





# Know Your Customer Information Individual/Sole Trader

Please staple all relevant material together

### Principal Place of Business Address, if any (must not be a PO Box)

Same as residential address, or  
Address .....  
  
Suburb.....State.....Postcode.....Country.....

### 4 Agent Details

This section must be completed where the investor has authorised a person (the Agent) to enter into transactions on the investor’s behalf. If space is insufficient, 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 a Power of Attorney) must be provided. In addition, the Agent must also complete a “Know Your Customer Information” form.

### 5 Identification Procedure

#### Proof of identity must be provided with this form

An original or 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.

When 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)



# Know Your Customer Information Individual/Sole Trader

Please staple all relevant material together

- 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
- 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)

## 6 Declaration

I 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 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 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.

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.....

## 7 Office Use Only

Customer identification verified by: .....

- Certified copies                       Register search                       Customer identification documentation attached