

## Application | SMSF

Issued by Australian Ethical Investment Ltd as responsible entity (ABN 47 003 188 930, AFSL 229949) of the Fund ('AEI', 'we', 'us'). AEI and Australian Unity Group Services Pty Ltd (ABN 29 006 803 069) have entered into a transitional services agreement under which AU provides registry, custody, administration, and other services to AEI.

This is general information only and does not take account of your individual investment objectives, financial situation or needs. Before acting on it, consider its appropriateness to your circumstances and read the Product Disclosure Statement (PDS) available on our website for information on the benefits and risks of the Fund(s). You should consider seeking advice from an authorised financial adviser before making an investment decision.

### WHO SHOULD COMPLETE THIS FORM?

This application form is for investments made by trustees of Self Managed Superannuation Funds (SMSF).

### HOW TO COMPLETE THIS FORM

**Step 1** Before submitting this form, please read the Product Disclosure Statement (PDS) available on our website [www.australianethical.com.au/managed-funds/investment-options/altius-funds/](http://www.australianethical.com.au/managed-funds/investment-options/altius-funds/) or if you are unable to access the link or print the document, contact us on 1300 788 031.

Units in a fund will only be issued following acceptance of an application form issued with the relevant PDS, with all required documents attached.

**Online applications:** Please complete online and then print to sign using a black pen.

**Manual applications:** Please print, use black pen and write in BLOCK letters. If you make an error do not use correction fluid, instead, cross out your error and initial your changes.

**Note:** Please ensure all fields are completed including those in **sections A, B and C**.

**Step 2** Tell us your foreign tax status

Please complete the **Global Tax Reporting (FATCA/CRS)** information in **section 10**.

**Step 3** Sign and send your documents to the below address.

Please ensure you sign **section 12** of the form in accordance with the instructions provided.

You can return your forms by post to:

**Australian Unity**  
GPO Box 804  
Melbourne VIC 3001

**Scan and email to:** [australianethical\\_transactions@unitregistry.com.au](mailto:australianethical_transactions@unitregistry.com.au)

**Step 4** Make your payment

Please refer to **section 4** and **5** of the application form and follow the instructions on how to pay the application amount.

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

### IMPORTANT INFORMATION

- Please ensure all fields are completed. If you do not complete all relevant sections your application may be rejected and returned to you for completion, resulting in a delay in processing your application.
- If you have any questions as you complete this form, please refer to the FAQs of this form, or contact us on 1300 788 031.

## SECTION A: DDO Obligations

The following questions may assist the Issuer meeting its regulatory obligations by determining whether this financial product is being offered to the stated target market.

The below only needs to be answered where you are a direct [retail] investor (i.e. does not apply to indirect or intermediated investments such as those made by platforms, custodians, etc).

**Was this investment made based on personal advice received from your financial adviser?**

**Yes** - please ensure that details of your financial adviser are completed in section 8

**No** - please complete the questions below:

**Please read and answer the following questions carefully:** It is important for you to consider if the fund you are applying to invest in is in line with your needs and objectives for the portion of your investment portfolio that you intend to invest in this fund. In other words, the questions below should be answered having regard to what you are seeking from this particular investment - not what you may be seeking more generally from your overall investment portfolio as a whole.

All financial products provide different features, objectives, risks and return profiles.

You can understand more about the specific objectives and outcomes that the fund seeks to accomplish and to determine whether the fund is appropriate for your needs by consulting the fund's PDS.

The following questions assist the issuer in meeting its regulatory obligations by enabling it to assess whether the selected fund is being offered to the stated target market. We reserve the right to refuse your application.

**A. What is your primary investment objective in relation to this investment? (select only one option)**

**You are seeking an investment which provides Capital Growth**

Capital Growth, also known as capital appreciation or capital gain, refers to an increase in the value of an asset over time. Capital Growth is not guaranteed, and the value of an investment can also decrease, resulting in capital losses. You should consider the amount of risk you are willing to accept to achieve a capital growth, (or loss) outcome. *If you are primarily seeking capital growth with some income, please select Capital Growth for Question A, and Yes for Question B.*

**You are seeking an investment which provides Capital Preservation**

A Capital Preservation strategy is a strategy employed by certain types of investment funds with the primary objective of protecting the capital invested. Generally, funds designed to provide Capital Preservation have a lower risk profile and are less volatile than growth investments. You should consider if you are willing to accept lower returns (growth or income) as a result of choosing a fund with a lower risk profile.

**You are seeking an investment which provides Income Distribution**

Income Distribution refers to the income generated from the assets within a fund that is regularly paid out or distributed to investors periodically. The level of income generated will typically change each period and there is no guarantee of income being available each period.

**B. Are you seeking a source of supplemental income (which may not be regular or recurrent) in addition to the above investment objective?** (select only one option)

**Note:** If your primary objective is Capital Growth or Capital Preservation, but you are also seeking the potential for income supplemental to those objectives, select 'Yes'. If Income Distribution is your primary investment objective, please select Income Distribution in Question A, and 'No' for Question B.

Yes

No

**C. What is your investment timeframe in relation to this investment?** (select only one option)

Equal to 7 years or more (i.e. Long term)

Equal to 5 years but less than 7 years (i.e. Medium to long term)

More than 2 years but less than 5 years (i.e. Medium term)

Up to and including 2 years (i.e. Short term)

**D. Under normal circumstances, within what period do you expect to be able to access your funds for this investment?** (select only one option)

At issuer's discretion

Within ten years of the request

Within five years of the request

Within one year of the request

Within three months of the request

Within one month of the request

Within one week of the request

**E. In relation to this investment, which investment risk and return profile best describes you? (select only one option)**

We note again, that this question is in relation to this investment in particular, **and not to your overall risk and return profile**. In other words, what role are you expecting the fund to play in your overall portfolio.

**I am seeking a fund with a low risk and return profile:**

You are looking for an investment that is low risk in nature (e.g. you have the ability to tolerate **up to one negative return over a 20-year period** and you are comfortable with a low target return from this investment. Funds designed to provide low risk and return typically provide capital preservation and invest in cash or cash like investments).

**I am seeking a fund with a medium risk and return profile:**

You are looking for an investment that is moderate or medium risk in nature (e.g. you have the ability to tolerate **up to four negative returns over a 20-year period** and you are comfortable with a moderate target return from this investment. Funds designed to provide a medium risk and return are typically invested in defensive assets, such as fixed income products).

**I am seeking a fund with a high risk and return profile:**

You are looking for an investment that is higher risk in nature (e.g. you have the ability to tolerate **up to six negative returns over a 20-year period** in order to achieve a higher target return from this investment. Funds with a high risk and return are typically invested in growth assets which include shares and property investments).

**I am seeking a fund with a very high risk and return profile:**

You are looking for an investment that is very high risk in nature (e.g. you have the ability to tolerate **six or more negative returns over a 20-year period** as you are seeking to maximise returns and you can accept higher potential losses. Products with Very High risk and return are typically higher conviction portfolio such as concentrated share funds, hedge funds and other growth alternative assets).

**I am seeking a fund with an extremely high risk and return:**

You are looking for an investment that is extremely high risk in nature (e.g. you can **accept significant volatility and losses** as you are **seeking to obtain accelerated returns** (potentially in a short timeframe). Products with an extremely high risk and return profile are typically speculative investments in niche asset classes such as crypto assets).

**F. What percentage of your total investable assets are you directing into this fund (i.e. the total assets you have available for investment, excluding your residential home)? (select only one option)**

Satellite allocation (up to 10%)

Minor allocation (up to 25%)

Core component (up to 50%)

Major allocation (up to 75%)

Solution/Standalone (up to 100%)

**G. Where did you obtain your application form? (select only one option)**

Fund Manager Website

Financial Adviser

Referred by a friend/colleague

Advertisement

Other

## Section B: Investor details

What is the full legal name of the entity that will hold title to the units?

Full name of account designation

If you are an existing investor, please provide your account number

I/We confirm there are no changes to our identification documents previously provided and that these remain current and valid.

I/We confirm there are no changes to the information in our previous application provided and that it remains current and valid.

## Section C: Are you investing using funds borrowed under a margin loan?

No - go to **section 1**       Yes - please complete the details below

Name of margin lender

Name of borrower

Borrower's TFN

Loan number

If the person who will hold legal title to the units will be the borrower granting Power of Attorney to the margin lender or its nominee, please complete this form as an SMSF.

## 1. TRUST/FUND DETAILS

Full name of trust/superannuation fund

Full business name (if any) of the trustee in respect of the trust/superannuation fund

Country of establishment

Tax file number or exemption code

Australian Business Number (if any)

## 2. TRUSTEE DETAILS

**Note:** A Self-managed Super Fund (SMSF) must have a minimum of two (2) trustees and a maximum of six (6). The trustee/s can be either individual or corporate. Where the trustee is corporate, all members of the SMSF are directors of the corporate trustee. If there are more than four (4) trustees, please complete **section 2** of another application form and attach it to the main application form.

How many trustees does the SMSF have?

Type of trustee

Individual trustee (complete **section 2.1**)

Corporate trustee (complete **section 2.2 & 2.3**)

## 2.1 Individual trustee(s) details

### Individual trustee 1

Title  Given name(s)  Surname

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

#### Residential address - (A PO Box/RMB/Locked Bag is not acceptable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

#### Contact details

Home number (including country and area code)  Mobile number (including country code)

Email (default address for all correspondence)

### Individual trustee 2

Title  Given name(s)  Surname

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

#### Residential address - (A PO Box/RMB/Locked Bag is not acceptable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

#### Contact details

Home number (including country and area code)  Mobile number (including country code)

Email

All correspondence will be sent to the email address provided by **Individual trustee 1**.

### Individual trustee 3

Title  Given name(s)  Surname

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

**Residential address - (A PO Box/RMB/Locked Bag is not acceptable)**

Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>
Email	
<input type="text"/>	

All correspondence will be sent to the email address provided by **Individual trustee 1**.

**Individual trustee 4**

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of birth (DD/MM/YYYY)	<input type="text"/>	Occupation
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Residential address - (A PO Box/RMB/Locked Bag is not acceptable)**

Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Contact details**

Home number (including country and area code)	Mobile number (including country code)
<input type="text"/>	<input type="text"/>
Email	
<input type="text"/>	

All correspondence will be sent to the email address provided by **Individual trustee 1**.

**2.2 Corporate trustee details**

Full business name as registered by ASIC	ACN
<input type="text"/>	<input type="text"/>
Nature of business	
<input type="text"/>	

**Registered Office Address - (PO Box is not acceptable)**

Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Unit	Street number	Street name	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Contact details** (for company or contact person)

Name	Email
<input type="text"/>	<input type="text"/>
Business number (include country and area code)	Mobile number (include country code)
<input type="text"/>	<input type="text"/>

**2.3 What type of company is the corporate trustee?**

**Public** (companies whose name does NOT include the word Pty or proprietary; generally listed companies)

**Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies)

Please complete the director details below if you are an Australian proprietary company. Do not complete for public companies.

**Directors details**

How many directors are there?

Please provide below the full name of all the directors. If there are more than four directors, please complete the details on a separate sheet and attach to this application form.

**Director 1**

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Director 2**

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Director 3**

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Director 4**

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>



### 3. INVESTMENT AND DISTRIBUTION INSTRUCTIONS

Specify your initial application amount.

The minimum investment amount is \$5,000 per fund.

Indicate your distribution choice below. If you do not make an election, distributions will be reinvested.

Fund name	APIR	Investment amount AUD\$	Distribution option (indicate (X) one option per fund)	
			Pay to my bank a/c	Reinvest
Altius Sustainable Short Term Income Fund – Retail	AUS1392AU	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wholesale Cash Fund	WCF0001AU	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Altius Green Bond Fund - Retail	AUS9041AU	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Altius Sustainable Bond Fund	AUS0071AU	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please indicate the source & origin of funds being invested.

Savings	<input type="checkbox"/>
Superannuation contributions	<input type="checkbox"/>
Income from employment - regular and/or bonus	<input type="checkbox"/>
Normal course of business	<input type="checkbox"/>
Investment	<input type="checkbox"/>
Donation/gift	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>
Sale of assets (e.g. shares, property)	<input type="checkbox"/>
Other <input type="text"/>	<input type="checkbox"/>

















## 12. SIGNATURE(S)

For individual trustees, all trustees to sign. For Australian corporate trustee, the signature(s) of either a sole director, or two directors, or one director and the company secretary.

### Signature 1

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 1

Director

Company Secretary

Authorised Representative

### Signature 2

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 2

Director

Company Secretary

Authorised Representative

### Signature 3

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 3

Director

Company Secretary

Authorised Representative

### Signature 4

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Individual trustee 4

Director

Company Secretary

Authorised Representative

<b>Translating documents by an accredited translator</b>	<p>In Australia an accredited translator means a professional translator accredited by the National Accreditation Authority for Translators and Interpreters at or above professional level.</p> <ul style="list-style-type: none"> <li>• NAATI (<a href="https://www.naati.com.au/">https://www.naati.com.au/</a>)</li> </ul> <p>In an overseas country, an accredited translator is a professional translator accredited by a NAATI equivalent authority. For these, escalate to the AML Compliance Officer for assistance.</p>
<b>Getting your copies certified</b>	<p>Any document(s) requiring to be certified for verification purposes must be certified by an eligible person to be a true copy of the original document. Documents must be either certified on all pages or certified on the front page with a clear reference to the number of subsequent pages that are included.</p>
<b>Example of certification</b>	<p>I certify that this is a true and correct copy of the original document</p> <p>Signature of Certifier</p> <p>Name of Certifier</p> <p>Capacity of certifier - e.g. Justice of the Peace</p> <p>Date of certification (DD/MM/YYYY)</p>
<b>List of occupations that can certify (from the Statutory Declaration Regulations 2018)</b>	<ul style="list-style-type: none"> <li>• Architect</li> <li>• Chiropractor</li> <li>• Dentist</li> <li>• Financial adviser or financial planner</li> <li>• Legal practitioner</li> <li>• Medical practitioner</li> <li>• Midwife</li> <li>• Migration authorised representative registered under Division 3 of Part 3 of the Migration Act 1958</li> <li>• Nurse</li> <li>• Occupational therapist</li> <li>• Optometrist</li> <li>• Patent attorney</li> <li>• Pharmacist</li> <li>• Physiotherapist</li> <li>• Psychologist</li> <li>• Trade marks attorney</li> <li>• Veterinary surgeon.</li> </ul>
<b>List of persons who can certify</b>	<ul style="list-style-type: none"> <li>• 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)</li> <li>• a judge of a court</li> <li>• a magistrate</li> <li>• a chief executive officer of a Commonwealth court</li> <li>• a registrar or deputy registrar of a court</li> <li>• a Justice of the Peace</li> <li>• a notary public (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• a police officer</li> <li>• an authorised representative of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li> <li>• 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</li> <li>• an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)</li> <li>• an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 2018)</li> <li>• 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 2018)</li> <li>• 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</li> <li>• 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.</li> </ul>