

# Application form

## For Managed Funds investors

This application form is for investment in the Australian Ethical Managed Funds. Interests in the Australian Ethical Managed Funds are issued by Australian Ethical Investment Ltd (ABN 47 003 188 930; AFSL 229949) in its capacity as Responsible Entity. This application form must not be circulated or distributed unless accompanied by the relevant Australian Ethical Managed Fund Product Disclosure Statement (PDS) and the Financial Services Guide. The PDS contains information relevant to investing in the Managed Funds, available at [australianethical.com.au/managed-funds/pds](http://australianethical.com.au/managed-funds/pds). You should read the relevant Managed Funds PDS prior to making an application to invest.

Please 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

### Got a question?

We're happy to help! Email us at [investors@australianethical.com.au](mailto:investors@australianethical.com.au) or call us on 1800 021 227

#### Type of account

- Individual or Joint Complete sections A + B + H + J
- Adult for Child Under 18 Complete sections A + B + C + H + J
- Trust, Super Fund\* or SMSF\*
  - Individual Trustee Complete sections A + B (for each trustee) + D + I + J
  - Corporate Trustee Complete sections A + D + E + H + I + J
- Company Complete sections A + E + H + I + J
- Partnership Complete sections A + B (for each partner) + E + H + I + J
- Sole Trader Complete sections A + B + F + H + J
- Association / Co-operative Complete sections A + G + H + I + J

\*Section H is not relevant for regulated superannuation funds or SMSFs.

#### Section A: Primary contact details

Title

Mr  Mrs  Ms  Miss  Other, please specify

Full given name(s)

Surname

## Residential or office address

(Companies, Corporate Trustees, Associations and Co-operatives: Please provide registered office address as per ASIC or registration body. A PO Box can not be accepted.)

Address

City	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## Postal address (if different)

Address

City	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Home/work phone

Mobile

Email

Communications Preference

Email  Post

## Section B: Individual details

### Individual 1

Title

Mr  Mrs  Ms  Miss  Other, please specify

Full given name(s)

Surname

Tax File Number (TFN)<sup>^</sup>

Date of birth (DD/MM/YYYY)

### Individual 2

Title

Mr  Mrs  Ms  Miss  Other, please specify

Full given name(s)

Surname

Tax File Number (TFN)<sup>^</sup>

Date of birth (DD/MM/YYYY)

<sup>^</sup> It is not compulsory to quote your TFN when investing in our Managed Funds, nor is it an offence not to do so. However, if you do not quote your TFN or claim an exemption, tax will be deducted at the highest marginal tax rate plus Medicare levy when distributions are made.

## Section C: Adult on behalf of child under 18 application

Please note, the adult(s) will be the legal owner(s) of the account. Once the child is 18, they are able to open their own account and you can transfer legal ownership by submitting a 'Transfer Request' Form.\*

Name of the child/children

For the rest of this application, please provide the details of the adult(s) making the application for the child.

\* There may be tax implications arising from a transfer of legal ownership. You should seek professional taxation advice if you are unsure about these implications

## Section D: Trust, super fund or SMSF details

Legal name of Trust, super fund or SMSF

Type of trust (for example family trust, super fund, SMSF, discretionary trust)

ABN or ACN

Tax File Number (TFN)^

Country Trust Established

Full Name – Settlor of the Trust#

^ It is not compulsory to quote your TFN when investing in our Managed Funds, nor is it an offence not to do so. However, if you do not quote your TFN or claim an exemption, tax will be deducted at the highest marginal tax rate plus Medicare levy when distributions are made.

# The person/s who settles the initial sum or assets to create the Trust.

## Section E: Company or partnership details

Full name of company or partnership

ABN or ACN

Tax File Number (TFN)^

Names of Director(s) and Company Secretary

Office Title (e.g. Director, Company Secretary)

^ It is not compulsory to quote your TFN when investing in our Managed Funds, nor is it an offence not to do so. However, if you do not quote your TFN or claim an exemption, tax will be deducted at the highest marginal tax rate plus Medicare levy when distributions are made.

## Section F: Sole trader details

Business name of sole traders

ABN

## Section G: Association / Co-operative details

Full legal name of association / Co-operative

Unincorporated association  Incorporated association  Registered co-operative

ABN or ACN

Tax File Number (TFN)<sup>^</sup>

Name of Chairperson / President

Name of Secretary

Name of Treasurer

<sup>^</sup> It is not compulsory to quote your TFN when investing in our Managed Funds, nor is it an offence not to do so. However, if you do not quote your TFN or claim an exemption, tax will be deducted at the highest marginal tax rate plus Medicare levy when distributions are made.

## Section H: Tax information

### Common Reporting Standards (CRS) and US Foreign Account Tax Compliance Act (FATCA) declaration (mandatory)

Australian Ethical is required to collect the tax status of investors in accordance with the OECD Common Reporting Standard (CRS) and the USA Foreign Account Tax Compliance Act (FATCA).

If you are a tax resident of a country outside of Australia we may be legally obligated to confirm this with the Australian Taxation Office. Tax Residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

This section is mandatory for all investors, EXCEPT those investing via an SMSF or other regulated superannuation fund.

Any person, company or trust that:

- is an individual or joint investor, company or trust; or
- exercises control over an applicant company; or
- is a trustee, beneficiary or settlor of an applicant trust, MUST complete this section.

Is the entity or individual/s applying a tax resident of Australia?

Yes  No

Is the entity or individual/s applying a tax resident of any country outside of Australia?

- Yes - you must complete the individual/s details on the following page
- No - Please continue to 'Additional documentation required' on the next page

### Individual 1

Country	Tin
<input type="text"/>	<input type="text"/>
Country	Tin
<input type="text"/>	<input type="text"/>
If no TIN, list reason A, B or C	
<input type="text"/>	

### Individual 2

Country	Tin
<input type="text"/>	<input type="text"/>
Country	Tin
<input type="text"/>	<input type="text"/>
If no TIN, list reason A, B or C	
<input type="text"/>	

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

A TIN (or the equivalent) is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Reason A: The country of tax residency does not issue TINs to tax residents

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

### Additional documentation required

If you are an Australian or Foreign Company, Trust, Association, Co-Operative, Government body or Partnership, you must complete the relevant FSC form at [australianethical.com.au/tax-forms](http://australianethical.com.au/tax-forms) and submit it with this application form before we can process your application.

I/We have completed and attached the FSC form relevant to my/our account type.

### Section I: Beneficial ownership and control

Are there any individuals who ultimately own 25% or more of the entity (through direct or indirect share holdings) or who directly or indirectly control the company. Beneficial owners are dependent on the account type, examples include shareholders and directors of Companies, or trustees and beneficiaries for Trusts.

Yes (Please provide details below)  No

### Individual 1

Title	<input type="text"/>
<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other, please specify	
Full given name(s)	Surname
<input type="text"/>	<input type="text"/>
Role	<input type="text"/>

### Individual 2

Title	<input type="text"/>
<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other, please specify	
Full given name(s)	Surname
<input type="text"/>	<input type="text"/>
Role	<input type="text"/>

Please tick this box if there are more than two beneficial owners and provide details on a separate sheet.

## Financial Services Council (FSC) Form

We require an individual FSC identification form to be completed for each beneficial owner of the entity as entered above. This form is available at: [australianethical.com.au/tax-forms](http://australianethical.com.au/tax-forms)

I/We have completed and attached an individual FSC identification form for each beneficial owner of the entity.

### Section J: Initial investment, regular investor plan, declaration & signature

Your minimum investment amount determines the class of investor you are. Minimum classification requirements for retail and wholesale classes vary per fund, for more information, please visit [australianethical.com.au/managed-funds/fees/](http://australianethical.com.au/managed-funds/fees/)

Fund name	Amount	Fund name	Amount
Altius Bond Fund	<input type="text" value="\$"/>	High Conviction Fund	<input type="text" value="\$"/>
Australian Shares Fund	<input type="text" value="\$"/>	High Growth Fund	<input type="text" value="\$"/>
Balanced Fund	<input type="text" value="\$"/>	Income Fund	<input type="text" value="\$"/>
Conservative Fund	<input type="text" value="\$"/>	International Shares Fund	<input type="text" value="\$"/>
Diversified Shares Fund	<input type="text" value="\$"/>	Moderate Fund	<input type="text" value="\$"/>
Emerging Companies Fund	<input type="text" value="\$"/>		
<b>TOTAL</b>	<input type="text" value="\$"/>		

### Funding your initial investment

**BPAY** – We'll send you your BPAY details once we've received your application and set up your account

**Cheque** – Please attach to your application form, make out to 'Australian Ethical Applications on Trust' and cross 'non-negotiable'.

### Income distributions

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

Re-invest  Paid to an Australian bank account

If no selection is made your distributions will automatically be re-invested.

### Bank account details (for withdrawals and distributions)

BSB number

Account number

Account name

Bank or financial institution name

## Regular investor plan (monthly direct debit)

Skip this section if you don't wish to start a regular investor plan. Minimum amount for each Australian Ethical Managed Fund is \$100 per month.

Please indicate in the below table, the amount to be direct debited, from your bank account and added to your investment each month. Debits occur on the 15th day of each month or the next business day.

Fund name	Amount	Fund name	Amount
Altius Bond Fund	\$ <input type="text"/>	High Conviction Fund	\$ <input type="text"/>
Australian Shares Fund	\$ <input type="text"/>	High Growth Fund	\$ <input type="text"/>
Balanced Fund	\$ <input type="text"/>	Income Fund	\$ <input type="text"/>
Conservative Fund	\$ <input type="text"/>	International Shares Fund	\$ <input type="text"/>
Diversified Shares Fund	\$ <input type="text"/>	Moderate Fund	\$ <input type="text"/>
Emerging Companies Fund	\$ <input type="text"/>		
<b>TOTAL</b>	\$ <input type="text"/>		

## Regular investment plan direct debit details (if applicable)

By signing this direct debit request, you agree to the direct debit service agreement on page 11 of this form.

**!** Please note if you are using an electronic signature, this must be signed using OneSpan, DocuSign, or Adobe Acrobat Sign, and the forms will need to be accompanied by a time-stamped certificate.

BSB number

Account number

Account name

Bank or financial institution name

Signature of bank account holder

Signature of bank account holder (if applicable)

Bank account signatory name

Bank account 2nd signatory name (if applicable)

## Target Market Determination Questions

**!** 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:** What is your investment objective? (Select one only)

- Capital growth
- Capital preservation
- Income distribution

**Question 2:** How do you intend to hold the investment in relation to your total investable assets? (As a percentage of total assets available for investment excluding residential home) (Select one only)

- Solution/Standalone (Up to 100%)
- Major allocation (Up to 75%)
- Core component (Up to 50%)
- Minor allocation (Up to 25%)
- Satellite allocation (Up to 10%)

**Question 3:** What is your investment timeframe? (Select one only)

- Less than 3 years
- 3 to 5 years
- 6 to 8 years
- More than 8 years

**Question 4:** What is your risk (ability to bear loss) and return profile for the relevant portion of your portfolio that you are seeking to invest? (Select one only)

- Low
- Medium
- High
- Very High

**Question 5:** Under ordinary circumstances, what period of time would you like to be able to receive the proceeds of your redemption request from when you make a redemption request? (Select one only)

- Within one week of request
- Within one month of request
- Within three months of request
- Within one year or more of request

## 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.

## Declaration and signatures

I have read, understood and agree to the 'Declaration' on page 9 of this form.

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

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 found on our website at [australianethical.com.au/managed-funds/documents](http://australianethical.com.au/managed-funds/documents).

### 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.

## 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).

- 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 as outlined in the PDS.

- 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 Investor 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 as outlined in the PDS 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 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.