

# Additional investment application

## For Managed Funds investors

Please use **BLOCK LETTERS** and **black ink**.

This form should be completed if you have an existing investment account with Australian Ethical and wish to make an investment in a new fund under the same investment account. This form should be read in conjunction with the Product Disclosure Statement for the relevant Australian Ethical Managed Fund/s current at the date of signing this form and available on our website.

Australian Ethical Investment Ltd (ABN 47 003 188 930) is the responsible entity and holder of an Australian Financial Services Licence (No. 229949).

**Send your completed form to:**

[investors@australianethical.com.au](mailto:investors@australianethical.com.au)

or Australian Ethical Investment Ltd,  
Reply Paid 3993, Sydney, NSW, 2001

Account name

Investor number

### Step 1: How much would you like to invest?

#### Additional Investment

Australian Ethical Funds	Additional Investment amount
Emerging Companies Fund	\$ <input type="text"/>
International Shares Fund	\$ <input type="text"/>
Australian Shares Fund	\$ <input type="text"/>
Diversified Shares Fund	\$ <input type="text"/>
Advocacy Fund	\$ <input type="text"/>
Balanced Fund	\$ <input type="text"/>
Fixed Interest Fund	\$ <input type="text"/>
Income Fund	\$ <input type="text"/>
<b>Total</b>	\$ <input type="text"/>

#### Regular Investment Plan (Australian investors only)

Australian Ethical Funds	Monthly regular investment (\$100 minimum per fund)
Emerging Companies Fund	\$ <input type="text"/>
International Shares Fund	\$ <input type="text"/>
Australian Shares Fund	\$ <input type="text"/>
Diversified Shares Fund	\$ <input type="text"/>
Advocacy Fund	\$ <input type="text"/>
Balanced Fund	\$ <input type="text"/>
Fixed Interest Fund	\$ <input type="text"/>
Income Fund	\$ <input type="text"/>
<b>Total</b>	\$ <input type="text"/>

Leave the regular investment plan blank if you don't wish to start a monthly direct debit from your bank account to be added to your investment. Please note direct debits occur on the 15th day of each month or the next business day.

## Step 2: Income distributions

How would you like us to pay your net income (distributions) earned by the fund/s?

Reinvest  Paid to an Australian bank account

## Step 3: Bank account details (for withdrawals, distributions and regular investment plan direct debits)

BSB number

Account number

Account name

Bank or financial institution name

## Step 4: Fund your additional investment

You can fund your additional investment by:

- **BPAY** - Simply make a BPAY payment using your BPAY reference number (contact us if you're not sure what it is), and the biller code for the fund (on the right).
- **Cheque** - in Australian dollars, made payable to 'Australian Ethical Applications on Trust'.

**BPAY Biller Codes**

- Emerging Companies Fund: 817486
- International Shares Fund: 556373
- Australian Shares Fund: 20602
- High Conviction Fund: 354688
- Diversified Shares Fund: 20867
- High Growth Fund: 125757
- Balanced Fund: 20859
- Fixed Interest Fund: 234534
- Income Fund: 20610

## Step 5: Target Market Determination Questions

**1** In order to help ensure our Funds are being acquired by the investors they are designed for, we require you to respond to the below questions. This forms part of our obligations under the Design and Distribution Obligations introduced by ASIC in October 2021.

**Question 1:** Do you understand and accept that the value of your investments will go up and down over time and that our products do not guarantee a return of capital for any Funds, nor do we guarantee that past returns achieved by a Fund will continue into the future?

Yes  No

**Question 2:** What is the minimum time period you intend to invest in the Fund/s you have selected?

- Less than 2 years  
 Between 2 and 8 years  
 Greater than 8 years

**Question 3:** How would you describe your risk and return profile for the Fund/s you have elected to invest in with Australian Ethical?

- Low risk and return  
 Medium risk and return  
 High risk and return  
 Very high risk and return

## Step 6: Identification requirements

### Individuals

Please include a certified copy of one of the following Photo ID documents with your application:

- Australian Driver's Licence (Current)
- Australian Passport (Not expired by more than 2 years)
- International Passport (Current)
- Proof of Age Card/NSW Photo Card (Current and government issued)

If you can't provide one of the above, please contact us for assistance.

### Who can certify your ID?

- a permanent employee of Australia Post who has two or more years of continuous service
- an officer of a financial institution, such as a bank, who has two or more years of continuous service
- a legal practitioner (such as a solicitor) who is enrolled on the roll of the Supreme Court of a state or territory, or the High Court of Australia
- a Justice of the Peace

Additional certification options are available. Please contact us on [investors@australianethical.com.au](mailto:investors@australianethical.com.au) or 1800 021 227 for assistance.

### Companies, Partnerships and Corporate Trustees

Please ensure you have completed the relevant entity FSC forms requested in section H and individual FSC forms in section I. (SMSF's are exempt from section H). Australian Ethical will verify your information by using ASIC Connect or ABN Lookup on [abr.business.gov.au](http://abr.business.gov.au). We may contact you for additional information if necessary.

### SMSF's

Please ensure you have completed the individual FSC forms for each member and Trustee of the fund as requested in section I, and provide certified ID, as per individuals ID requirements above.

### Trusts

Please include a certified copy or extract of the Trust Deed. We do not require every page, only those showing the Trust name, details of the trustee/s and settlor of the trust, and the signing page. For individual trustees, please also provide certified ID, as per Individuals ID requirements above.

### Associations or Co-operatives

Please provide a certified copy or certified extract of the constitution of the Association / Co-operative. We do not require every page, only a cover page and pages containing key details of the association / Co-operative and its registration (including names of office holders, establishment of the entity and any signing pages).

## Step 7: Declaration and signatures

I have read and understood the applicable Product Disclosure Statements (PDS) to which this investment applies (The PDS can be found at [australianethical.com.au/managed-funds/pds](http://australianethical.com.au/managed-funds/pds)). I have read, understood and agree to the 'Declaration' on page 3 of this form.

If a New Zealand investor, I also acknowledge that I have received and read the 'Important Information for New Zealand Investors'.

**!** Please note we currently do not accept electronic signatures on forms. To avoid delays or having to complete this form again, ensure you sign the documents with a traditional signature (either wet ink or using a digital pen.)

Signature of investor 1

Date (DD/MM/YYYY)

Signatory's full name

Signature of investor 2

Date (DD/MM/YYYY)

Signatory's full name

### Non-individual applicants:

Signatory's Office title (e.g. Director, Company Secretary, Trustee, Treasurer)

## Declaration

By completing the Application Form I declare that:

### My application is lawful because

- All the details I have provided for this application are true and correct.
- I received and accepted this offer in Australia or New Zealand.
- If I received and accepted this offer in New Zealand, I have received and read a copy of the Important Information for New Zealand Investors.

### I have made an informed decision because

- I have read the PDS to which this application applies.
- If I have received the PDS from the internet or by other electronic means, I have received the entire document.

### I am responsible for my decision to make this application and

- I acknowledge that no representation has been made to me by or on behalf of Australian Ethical Investment Ltd other than those contained in the PDS.
- I am not making this application because of an unsolicited meeting with or phone call from another person.

### I am aware that Australian Ethical Investment will have records of my personal information, and:

- I have read and consent to the collection, use and disclosure of my personal information in accordance with the Australian Ethical Investment Ltd Privacy Policy available at [australianethical.com.au/privacy-policy](http://australianethical.com.au/privacy-policy)
- I have read and consent to the collection, use and disclosure of my personal information in accordance with the Managed Funds Privacy Collection Notice available at [australianethical.com.au/managed-funds-privacy-collection-notice](http://australianethical.com.au/managed-funds-privacy-collection-notice)

### I am authorised to sign this application form because

- If signing on behalf of a company, I am an authorised person for the company.
- If I am investing as a trustee on behalf of a superannuation fund or trust, I confirm that I am acting in accordance with the authority and powers designated to me under the trust deed. If I am investing on behalf of a superannuation fund, I also confirm that the fund is a complying fund under the Superannuation Industry (Supervision) Act 1993.

- If this application is signed by me under a power of attorney, I declare that I have not received notice of revocation of that power and I hereby supply a certified copy of the power of attorney.

#### I have read all the terms and conditions contained in the Product Disclosure Statement and, in particular

- I agree to the offer contained in the PDS and to be bound by the provisions of the Constitution governing the Trust.
- I understand that Australian Ethical Investment Ltd has the right to reject any applications, switches or regular contributions.
- I understand that Australian Ethical undertakes various identification checks to comply with legislative requirements (such as the Anti-Money Laundering and Counter-Terrorism Financing Act 2006). These checks will occur when I (i) make an application to set up an account, (ii) withdraw or transfer funds from my account, (iii) change account details, (iv) engage in other account related transactions or (v) when anyone acts on my behalf (eg. nominated representative, legal representative).

I acknowledge that Australian Ethical may decide to delay or refuse any request or transaction, including by suspending a withdrawal request, if they are concerned that the request or transaction may be incomplete, incorrect or breach any obligation, or causes Australian Ethical to commit or participate in an offence under any law, and Australian Ethical will incur no liability to me if it does so. In limited circumstances, Australian Ethical may need to re-verify my identity. I am aware that fraud can occur more easily when transactions are made via phone, fax or email. I acknowledge that Australian Ethical will only accept email requests from pre-nominated email addresses.

- I understand the nature of risk attached to the investments I am applying for and acknowledge that neither Australian Ethical Investment Ltd, nor custodians, nor the constitution of a trust guarantees a return of capital or the performance of my investment.

#### For any additional amounts invested into my unitholding

- I agree that before making an additional investment into an Australian Ethical Managed Fund I will obtain the current version of the PDS. I will do this either by downloading the most up to date PDS from the Australian Ethical Investment Ltd website or by contacting Australian Ethical Investment Ltd and requesting a copy.

#### Direct debit acknowledgement

- If I have selected to join the Regular investment Plan, I acknowledge having read and understood the terms and conditions governing the debit arrangements between me and Australian Ethical Investment Ltd as set out in this application and in the direct debit request service agreement.

#### Common Report Standard (CRS) AND Foreign Account Tax Compliance Act (FATCA) Declaration

- I understand that if I am a tax resident of a country other than Australia and I have not completed the CRS/FATCA section on this form (for individual applicants) or the form available at [australianethical.com.au/tax-forms](http://australianethical.com.au/tax-forms) (for all other applicants), my application may not be accepted by Australian Ethical Investment Ltd.

#### Providing my TFN

- If I have provided my TFN, I declare that I have read the important information about my Tax File Number and consent to providing my Tax File Number for the legal purposes stated.

#### Electronic communication

- By providing my email and/or mobile number, I agree to be notified of and receive important disclosure documents and communications electronically (which may include via email, SMS, a link to a website, an application or other online channels).

#### Direct Debit request service agreement

This Agreement authorises Australian Ethical Investment Ltd (ABN 47003188930; AFSL 229949, Debit User ID 180244) to arrange through its own financial institution, a debit to your nominated account of the amount nominated by you in this Application Form. The debit will be made through the Bulk Electronic Clearing System (BECS) from your nominated account and will be subject to the terms and conditions of this Agreement.

#### Definitions

- account means the account held at your financial institution from which we are authorised to arrange for funds to be debited
- agreement means this Direct Debit Request Service Agreement between you and us
- banking day means a day other than a Saturday or a Sunday or a public holiday listed throughout Australia
- debit day means the day that payment by you to us is due
- debit payment means a particular transaction where a debit is made
- direct debit request means the Direct Debit Request between us and you
- us or we means Australian Ethical Investment Ltd (the Debit User) you have authorised by requesting a Direct Debit

#### Request

- you means the customer who has signed or authorised by other means the Direct Debit Request
- your financial institution means the financial institution nominated by you on the Direct Debit Request at which the account is maintained.

#### 1. Debiting your account

- 1.1. By signing a Direct Debit Request or by providing us with a valid instruction, you have authorised us to arrange for funds to be debited from your account. You should refer to the Direct Debit Request and this agreement for the terms of the arrangement between us and you.
- 1.2. We will only arrange for funds to be debited from your account as authorised in the Direct Debit Request.
- 1.3. If the debit day falls on a day that is not a banking day, we may direct your financial institution to debit your account on the following banking day. If you are unsure about which day your account has or will be debited you should ask your financial institution.

## 2. Changes by us

- 2.1. We may vary any details of this agreement or a Direct Debit Request at any time by giving you at least fourteen (14) days written notice.

## 3. Changes by you

- 3.1. You may change, stop or defer a debit payment, or terminate this agreement by providing us with at least fourteen (14) days notification by writing to:

[investors@australianethical.com.au](mailto:investors@australianethical.com.au) or Australian Ethical Investment, Reply Paid 3993, Sydney NSW 2001 or phoning us on 1800 021 227 during business hours or arranging it through your own financial institution.

## 4. Your obligations

- 4.1. It is your responsibility to ensure that there are sufficient clear funds available in your account to allow a debit payment to be made in accordance with the Direct Debit Request.
- 4.2. If there are insufficient clear funds in your account to meet a debit payment:
  - (a) you may be charged a fee and/or interest by your financial institution
  - (b) you may also incur fees or charges imposed or incurred by us
  - (c) you must arrange for the debit payment to be made by another method or arrange for sufficient clear funds to be in your account by an agreed time so that we can process the debit payment.
- 4.3. You should check your account statement to verify that the amounts debited from your account are correct.
- 4.4. We are liable to pay goods and services tax ('GST') on a supply made in connection with this agreement, then you agree to pay Australian Ethical Investment Ltd on demand an amount equal to the consideration payable for the supply multiplied by the prevailing GST rate.

## 5. Dispute

- 5.1. If you believe that there has been an error in debiting your account, you should notify us directly on 1800 021 227 and confirm that notice in writing with us as soon as possible so that we can resolve your query more quickly. Alternatively you can take it up with your financial institution directly.
- 5.2. If we conclude as a result of our investigations that your account has been incorrectly debited, we will respond to your query by arranging for your financial institution to adjust your account (including interest and charges) accordingly. We will also notify you in writing of the amount by which your account has been adjusted.
- 5.3. If we conclude as a result of our investigations that your account has not been incorrectly debited, we will respond to your query by providing you with reasons and any evidence for this finding in writing.

## 6. Accounts

- 6.1. You should check:
  - (a) with your financial institution whether direct debiting is available from your account as direct debiting is not available on all accounts offered by financial institutions
  - (b) your account details which you have provided to us are correct by checking them against a recent account statement
  - (c) with your financial institution before completing the Direct Debit Request if you have any queries about how to complete the Direct Debit Request.

## 7. Confidentiality

- 7.1. We will keep any information (including your account details) in your Direct Debit Request confidential. We will make reasonable efforts to keep any such information that we have about you secure and to ensure that any of our employees or agents who have access to information about you do not make any unauthorised use, modification, reproduction or disclosure of that information.
- 7.2. We will only disclose information that we have about you in accordance with the Privacy Policy on our website (and available on request) and:
  - (a) to the extent specifically required by law, and
  - (b) for the purposes of this agreement (including disclosing information in connection with any query or claim).

## 8. Notice

If you wish to notify us in writing about anything relating to this agreement, you should write to [investors@australianethical.com.au](mailto:investors@australianethical.com.au) or Australian Ethical Investment, Reply Paid 3993, Sydney NSW 2001.

- 8.1. We will notify you by sending a notice in the ordinary post to the address you have given us in the Direct Debit Request.
- 8.2. Any notice will be deemed to have been received on the third banking day after posting.

 If you have any questions, please contact Australian Ethical Managed Funds on 1800 021 227.