

SECTION 1: AUSTRALIAN COMPANY IDENTIFICATION PROCEDURE (MANDATORY)

1.1 GENERAL INFORMATION

Investor number (if known)

Full name as registered with ASIC

Full Business, trading or other name(s) other than the name registered with ASIC (if any, including Parent company name) (if you have more than one, please attach a separate list)

ACN

ABN (if any)

Registered office address (cannot be a PO Box)

	<i>State</i>	<i>Postcode</i>
--	--------------	-----------------

Country, if not Australia

Principal place of business (cannot be a PO Box)

	<i>State</i>	<i>Postcode</i>
--	--------------	-----------------

Country, if not Australia

Industry Class

Industry Type

State/Territory, country (if not Australia) of registration

Date of Registration (DD/MM/YYYY)

1.2 COMPANY TYPE (select only one of the following)

- Proprietary, proceed to 1.3.
- Public, proceed to 1.4.

1.3 DIRECTORS (not required for Public companies)

Provide the names of ALL company directors.

	Title	Full given name(s)	Surname
1.			
2.			
3.			
4.			

- Tick here if there are more than 4 directors, and provide details on a separate sheet

1.4 LISTING AND REGULATORY DETAILS (Select any of the following applicable categories)

- Australian Public Listed company (companies that are listed on an Australian stock exchange)

Name of stock exchange

- Majority Owned Subsidiary of an Australian Public Listed company (companies that are majority owned by an Australian company that is listed on an Australian stock exchange)

Australian listed company name

Name of stock exchange

- Regulated company (subject to the supervision of Commonwealth, State or Territory regulator other than as ASIC registered company. Examples include Australian Financial Services Licensee (AFSL); Australian Credit Licensee (ACL); or Registrable Superannuation Entity (RSE) Licensee)

Regulator

Licence details (e.g. AFSL, ACL and RSE)



SECTION 2: TAX INFORMATION (MANDATORY)

Is the Company a resident of a country other than Australia for tax purposes?

Yes. Date the company became a non-resident for tax purposes (complete section 2)

____ / ____ / ____

No (proceed to section 3)

Provide the country/countries outside of Australia in which the company is a resident for tax purposes and country's associated Tax Identification Number (TIN)*

* A TIN is an identifying number or equivalent used for tax purposes.

'TIN not issued' is only applicable to specific countries.

For more details go to <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Note: If there are more than 3 countries in which the company is a tax resident, please provide the details on a separate paper.

Country 1 (Primary country of residence for tax purposes)

Foreign TIN 1

Reason (if TIN not applicable)

TIN not issued

Country 2

Foreign TIN 2

Reason (if TIN not applicable)

TIN not issued

Country 3

Foreign TIN 3

Reason (if TIN not applicable)

TIN not issued

SECTION 3: BENEFICIAL OWNERS IDENTIFICATION AND VERIFICATION (NOT APPLICABLE FOR COMPANY TYPES LISTED IN SECTION 1.4 OF THIS FORM)

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

Yes (complete 3.1)

No (complete 3.2)

3.1 SHAREHOLDER BENEFICIAL OWNERS

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

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

Full given name(s)	Surname
1.	
2.	
3.	
4.	

Tick here if there are more than 4 Shareholder Beneficial Owners, and provide details on a separate sheet

3.2 OTHER BENEFICIAL OWNERS

If there are no individuals who meet the requirements of 3.1, provide the names of the individuals who directly or indirectly control* the company.

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

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

Full given name(s)

Surname

Role

Full given name(s)

Surname

Role

Tick here if there are more than 2 Other Beneficial Owners and provide details on a separate sheet



SECTION 4: ADDITIONAL INFORMATION (MANDATORY)

4.1 SOURCE OF FUNDS

This refers to where the company's funds came from in regard to deposits into the account. Please note the company may have multiple sources of funds. Please indicate all sources of funds below.

- | | |
|--|---|
| <input type="checkbox"/> Commission | <input type="checkbox"/> Bonus |
| <input type="checkbox"/> Business income/earnings | <input type="checkbox"/> Loan |
| <input type="checkbox"/> Investment income/earnings | <input type="checkbox"/> Insurance payment |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Sale of assets |
| <input type="checkbox"/> Gift/donation | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Tax refund | |
| <input type="checkbox"/> Additional Sources (Please specify) | |

4.2 SOURCE OF WEALTH

This refers to where or how the company has built its net worth. Please note that the company may have multiple sources of wealth. Please indicate all sources of wealth below.

- | | |
|--|---|
| <input type="checkbox"/> Business income/earnings | <input type="checkbox"/> Sale of assets |
| <input type="checkbox"/> Investment income/earnings | <input type="checkbox"/> Insurance payment |
| <input type="checkbox"/> Rental income | <input type="checkbox"/> Compensation payment |
| <input type="checkbox"/> Owns real estate/property | |
| <input type="checkbox"/> Additional Sources (Please specify) | |

4.3 PRIVACY STATEMENT

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at www.asgard.com.au/privacy or by calling us. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your request.

SECTION 5: AUSTRALIAN COMPANY VERIFICATION PROCEDURE (MANDATORY)

Complete this form and provide the information listed in the verification procedures outlined below.

The verification procedures apply to Australian public listed companies, majority owned subsidiaries of an Australian listed public company and regulated Australian public/proprietary companies as described in section 1.4 of this form. Additionally the below also applies to any Australian public/proprietary company other than those listed in section 1.4.

Important

- Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per section 3
- Attach a legible certified copy of the ID documentation used to verify the company.
- Documents that are written in a language that is not English must be accompanied by an English translation prepared by National Accreditation Authority for Translators and Interpreters (NAATI) translator.

Tick	Company type	Verification Required
<input type="checkbox"/>	Australian public listed company	A or D
<input type="checkbox"/>	Majority owned subsidiary of a Australian listed public company	either B or D; and E
<input type="checkbox"/>	Regulated Australian public/proprietary company	C
<input type="checkbox"/>	Australian public/proprietary company other than the above	B or D or F

Tick		Verification options
<input type="checkbox"/>	A	Perform a search of the relevant market exchange.
<input type="checkbox"/>	B	Perform a search of the relevant ASIC database.
<input type="checkbox"/>	C	Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	D	A public document issued by the relevant company within the last 12 months (e.g. audited annual accounts).
<input type="checkbox"/>	E	The parent company's listing status must be verified from a search of the relevant Australian stock exchange.
<input type="checkbox"/>	F	If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC



SECTION 6: APPLICANT DECLARATION (MANDATORY)

I declare that to the best of my knowledge the information I have provided above is true and correct as at the date of this document. I understand that it is an offence to knowingly give false or misleading information or knowingly produce a false or misleading document under the *Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF) Act 2006*, and the *Tax Laws Amendment (Implementation of the Common Reporting Standards) Act 2016*.

Signature of Director 1

Full Name

Date (DD/MM/YYYY)

Signature of Director 2

Full Name

Date (DD/MM/YYYY)

Signature of Director 3

Full Name

Date (DD/MM/YYYY)

Signature of Director 4

Full Name

Date (DD/MM/YYYY)

SECTION 7: VERIFICATION OF ID (ADVISERS ONLY)

This section is mandatory in validating the information provided in this form matches the Certified ID.

The Verification of ID section must be completed by the Applicants Financial Adviser or representative from their office.

Tick the applicable option:

- I have attached a legible original certified copy of the ID that I used to verify the company (and any required translation).
- I have sighted and retained copies of the necessary original or certified copy of ID as recorded in the 'ID Documents Details' table(s) below.

ID Document details**Document 1**

Verified From	<input type="checkbox"/> Performed search	<input type="checkbox"/> Original
	<input type="checkbox"/> Certified copy	
Document Issuer/ website		
Public Document Type		
Issue date/ Search date	/ /	

ID Document details**Document 2 (if required)**

Verified From	<input type="checkbox"/> Performed search	<input type="checkbox"/> Original
	<input type="checkbox"/> Certified copy	
Document Issuer/ website		
Public Document Type		
Issue date/ Search date	/ /	

By completing and signing this Verification of ID I declare that:

- An identity verification procedure has been completed in accordance with the AML/CTF Act/Rules, in the capacity of an AFSL holder or their authorised representative and
- The Tax information provided is reasonable considering the documentation provided.

AFSL Name (if applicable)

AFSL Number (if applicable)

Representative/Employee Name and Staff ID

Phone number

Signature

Date Verification Completed (DD/MM/YYYY)



APPENDIX A:

A. WHAT IS A CERTIFIED COPY OF A DOCUMENT?

A certified copy is a document that has been certified by an authorised person as a true copy of an original document.

To have your document certified, take the original document and a photocopy of it to one of the persons listed in the categories below.

The certifier will then write or stamp the copy with the words: "I, [full name of authorised certifier], as [select appropriate person from authorised list below], certify that this [name of document] is a true copy of the original [signature and date]".

That person will need to print their name, date and qualification/occupation which makes them an eligible certifier on the photocopy.

If there are multiple pages to the copy, the certifier will need to fully certify each page.

Note: Only original certified ID documents must be supplied. Photocopies of certified documents will not be accepted.

B. LIST OF ELIGIBLE PERSONS WHO CAN CERTIFY YOUR IDENTITY DOCUMENTS

A document can be certified by the following authorised persons:

Legal

- A solicitor or barrister (that is, 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 court¹
- A magistrate
- A chief executive officer of a Commonwealth court¹
- A registrar or deputy registrar of a court¹

Foreign jurisdiction

- A person who is authorised by law in the relevant jurisdiction to administer oaths or affirmations or to authenticate documents¹

Healthcare

- A Dentist
- A Medical practitioner
- A Nurse
- A Pharmacist

JP

- A Justice of the Peace¹

Law enforcement officer

- A police officer
- A Sherriff
- A Sherriff's officer

Post office

- 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 two or more years of continuous service who is employed in an office supplying postal services to the public

Accountant

- who is a fellow of the National Tax Accountants' Association; or
- who is a member of any of the following:
 - Chartered Accountants Australia and New Zealand;
 - the Association of Taxation and Management Accountants;
 - CPA Australia;
 - the Institute of Public Accountants

Diplomatic service

- Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the Consular Fees Act 1955)¹
- Employee of the Australian Trade and Investment Commission who is:
 - in a country or place outside of Australia; and
 - authorised under paragraph 3(d) of the Consular Fees Act 1955; and - exercising his or her function at that place

Financial institutions (eg bank, building society, credit union)

- An officer with two or more continuous years of service in Australia
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees
- An officer of an Australian bank, building society or finance company branch or office located in a foreign jurisdiction with 2 or more years of continuous service (includes or an employee of Westpac New Zealand Limited with 2 or more years of continuous service)

A complete list of people who can certify your identification documents please refer to our website https://www.bt.com.au/content/dam/public/panorama/pdf/BT_Panorama_-_How_to_certify_documents_flyer.PDF

¹Authorised to certify a copy of your document when overseas.

You can send the completed form to us via one of the following methods:

Your Financial Adviser: they may require a copy of this form for record keeping purposes or for processing on your behalf.

Post: Asgard, PO Box 7490, Cloisters Square WA 6850

Submit a copy via our secure Document Upload facility on Investor Online or AdviserNET (accessed from Forms > Document Upload menu).

Questions? Call us on 1800 998 185 or send us a message at www.asgard.com.au/contact

Asgard Capital Management Ltd ABN 92 009 279 592
AFSL 240695

