



Know Your Customer Information Trust

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 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 Trust Details

Full name of trust

.....

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

.....

Type of trust: select from registered scheme, government superannuation fund, regulated trust (refer to section 18 for definition and specify the type of regulated trust) or other (please specify)

.....

Country where trust was established

.....

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

.....

2 Trustee Details

Full details are required for one of the trustees. Please select the trustee for this purpose and indicate below whether the trustee is an individual or company. If you answer No to all questions in section 11, proof of identity will be required for this trustee. See Section 15 for proof of identity details.

Individual Trustee - Go to Section 3

Company Trustee - Go to Section 4

3 Individual Trustee Details

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

Given Names.....

Date of Birth

Residential Address (must not be a PO Box)

Address

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

Proceed to Section 11 Trust Details



Please staple all relevant material together

4 Company Trustee Details

Please select company type

- Australian Company - Go to Section 5
- Foreign Company registered by ASIC - Go to Section 6
- Foreign Company not registered by ASIC - Go to Section 7

5 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, as above No Yes (please see below)

Address

.....

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

Proceed to Section 8 Company Details

6 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

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

.....

Registered Office Address in Australia (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 8 Company Details

7 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



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.....
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.....

8 Company Details

Please select 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 Australian financial market on which that 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:
.....

Country of formation/incorporation/registration
.....

Refer to Section 18 for the definition of "Australian listed company", "listed company" and a list of relevant Australian and foreign financial markets

9 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?



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Director 1

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

Given Names.....

Director 2

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

Given Names.....

Director 3

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

Given Names.....

Director 4

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

Given Names.....

10 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

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

Given Names.....

Residential Address (must not be a PO Box)

.....

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

Country.....

Major Shareholder 2

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

Given Names.....

Residential Address (must not be a PO Box)

.....

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

Country.....

Major Shareholder 3

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

Given Names.....

Residential Address (must not be a PO Box)

.....

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

Country.....

Major Shareholder 4

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

Given Names.....



Please staple all relevant material together

Residential Address (must not be a PO Box)

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

Proceed to section 11 Trust Details

11 Trust Details

Is this trust a managed investment scheme registered by ASIC? Yes No

If yes, please provide the Australian Registered Scheme Number (ARSN)

Is this trust a regulated trust? (refer to Section 18 for the definition of a regulated trust)

Yes No

If yes, please provide the following details:

The name of the regulator

Australian Business Number (ABN) or relevant registration/licencing details

Is this trust a government superannuation fund established by legislation? Yes No

If yes, please provide the name of the relevant legislation

Is this trust an unregistered managed investment scheme **AND** does its trust deed require all members to be wholesale clients (as defined by the Corporations Act 2001) **AND** are you providing a trust deed?

Yes No

If you have answered no to all questions in this section please provide proof of identity for this trustee as per the identification procedure in section 15.

12 Details for Additional Trustees

If you answered No to all questions in Section 11, you are required to provide details of all trustees.

Numbers of trustees within the trust

(Excluding the trustee named in Section 3 or 4 of this form)

If insufficient space, please complete and attach a separate sheet.

Additional Trustee 1

Please select the type of trustee: Individual Company

Individual

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

Given

Names.....

Company

Full name of company.....

Residential Address (for individual) or Company Address (must not be a PO Box)

Address.....



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

Additional Trustee 2

Please select the type of trustee: Individual Company

Individual
Title..... Surname.....
Given
Names.....

Company
Full name of company.....

Residential Address (for individual) or Company Address (must not be a PO Box)

Address.....
Suburb..... State..... Postcode.....
Country.....

Additional Trustee 3

Please select the type of trustee: Individual Company

Individual
Title..... Surname.....
Given
Names.....

Company
Full name of company.....

Residential Address (for individual) or Company Address (must not be a PO Box)

Address.....
Suburb..... State..... Postcode.....
Country.....

Additional Trustee 4

Please select the type of trustee: Individual Company

Individual
Title..... Surname.....
Given
Names.....

Company
Full name of company.....

Residential Address (for individual) or Company Address (must not be a PO Box)

Address.....
Suburb..... State..... Postcode.....
Country.....



Please staple all relevant material together

13 Trust Beneficiary Details

Do not complete this section if you have answered Yes to any questions in Section 11.

Do the terms of the trust identify the beneficiaries by reference to membership of a class (refer to Section 18 for example of class)

- Yes. Provide beneficiary class:
- No. Please complete details below for each beneficiary of the trust

Number of beneficiaries within the trust

If insufficient space, please complete and attach a separate sheet.

Trust Beneficiary 1

Title..... Surname.....
Given Names.....

Trust Beneficiary 2

Title..... Surname.....
Given Names.....

Trust Beneficiary 3

Title..... Surname.....
Given Names.....

Trust Beneficiary 4

Title..... Surname.....
Given Names.....

14 Agent Details

This section must be completed where the customer has authorised a person (the Agent) to enter into transaction on the customer'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.

15 Identification Procedure

Proof of identity must be provided with this form for any trusts which are not one of the following:

- A managed investment scheme registered by ASIC
- A regulated trust (see Section 18 for the definition of a regulated trust)
- A government superannuation fund established by legislation

In relation to the trust, one of the following documents must be provided:

- a certified copy of the trust deed
- a notice (such as a notice of assessment) issued by the Australian Taxation Office within the last 12 months
- a letter from a solicitor or qualified accountant verifying the name of the trust

In relation to the identified Trustee:

If the Trustee is an individual, a certified copy of one of the following documents must be provided:

- Current Australian State or Territory Driver's Licence containing your photograph
- Australian Passport that is current or has expired within the preceding two years
- Card issued under a State or Territory law, for the purpose of providing a person's age, containing a photograph of the person in whose name the card is issued
- Foreign government issued passport (or similar international travel document) that contains your photograph and signature.

If the Trustee is a foreign company not registered with ASIC 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.

If the Trustee is an Australian company or a foreign company registered with ASIC no further documents are required.

We may contact you if other documents are required.

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

If you are unable to provide one of 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)
- 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



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- 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)

16 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 trustees of the trust named in Section 1 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 other relevant disclosure document.

1st signature..... Date.....
 Name of signatory.....

2nd signature..... Date.....
 Name of signatory.....

17 Office Use Only

Customer identification verified by:.....

- Certified copies Register search Customer identification documentation attached

18 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:

- Australia Pacific Exchange Limited
- Australian Securities Exchange Limited
- Bendigo Stock Exchange Limited
- Stock Exchange of Newcastle Limited or
- 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

Membership of a class includes for example unit holders of the relevant trust, family members of a named person/named persons, etc.

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

Regulated trust means a trust that is:

- a) a self-managed superannuation fund within the meaning of section 19 of the Superannuation Industry (Supervision) Act 1993 (Cth): the relevant regulator is the Australian Taxation Office;
- b) a regulated superannuation fund, an approved deposit fund, a pooled superannuation trust, or a public sector superannuation scheme, within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth), including small APRA-regulated funds: the relevant regulator is the Australian Prudential Regulation Authority; or
- c) any other trust that we agree is a trust that is registered and subject to regulatory oversight of a Commonwealth statutory regulator in relation to its activities as a trust.