRS?

Yes ► Continue to question 7

No ► Skip to question 8

7. Are you an Investment Entity (Financial Institution) located in a Non-Participating Jurisdiction for CRS purposes and managed by another Financial Institution?

Yes ► Continue to question 9

No ► Skip to section 6

8. Are you an Active Non-Financial Entity (Active NFE)?

Yes ► Specify the type of Active NFE below and then skip to section 6

- Less than 50% of the Active NFE's gross income from the preceding calendar year is passive income and less than 50% of its assets during the preceding calendar year are assets held for the production of passive income
- Corporation that is regularly traded or a related entity of a regularly traded corporation
- Governmental Entity, International Organisation or Central Bank

No ► You are a Passive Non-Financial Entity (Passive NFE). Continue to question 9

9. Controlling Persons - Does one or more of the following apply to you:

- Is any natural person that exercises control over you (for corporations, this would include directors or beneficial owners who ultimately own 25% or more of the share capital) a tax resident of any country outside of Australia?
- If you are a trust, is any natural person including trustee, protector, beneficiary, settlor or any other natural person exercising ultimate effective control over the trust a tax resident of any country outside of Australia?

Yes ► Complete details below for these persons and continue to section 6

	Name	Date of Birth	Residential Address	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.						
2.						

If there are more than 2 controlling persons, please list them on a separate piece of paper

If TIN or equivalent is not provided, please provide reason from the following options:

- o **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents
- o **Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason)
- o **Reason C:** No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

If **Reason B** has been selected above, explain why you are unable to obtain a TIN:

No ► Continue to section 6

IV. Explanations

COMMON TERMS

Financial institution (also referred to as Foreign financial institution or "FFI" under FATCA) - an entity created or organised outside of the U.S. and includes:

- a) **Depository institution** - entity that accepts deposits in the ordinary course of banking or similar business (banks, credit unions), or
- b) **Custodial institution** - entity that holds financial assets for the account of others as a substantial portion of its business (brokers, custodians), or
- c) **Investments entity** - means any entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:
 - trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange; interest rate and index instruments; transferable securities; or commodity futures trading;
 - individual and collective portfolio management; or
 - otherwise investing, administering, or managing funds or money on behalf of other persons.

Non-Financial Foreign Entity ("NFFE") - any non-U.S. entity that is not a financial institution. NFFE can be either Active NFFE or Passive NFFE (refer below for more details).

U.S. citizen or U.S. resident for tax purposes - includes:

- anyone born in the U.S. (who hasn't renounced their citizenship)
- anyone living in the U.S.
- a green card holder
- U.S. passport holder
- U.S. companies, trusts or partnerships

Controlling Persons - means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

GIIN - Global Intermediary Identification Number is an IRS registration number for financial institutions.

TIN - is U.S. Taxpayer Identification Number and may include Social Security Number (SSN) or Employer Identification Number (EIN).

IGA - Agreement between the Government of Australia and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA.

Australian Retirement Fund

1. Any plan, scheme, fund, trust, or other arrangement operated principally to administer or provide pension, retirement, superannuation, or death benefits that is a superannuation entity or public sector superannuation scheme (including an exempt public sector superannuation scheme) as defined in the Superannuation Industry (Supervision) Act 1993, or a constitutionally protected fund as defined in the Income Tax Assessment Act 1997.
2. A pooled superannuation trust as defined in the Income Tax Assessment Act 1997.
3. Any Entity that is wholly owned by, and conducts investment activities, accepts deposits from, or holds financial assets exclusively for or on behalf of, one or more plans, schemes, funds, trusts, or other arrangements referred to in subparagraphs (1) or (2) of this paragraph.

FATCA STATUS

FATCA status refers to entity classification under FATCA and may include:

1. **Active NFFE** - any NFFE that meets following criteria:
 - NFFE where less than 50% of income is passive income (i.e. dividends, interest, annuities etc.) and less than 50% of its assets produce passive income; or
 - Entity's stock is regularly traded on established securities market (e.g. entity listed on ASX) or affiliated group of such entity; or
 - Entity organised in U.S. Territory and owned by its residents; or
 - Foreign government; or
 - International organisation; or
 - Foreign Central Bank of Issue; or
 - Any other specifically identified class of entities, including those posing a low risk of tax evasion, as determined by the IRS (e.g. start-up entities, entities in liquidation, not-for profit entities etc.)
2. **Passive NFFE with controlling U.S. persons** - any NFFE that is not an Active NFFE or is not a withholding foreign partnership or trust and has controlling U.S. persons.
3. **Passive NFFE with no controlling U.S. persons** - any NFFE that is not an Active NFFE or is not a withholding foreign partnership or trust and where none of the entity's controlling persons are U.S. persons.
4. **Participating FFI** - an FFI that enters into an agreement with the IRS to undertake certain due diligence, withholding and reporting requirements for U.S. account holders in accordance with FATCA and is generally able to provide GIIN.
5. **Exempt Beneficial Owner** - this is non-reporting entity under FATCA and may include:
 - the Australian Government, State and local governments and local authorities and their wholly owned agencies or instrumentalities, including certain named entities;
 - International, intergovernmental and supranational organisations;
 - Reserve Bank of Australia and its subsidiaries;
 - Complying Australian superannuation funds (including self-managed super funds);
 - Investment entity wholly owned by exempt beneficial owners;
6. **Non-Reporting IGA FFI** - this is non-reporting entity (certified or registered deemed-compliant FFI) under FATCA and may include:
 - Financial institution with Australian client base (must satisfy all condition listed in paragraph III. A of Annex II of the IGA, including at least 98% of the U.S. dollar value of all account balances must be held by Australian residents);
 - Small local banks that meet criteria listed in the IGA;
 - Financial Institution that is not an Investment Entity with only Low-Value Accounts (i.e. with value of U.S.\$ 50,000 or less) and with total assets of no more than U.S.\$50 million;
 - Qualified credit card issuer (with customer deposits of U.S.\$50,000 or less);
 - Trustee-Documented Trust - A trust established under the laws of Australia to the extent that the trustee of the trust is a Reporting U.S. Financial Institution, Reporting Model 1 FFI, or Participating FFI and reports all information required to be reported pursuant to the Agreement with respect to all U.S. Reportable Accounts of the trust;
 - Sponsored investment entity - an investment entity established in Australia that has a Sponsoring entity;
 - Certain Investment Manager and Investment Advisors;
 - Certain Collective Investment Vehicles that meet criteria listed in the IGA.
7. **Non-Participating FFI** - an entity that does not comply with FATCA and generally will not fall into any of the below categories:
 - Participating FFI; or
 - Reporting FFI; or
 - Exempt Beneficial Owner

Further information about FATCA & CRS can found at:

<http://www.irs.gov/fatca>

<https://treasury.gov.au/tax-treaties/intergovernmental-agreement/>

http://www.aph.gov.au/About_Parliament/Parliamentary_Departments/Parliamentary_Library/pubs/rp/rp1314/QG/FATCA

<http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/>

<http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/MCAA-Signatories.pdf>

SECTION 6 - DECLARATION AND SIGNATURE

I/we declare and agree each of the following:

- I/we have read the current PDS to which this application applies and have received and accepted the offer in it.
- My/our application is true and correct.
- I am/we are bound by any terms and conditions contained in the current PDS and the provisions of the constitution of the Fund as amended from time to time.
- I/we have legal power to invest.
- If this is a joint application, each of us agrees that our investment is as joint tenants. Each of us is able to operate the account and bind the other to any transaction including investments or withdrawals by any available method.
- If investing as trustee on behalf of a super fund or trust, I/we confirm that I am/we are acting in accordance with my/our designated powers and authority under the relevant trust deed. In the case of a super fund, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993.
- I/we acknowledge that none of The Trust Company (RE Services) Limited ABN 45 003 278 831 or any of their related entities, officers or employees or any related company or any of the appointed service providers including the investment manager and custodian guarantee the repayment of capital or the performance of the Fund or of any particular rate of return by the Fund.
- I/we agree to the anti-money laundering and counter-terrorism financing statements contained in the PDS. I/we agree to provide further information or personal details to The Trust Company (RE Services) Limited and the custodian if required to meet their obligations under any anti-money laundering and counter-terrorism law and regulations, and acknowledge that processing of my/our application may be delayed and will be processed at the unit price applicable for the business day on which all required information has been received and verified.
- I/we have read and understood the privacy disclosure as detailed in the PDS. I/we consent to my/our personal information being collected, held, used and disclosed in accordance with the privacy disclosure. I/we consent to The Trust Company (RE Services) Limited disclosing this information to my/our financial adviser (named in this form) for units in the Fund. Where the financial adviser no longer acts on my/our behalf, I/we will notify The Trust Company (RE Services) Limited of the change.
- If I/we have appointed an authorised representative, I/we release, discharge and indemnify The Trust Company (RE Services) Limited from any loss, expense, action or other liability which may be suffered by, brought against me/us or The Trust Company (RE Services) Limited for any action or omissions by the authorised representative whether authorised by me/us or not.
- I acknowledge that the Responsible Entity reserves the right to reject any application.
- I/we certify that the information provided in the separate ID forms, including information relating to tax-related requirements, is reasonable based on verifiable documentation.
- If I am/we are a New Zealand investor, I/we have received the information for New Zealand investors' contained in the PDS/Reference Guide for The Fund

I/we acknowledge and agree that:

- The Trust Company (RE Services) Limited may be required to pass on my/our personal information or information about my/our investment to the relevant regulatory authorities, including for compliance with anti-Money laundering and counter-terrorism law and regulations as well as any tax-related requirements for tax residents of other countries.

Account operating instructions (if no selection is made, all individuals to sign will be assumed)

Any individual to sign Any two individuals to sign All individuals to sign

Other (please specify- e.g. per attached Power of Attorney): _____

Joint applicants must both sign. For Individual Trustee Trust/Superannuation Funds each individual Trustee must sign. For Corporate Trustee Trust/Superannuation Funds 2 Directors, a Director and Secretary or Sole Director must sign.

	Signature	Name	Date
1	<input type="text"/>		
	Capacity:	Director Trustee Company Secretary	Power of Attorney
2	<input type="text"/>		
	Capacity:	Director Trustee Company Secretary	Power of Attorney
3	<input type="text"/>		
	Capacity:	Director Trustee Company Secretary	Power of Attorney
4	<input type="text"/>		
	Capacity:	Director Trustee Company Secretary	Power of Attorney

CERTIFIED COPY OF AN ORIGINAL DOCUMENT

Certified copy means a document that has been certified as a true copy of an original document.

Certified extract means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described in the sub-paragraphs below.

People who can certify documents or extracts are:

- a **lawyer** - a person who is enrolled on the roll of the Supreme Court of a State or Territory, or 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 **Justice of Peace**;
- a **notary public** (for the purposes of the Statutory Declaration Regulations 1993);
- a **police officer**;
- a **postal agent** - an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- the **post office** - an **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 **Australian consular officer** or an **Australian diplomatic officer** (within the meaning of the Consular Fees Act 1955);
- 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 financial companies (for the purposes of the Statutory Declaration Regulations 1993);
- 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; and
- an **accountant** - 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.
- person authorised as a notary public in a foreign country

The eligible certifier must include the following information:

- Their full name
- Address
- Telephone number
- The date of certifying
- Capacity in which they are eligible to certify, and
- An official stamp/seal if applicable

The certified copy must include the statement, "**I certify this is a true copy of the original document**".

For photographic documents, the certified copy must include the statement, "**I certify this is a true copy of the original document and the photograph is a true likeness**".

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

New Zealand Investors - Where the above persons are specified as an Australian person or a member of an Australian association or group, a person of equivalence in New Zealand (e.g. a person officially enrolled as a solicitor in New Zealand or a chartered accountant in New Zealand) can certify identification documents.

COMPLETED FORM

Email or Post To:

Mainstream Fund Services – Unit Registry

Email: registry@mainstreamgroup.com

GPO Box 4968 Sydney NSW 2001

Further assistance or information:

If you require assistance with completing the Application Form, please call our fund administrator, Mainstream Fund Services on: 1300 127 780 or +61 2 8259 8566 (international)

Email: registry@mainstreamgroup.com

Web: www.mainstreambpo.com.au

INVESTMENT MANAGER

Aoris Investment Management Pty Ltd (Aoris)

Level 2, Lawson Place,
167 Phillip Street, Sydney NSW 2000

Tel: +61 2 8098 1503
Email: info@auris.com.au
Web: www.auris.com.au

RESPONSIBLE ENTITY

The Trust Company (RE Services) Limited,

part of the Perpetual group
Level 18, 123 Pitt Street
Sydney NSW 2000

Tel: +61 2 9229 9000
Web: www.perpetual.com.au

CUSTODIAN AND ADMINISTRATOR

Mainstream Fund Services Pty Ltd

GPO Box 4968
Sydney NSW 2001

Tel: +61 2 8259 8888
Email: registry@mainstreamgroup.com
Web: www.mainstreambpo.com.au