



Please staple all relevant material together

Please complete all applicable sections of this form. Provision of this information is required under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Your identity must be verified before we can proceed with your request.

If you have any queries, contact your financial planner or phone Pengana Customer Service on +61 2 8524 9900.

Mark boxes with (x) where appropriate, otherwise use block letters.

Investment Type

To help us process your request please complete the following:

Please identify the Fund that your application relates to

If this is an additional investment in a Fund that you already invest in, please provide your investor number for that fund

1 Company Type

Please select your company type

- Australian Company Foreign Company registered by ASIC Foreign Company not registered by ASIC
- [Go to Section 2](#) [Go to Section 3](#) [Go to Section 4](#)

2 Australian Company Details

Full name of company (as registered by ASIC)

Australian Company Number (ACN)

Registered Office Address (must not be a PO Box)

Address

Suburb	State	Postcode
--------	-------	----------

Principal Place of Business Address (must not be a PO Box)

Does your company have a principal place of business Yes No

As above, or

Address

Suburb	State	Postcode	Country
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Proceed to Section 5 Company Details

3 Foreign Company Registered by ASIC

Full name of company (as registered by ASIC)

Australian Registered Body Number (ARBN)

Is your company registered with a foreign registration body? Yes No



Please staple all relevant material together

If Yes, please provide the name of the foreign registration body

.....

Registered Office Address in Australia (must not be a PO Box)

Address

.....

Suburb State Postcode

.....

Australian Principal Place of Business or Local Agent Address (must not be a PO Box)

Please select one of the following options:

- The Australian principal place of business address is the same as the registered office address above
- The Australian principal place of business address is provided below
- The address below is the local agent

Name of local agent (if applicable)

.....

Address

.....

Suburb State Postcode

.....

Proceed to Section 5 Company Details

4 Foreign Company Not Registered by ASIC

Full name of company

.....

Is your company registered with a foreign registration body? Yes No

If Yes, please provide the name of the foreign registration body

.....

If Yes, please provide any identification number issued by the foreign registration body

.....

Registered Address as Registered by the Foreign Registration Body

Address in the country of formation/incorporation/registration

.....

Suburb State Postcode Country

.....

Principal Place of Business Address if NOT Registered by the Foreign Registration Body (must not be a PO Box)

Address in the country of formation/incorporation/registration

.....

Suburb State Postcode Country

.....

Proceed to Section 5 Company Details



Please staple all relevant material together

5 Company Details

Please select your company type. (Note: Private and Other are not applicable to Australian companies)

- Public
 Propriety
 Private
 Other

If Other, please specify

Is your company licensed by an Australian Commonwealth, State or Territory statutory regulator?

- Yes
 No

If Yes, please provide the name of the regulator

If Yes, please provide details of the relevant licence

Is your company a listed company?

- Yes
 No

If Yes, please provide the name of the financial market on which the company is listed

Is your company a majority owned subsidiary of an Australian listed company?

- Yes
 No

If Yes, please provide the name of the Australian listed company

If Yes, please provide the name of the Australian financial market on which that company is listed

County of formation/incorporation/registration

Tax File Number/Exemption (New Zealand resident companies please provide an IRD number)

Refer to Section 12 for the definition of "Australian listed company", "listed company" and a list of relevant Australian and foreign financial markets

6 Director Details

Do not complete this section if your company is a public company or a listed company. For other types of companies, please complete for ALL directors of the company. If insufficient space, please complete and attach a separate sheet.

How many directors does your company have?

Director 1

Title

.....Surname.....

Given

Names.....



Please staple all relevant material together

Director 2

TitleSurname.....
Given Names.....

Director 3

TitleSurname.....
Given Names.....

Director 4

TitleSurname.....
Given Names.....

7 Major Share Holder Details

Do not complete this section if your company is a public company, listed company or if your company is licensed by an Australian Commonwealth, State or Territory statutory regulator.

For all other companies please provide details for ALL individuals who own, through one or more shareholdings, more than 25% of the issued capital of the company.

Major Shareholder 1

TitleSurname.....
Given Names.....
Residential Address (must not be a PO Box)
.....
Suburb.....State.....Postcode.....
Country.....

Major Shareholder 2

TitleSurname.....
Given Names.....
Residential Address (must not be a PO Box)
.....
Suburb.....State.....Postcode.....
Country.....

Major Shareholder 3

TitleSurname.....
Given Names.....
Residential Address (must not be a PO Box)
.....
Suburb.....State.....Postcode.....
Country.....

Major Shareholder 4

TitleSurname.....



Please staple all relevant material together

Given Names.....

Residential Address (must not be a PO Box)

.....

Suburb.....State.....Postcode.....

Country.....

8 Agent Details

This section must be completed where the customer has authorised a person (the Agent) to enter into transaction on the investor's behalf. If insufficient space, please complete and attach a separate sheet.

How many Agents will be acting on behalf of this client?
(Please enter 0 if there are no agents)

Individual Agent 1

Title.....Surname.....

Given Names.....

Individual Agent 2

Title.....Surname.....

Given Names.....

Where an Agent has been appointed to sign the application form or otherwise transact on your behalf, the Agent's proof of authority to act (such as Power of Attorney) must be provided. In addition, the Agent must also complete a "Know Your Customer Information" form.

9 Identification Procedure

For foreign companies not registered with ASIC proof of identity must be provided with this form.

The following documents must be provided:

- A search of the relevant foreign registration body; and
- A certified copy of a certificate of registration (or equivalent) issued by the relevant foreign registration body.

We may contact you if additional documents are required.

When you are sending your proof of identity, please send certified copies only. **Do not send originals.**

If you are unable to provide these documents, please contact your financial planner or Pengana Customer Service on +61 2 8524 9900 for further information on other documentation you may provide to verify your identity.

Where an Agent has been appointed to sign the application form or otherwise transact on your behalf, the Agent's proof of authority to act (such as a Power of Attorney) must also be provided.

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

What is a certified copy?

A certified copy is a document that has been certified as a true copy of the original document by one of the following:

- 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
- a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993)
- an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)



Please staple all relevant material together

- a permanent employee of the Australian Postal Corporation with two or more continuous years of service who is employed in an office supplying postal services to the public
- an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- a Justice of the Peace
- 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 court
- a magistrate
- a chief executive officer of a Commonwealth court
- a registrar or deputy registrar of a court
- an Australian police officer
- an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership
- a notary public (for the purposes of the Statutory Declarations Regulations 1993)

10 Declaration

I/we declare that the information in this form (including each supporting document)

- is complete and correct
- if it is about another person, has been provided with the authority of that person (if required)
- may be used in connection with any products, services or benefits I/we hold, apply for, request or obtain, and
- subject to their Privacy obligations, may be disclosed to and used by the providers of such products, services or benefits to facilitate compliance with anti-money laundering and counter-terrorist financing legislation.

I/we acknowledge that it is a criminal offence to knowingly provide:

- false or misleading information on this form, or
- false documents in support of any information on this form.

These declarations are given by the company named in Sections 2, 3 or 4 of this form and by any signatories signing this form.

Any individual authorised to sign or transact on behalf of the investor must be appointed in accordance with the relevant application form, product disclosure statement or any other relevant disclosure document.

1st signature.....Date.....

Name of signatory.....

2nd signature.....Date.....

Name of signatory.....

11 Office Use Only

Customer identification verified by:

- Certified copies Register search Customer identification documentation attached



12 Definitions

Australian company means a company (other than a foreign company) that is registered by ASIC under the Corporations Act 2001 (Cth).

Australian financial market means a financial market operated by:

- a) Australia Pacific Exchange Limited
- b) Australian Securities Exchange Limited
- c) Bendigo Stock Exchange Limited
- d) Stock Exchange of Newcastle Limited or
- e) any other prescribed financial markets for the purposes of section 9 of the Corporations Act 2001 (Cth), as amended or replaced from time to time.

Australian listed company means an Australian company that is a public company included in the official list of an Australian financial market.

Foreign company means a company that is incorporated in a country other than Australia and its Territories.

Foreign financial market means a financial market operated by:

- American Stock Exchange;
- Borsa Italiana;
- Bourse de Paris;
- Bursa Malaysia Main Board and Bursa Malaysia Second Board;
- Eurex Amsterdam;
- Frankfurt Stock Exchange;
- Hong Kong Stock Exchange;
- JSE Securities Exchange;
- London Stock Exchange;
- NASDAQ National Market;
- New York Stock Exchange;
- New Zealand Stock Exchange;
- Stock Exchange of Singapore;
- SWX Swiss Exchange;
- Tokyo Stock Exchange;
- Toronto Stock Exchange; and
- any other financial market that the financial planner's licensee and Pengana agree.

Listed company means:

- a) an Australian listed company;
- b) a foreign company registered with ASIC that is a company included in the official list of an Australian financial market; or
- c) a foreign company (whether or not registered with ASIC) that is a company whose shares, in whole or in part, are listed for quotation in the official list of a foreign financial market.

Public company includes any foreign company that is a listed company and not a private company.