

# Application Form

## Australian Company/ Trust/ Superannuation Fund/ Custodian

Issued Date: 1 December 2023

Use this Application Form if you wish to invest in the fund(s) listed in **Section 16**.

Ironbark Asset Management (Fund Services) Limited ('Ironbark') is the responsible entity of the fund(s). Ironbark is responsible for providing client services for the fund(s).

Each person should obtain and read the Product Disclosure Statement ('PDS') and Target Market Determination ('TMD') (collectively '**disclosure documents**') before making a decision about whether to make an investment into the Fund(s). You can access a copy of the current disclosure documents, any updated information, and the Application Form free of charge from our website [www.ironbarkam.com](http://www.ironbarkam.com), or by contacting Ironbark client services on 1800 034 420, or through your financial adviser. Information in the disclosure documents may change from time to time, and Ironbark will update this information by updating the relevant document or by publishing an update on the Ironbark website.

### Checklist

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Before posting State Street Australia Ltd (the '**Unit Registry**') your Application Form, please ensure you have:

- Read the current disclosure documents and any incorporated information and any disclosure update notices for the relevant fund(s).
- Completed this Application Form in full.
- Provided the required investor identity verification documents as outlined in **Section 14**.
- If paying by electronic funds transfer, ensure the application monies are transferred at the same time as lodging your Application Form, referencing your investor name in the payment description in **Section 17**.
- Read the declaration and have provided all relevant signatures in **Section 19**.

### Contact details

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Mail your completed Application Form with wet ink signature(s) and supporting identity verification documents to validate your identity to the Unit Registry.

#### **Unit Registry Mailing Information:**

**Ironbark Asset Management (Fund Services) Limited**  
**C/- State Street Australia Ltd – Unit Registry**  
**Level 14, 420 George Street**  
**Sydney NSW 2000**

If you have any questions regarding this Application Form, please contact Ironbark on 1800 034 402.

**Privacy Collection Notice:** When you provide instructions to Ironbark or Ironbark's service providers or delegates, Ironbark and Ironbark's service providers or delegates will be collecting personal information about you. This information is needed to facilitate, administer, and manage your investment, and to comply with Australian taxation laws and other laws and regulations. Otherwise, your application may not be processed or Ironbark and Ironbark's service providers or delegates will not be able to administer or manage your investment. You should refer to the Ironbark Privacy Policy for more detail about the personal information that Ironbark collects and how Ironbark collects, uses and discloses your personal information which is available on the Ironbark website at [www.ironbarkam.com/privacy-policy/](http://www.ironbarkam.com/privacy-policy/).

**Terms and conditions for collection of Tax File Numbers ('TFN') and Australian Business Numbers ('ABN'):** The collection of TFN and ABN information is authorised and its use and disclosure strictly regulated by tax laws and the Privacy Act. Investors must only provide an ABN instead of a TFN when the investment is made in the course of their enterprise. You are not obliged to provide either your TFN or ABN, but if you do not provide either or claim an exemption, we are required to deduct tax from your distribution at the highest marginal tax rate plus Medicare levy to meet Australian taxation law requirements. For more information about the use of TFNs for investments, contact the enquiries section of your local branch of the Australian Taxation Office. Once provided, your TFN will be applied automatically to any future investments in the Fund(s) where formal application procedures are not required (e.g. distribution reinvestments), unless you indicate, at any time, that you do not wish to quote a TFN for a particular investment. Exempt investors should attach a copy of the certificate of exemption. For super funds or trusts list only the applicable ABN or TFN for the super fund or trust.

#### **TFN exemption codes:**

- |  |   |
|--|---|
| <b>E</b> Investments held by pension and benefit recipients – please write the full name of the benefit you receive.                                       | <b>N</b> Non-residents – please provide your country of residence for tax purposes. |
| <b>O</b> Entities not required to lodge an income tax return – please provide the reason as to why the entity does not have to lodge an income tax return. | <b>D</b> Do not wish to quote TFN.  |
| <b>X</b> Other exemption – please provide us with any other reason for your exemption.   |   |

# Application Form: Australian Company/ Trust/ Superannuation Fund/ Custodian

PLEASE USE BLOCK LETTERS TO COMPLETE THIS FORM

## 1. Investment details

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Please indicate (X) if this is a new investment and you:

**Do not have** an existing account for another investment with the same Unit Registry (Please proceed to **Section 2**)

**Do have** an existing account for another investment with the same Unit Registry

Refer to **Section 16** for the list of applicable funds that share the same Unit Registry, State Street Australia Ltd.

### Link existing account to this application

If you wish to link your new investment to your existing account, please provide us with your account information below. Please note that your existing investment must be held in the same account name and must be administered by the same Unit Registry as the new fund(s) that you are applying into.

Existing account name:

Existing unit holder code:

If any of your information has changed since your prior investment, please complete **Sections 2 to 4**.

If there has been no change to your investor details, please proceed to **Section 5**.

## 2. Australian entity type

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Please indicate (X) the entity type:

Company (please complete **Sections 3, 4, 6-19**)

Custodian (please complete **Sections 3, 4, 7-19**)

Superannuation fund or other regulated trust with individual trustee (please complete **Sections 3, 5, 7-19**)

Superannuation fund or other regulated trust with company trustee (please complete **Sections 3, 4a, 5, 7-19**)

Unregulated trust with individual trustee (please complete **Sections 3, 5-19**)

Unregulated trust with Company trustee (please complete **Sections 3-19**)

*For the purposes of this form a regulated trust will be one of the following:*

- *Self-managed Superannuation Fund;*
- *Registered managed investment scheme;*
- *Unregistered managed investment scheme that has only wholesale clients and does not make small scale offerings (with reference to section 1012E of the Corporations Act 2001);*
- *Government Superannuation Fund; or*
- *Other regulated trusts (subject to oversight of an Australian statutory regulator).*

*For the purposes of this form an unregulated trust will be a trust not subject to oversight of an Australian statutory regulator (e.g. family trust, discretionary trust, charitable trust).*

### 3. Contact details

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Please provide your contact details.

Email address:

Mobile:

Telephone (business hours)

C/- (if applicable):

Level / unit number:

PO Box (if applicable)

Street number and name:

Suburb:

State:

Postcode:

Country:

### 4. Australian Company (including company trustee/custodian)

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#### 4A. Details of Australian company

Full name of company or  
company trustee  
(as registered with ASIC):

Business name (if applicable):

ACN:

ABN:

TFN:

Tax exemption:

*\* I acknowledge that should I choose not to provide my TFN, ABN or specific exemption, then tax will be deducted from my distributions at the highest marginal tax rate.*

**Non-residents:** If you are an overseas investor eligible to invest in the Fund(s), please indicate your country of residence for tax purposes.

Country:

#### Principal place of business (cannot be a PO Box)

C/- (if applicable):

Street number and name:

Suburb:

State:

Postcode:

Country:

#### Registered address (cannot be a PO Box)

Registered address is same as principal place of business (above)

Street number and name:

Suburb:

State:

Postcode:

Country

**Details of Company type - please complete questions 1 and 2 below.**

1. Please indicate (X) whether the company is a public or proprietary company:

Public (company whose name does NOT include the word Pty or proprietary).

Proprietary (company whose name ends with Proprietary Ltd or Pty Ltd; also known as private company). *For proprietary companies provide names of all directors:*

Director 1:

Director 2:

Director 3:

Director 4:

If there are additional directors, please (X) this box and provide their full names on a separate piece of paper and attach it to this form.

2. Please indicate (X) the applicable category of company and provide details if requested:

Licensed by an Australian Commonwealth, State or Territory statutory regulator and subject to supervision beyond that provided by ASIC as a company registration body (e.g. Australian Financial Services Licensees (AFSL) or Australian Credit Licensees (ACL).

Name of regulator:

License details (e.g. 2140, 203):

If the company is investing as a company in its own right proceed to section 7.  
If the company is acting as a trustee of a regulated trust proceed to section 5.  
If the company is acting as a trustee of an unregulated trust proceed to section 4B.  
If the company is acting as a custodian proceed to section 4D.

A listed company (e.g. ASX)

If the company is investing as a company in its own right proceed to section 7.  
If the company is acting as a trustee of a regulated trust proceed to section 5.  
If the company is acting as a trustee of an unregulated trust proceed to section 4B.

A majority owned subsidiary of an Australian listed company

Name of listed company:

If the company is investing as a company in its own right proceed to section 7.  
If the company is acting as a trustee of a regulated trust proceed to section 5.  
If the company is acting as a trustee of an unregulated trust proceed to section 4B.  
If the company is acting as a custodian proceed to section 4D.

Subsidiary of a company licensed by an Australian Commonwealth, State or Territory statutory regulator and subject to a supervision beyond that provide by ASIC as a company registration body.

Name of listed company:

Name of regulator:

Proceed to section 4B

None of the above. Proceed to section 4B.

**4B. Substantial Shareholder details - You do not need to complete if the company is a trustee of a regulated trust.**

Substantial Shareholders are individuals with ultimate ownership, directly or indirectly, of 25% or more of the company's issued share capital.

Ultimate ownership includes an individual's aggregated holdings through a chain of company ownership. Does the company have any substantial shareholders?

Yes. Please provide details below.

No. Proceed to section 4C.

**Substantial shareholder 1**

Surname:

Full given name(s):

Date of birth:

**Residential address of shareholder 1 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**Substantial shareholder 2**

Surname:

Full given name(s):

Date of birth:

**Residential address of shareholder 2 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**Substantial shareholder 3**

Surname:

Full given name(s):

Date of birth:

**Residential address of shareholder 3 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**Substantial shareholder 4**

Surname:

Full given name(s):

Date of birth:

**Residential address of shareholder 4 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

If there are additional substantial shareholders, please (X) this box and provide their full names on a separate piece of paper and attach it to this form.

**4C. Directors authorising investment – You do not need to complete if the company is a trustee of a regulated trust.**

Individuals below will be the signatories signing in section 19.

**Sole or Primary Director**

Cross this box if same as 'Substantial shareholder 1' in section 4B. If different, please complete below.

Surname:

Full given name(s):

Title (Mr/Mrs/Miss/Ms)

Date of birth:

**Residential address of Sole or Primary Director (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**Second Director or Secretary**

Cross this box if same as 'Substantial shareholder 2' in section 4B. If different, please complete below.

Surname:

Full given name(s):

Title (Mr/Mrs/Miss/Ms)

Date of birth:

**Residential address of Second Director or Secretary (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**4D. Custodian – Only complete this section if you are a company acting as a custodian for this investment. All other companies should complete all relevant parts of section 4 before continuing to section 5.**

Full name (if any) of trust /custodial arrangement:

Country of establishment:

Full business name:

Type of trust:

Please confirm (X) the following information: In completing this section, I acknowledge that the company is acting as a custodian for this investment and the following information is correct;

- The company is providing a custodial or depository designated service as described in the Anti-Money Laundering and Counter-Terrorism
- Financing Act 2006 ('AML/CTF Act')
- The company holds either an AFSL allowing it to provide custodial or depository services or is exempt from holding such an AFSL;
- The company is enrolled on the AUSTRAC Reporting Entities Roll; and
- The company has satisfied all applicable customer identification and ongoing customer due diligence obligations, in accordance with the
- AML/CTF Act, on the underlying customer(s).

These statements are correct – proceed to section 5.

These statements are not correct – You must complete sections 4A, 4B and 4C before proceeding to section 5.

## 5. Superannuation Fund and other Trusts

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### 5A. Details of Superannuation fund or other trust

Full name of superannuation fund/ trust:

Country of establishment:

ABN:

TFN:

Tax exemption:

*\*I acknowledge that should I choose not to provide my ABN, TFN or specific exemption, then tax will be deducted from my distributions at the highest marginal tax rate.*

#### Postal address

C/- (if applicable):

Street number and name:

Suburb:

State:

Postcode:

Country:

#### Contact details

Telephone (business hours):

Mobile:

Email address:

Please select (X) type of trust and provide information requested:

Self-Managed Superannuation Fund Provide the SMSF's ABN. Proceed to section 5C. ABN:

Registered managed investment scheme. Provide Australian Registered Scheme Number (ARSN). Proceed to section 5C. ARSN:

Unregistered managed investment scheme that has only wholesale clients and does not make small scale offerings (with reference to section 1012E of the Corporations Act 2001 (Cth)). Proceed to section 5C.

Government superannuation fund. Provide the name of the legislation establishing the fund. Proceed to section 5C. Name:

Other regulated Trusts (a trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund)

Provide name of the regulator (e.g. ASIC, APRA, ATO):

Provide the Trust's ABN or registration/licensing details:

Proceed to section 5C.

Unregulated Trust (e.g. family trust, discretionary trust, charitable trust).

Please confirm type of trust:

Name of trust settlor (the individual who contributed the initial funding on trust establishment):

Proceed to section 5B.

**5B. Trust beneficiary details - This section is only required for unregulated trusts.**

Substantial trust beneficiaries are individuals specified in the trust deed with ultimate entitlement, directly or indirectly to 25% or more of trust income/assets. Where a trust beneficiary is a company you must consider an individual's ownership of any issued share capital of the company when disclosing whether they are a substantial trust beneficiary.

Does the Trust Deed specify any substantial trust beneficiaries?

Yes. Please provide details below, then proceed to 'Other beneficiaries' below.

No. Proceed to 'Other beneficiaries' below.

**Substantial trust beneficiary 1**

Surname:

Full given name(s):

Date of birth:

**Residential address of trust beneficiary 1 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**Substantial trust beneficiary 2**

Surname:

Full given name(s):

Date of birth:

**Residential address of trust beneficiary 2 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:



**Other beneficiaries**

Are there any other beneficiaries?

Yes. Please provide details below, then proceed to 'Beneficiary classes' below.

Surname:

Full given name(s):

Surname:

Full given name(s):

Surname:

Full given name(s):

If there are other beneficiaries, please (X) this box and provide their full names on a separate piece of paper and attach it to this form. Then proceed to 'Beneficiary classes' below.

No. Proceed to 'Beneficiary classes' below.

**Beneficiary classes**

Does the trust deed refer to beneficiaries in relation to membership of a class?

Yes. Please list each class below.

Class 1:

Class 2:

If there are other beneficiary classes, please (X) this box and provide them on a separate piece of paper and attach it to this form.

No. Proceed to 5C.

**5C. Details of Superannuation fund or other trust**

Please indicate (X) the trustee type:

Individual Trustee(s). Please complete below.

Company Trustee. Please ensure you have completed section 4. Then proceed to section 6.

Complete the below sections for the indicated individual. Please note that all fields are mandatory.

**Individual Trustee 1 (Primary Trustee)**

Surname:

Full given name(s):

Title (Mr/Mrs/Miss/Ms)

Date of birth:

**Residential address of Trustee 1 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

**Individual Trustee 2 (If the trust is unregulated, please provide details of second trustee below)**

Surname:

Full given name(s):

Title (Mr/Mrs/Miss/Ms)

Date of birth:

**Residential address of Trustee 2 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

For regulated trusts Proceed to **Section 7**.

For unregulated trusts, are there other individual trustees?

Yes. If there are other individual trustees, please (X) this box and provide their details (as shown above) on a separate piece of paper and attach it to this form.

No. Proceed to **Section 6**.

**6. Other individuals controlling the entity**

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Only complete this section if you were required to complete sections 4B and 4C (as a company or company trustee) or sections 5B and 5C (as an unregulated trust).

Are there any individuals exercising control over your entity other than those already listed in sections 4 and 5 of this form?

If your entity is a Trust with Company Trustee, consider both the Trust and the Company Trustee when answering this question.

Yes. Please provide their details below.

No. Proceed to **Section 7**.

**Individual 1**

Capacity/role:

Surname:

Full given name(s):

Title (Mr/Mrs/Miss/Ms)

Date of birth:

**Residential address of Individual 1 (cannot be a PO Box)**

Street number and name:

Suburb:

State:

Postcode:

Country:

## Individual 2

Capacity/role:

Surname:

Full given name(s):

Title (Mr/Mrs/Miss/Ms)

Date of birth:

### Residential address of Individual 2 (cannot be a PO Box)

Street number and name:

Suburb:

State:

Postcode:

Country:

If there are more individuals controlling the entity, please indicate (X) this box and provide their roles, full names, dates of birth and residential addresses on a separate piece of paper.

## 7. Source of application monies (required)

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Please indicate (X) the source of the application monies being invested:

Income from employment – regular and/or bonus

Investment income (e.g. rent, dividends, pension)

Business income

One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)

Sale of assets (e.g. shares, property)

Windfall (e.g. gift, lottery winnings)

Borrowed monies

Charitable donations

Superannuation monies

## 8. Bank account details

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### 8A. Bank account details (if an Australian financial institution)

This will be the bank account Ironbark will credit any withdrawal proceeds and distributions (if elected to be paid to bank). If you wish to nominate an international financial institution, please proceed to **Section 8B**.

The nominated account must be in the name of the applicant(s). No third-party payments are allowed. By providing your nominated account details in this section you authorise Ironbark to use these details for all future transaction requests that you make until you provide updated information.

Warning: We are not liable for loss of funds should you provide incorrect payment information.

Australian financial institution:

Branch name:

Account name:

Branch number (BSB):

Account number:

**8B. Bank account details (if an international financial institution)**

For Ironbark to make a payment in Australian dollar denominated currency to an international financial institution, please nominate a bank account below.

Intermediary bank name:

Intermediary BSB:

Beneficiary bank name, and address  
or BIC/SWIFT code:

Account number of beneficiary bank  
at intermediary bank:

Beneficiary name(s):

Account number of beneficiary  
at beneficiary bank:

**9. Financial adviser (complete if applicable)**

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I am a financial adviser completing this Application Form on behalf of the investor(s).

I have provided personal financial advice to the investor(s) named in this Application Form, taking into account their personal needs, objectives, financial and taxation situation (having regard to the nature and any complexities of this product), have complied with all requirements of the Corporations Act and applicable law in relation to this investment by the investor(s) and have provided the investor(s) with a Statement of Advice.

All details in this form are true and correct and I indemnify Ironbark against any liabilities arising from acting on any of the information provided by me in connection with the investors(s) application which are deliberately false or misleading.

Name of the advisory firm:

Adviser group AFSL number:

Name of the dealer group:

Name of the adviser:

Telephone (business hours):

Email address of the adviser:

Email address of the advisory firm:

**Customer Identification Procedure**

Following completion of the customer identification procedure, please indicate (X):

I have **provided** the Unit Registry the appropriate customer Identification documents on this investor(s) which meets the AML/CTF Act.

OR

I have **not provided** the Unit Registry the customer identification documents on this investor(s) which meets the AML/CTF Act. I will retain and agree to provide them to Ironbark on request.

If I cease being the financial adviser for the investor(s), I will notify the Unit Registry at that time.

Adviser signature:

Date:

## 10. Authorised representative, Agent or Power of Attorney (complete if applicable)

Complete this section if you are completing this Application Form as an agent under a direct authority such as a Power of Attorney ('POA'). You must also complete the section relevant to the investor(s) that you are acting on behalf of.

I/we would like to appoint an authorised representative or agent to operate on this account

OR

I am an agent under a Power of Attorney or the investor's legal or nominated representative, and have provided/confirm:

- The POA document is an original or certified copy;
- The POA document has been signed by the investor(s);
- The POA document is current and complete; and
- The POA document permits the attorney/agent (you) to transact on behalf of the investor(s)

The appointed Power of Attorney can do the following things in respect of my/our investments in the Fund:

- Change my/our account details relating to my/our investment in the fund(s);
- Obtain details of my/our investments in the fund(s);
- Issue investment and/or withdrawal instructions on my/our behalf relating my/our investments in the fund(s); and
- Issue instructions as to how my/our investment distributions are to be paid.

Full name of Authorised representative/Agent/POA:

Title of role in relation to the investor(s)<sup>3</sup>

Signature:

Date:

<sup>3</sup>Role in relation to the investor can be but not limited to: Accountant, margin lender, legal guardian, executor etc.

*I/we acknowledge/agree: To release, discharge, and agree to indemnify Ironbark from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from Ironbark acting on the instructions of my/our authorised representatives, agents and/or nominees.*

*The Attorney declares that they have not received notice of revocation of that Power (a certified copy of the Power of Attorney should be submitted with the Application Form unless the Unit Registry has already sighted it).*

## 11. Additional information

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Complete this section if any of the below conditions apply to your entity:

- Any of the individuals listed on this form have their residential address or tax residency outside Australia; or
- Entity is investing \$1m or more; or
- Entity is a charity, aid organisation, foundation or a not-for-profit organisation.

Purpose or activities  
of the entity:

Date of formation:

Please indicate (X) primary source of the overall wealth of the entity:

Investment income (e.g. rent, dividends, pension)

Business income

One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)

Sale of assets (e.g. shares, property)

Borrowed monies

Charitable donations

Indicate (X) the primary source of the overall wealth of all individuals listed in this application form. You may select multiple options that apply.

Income from employment – regular and/or bonus

Investment income (e.g. rent, dividends, pension)

Business income

One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)

Sale of assets (e.g. shares, property)

Windfall (e.g. gift, lottery winnings)

Borrowed monies

Government benefits (e.g. family tax benefits)

Is your entity a charity, aid organisation, foundation or a not-for-profit organisation?

Yes – Does it provide financial or other support to recipients overseas?

Yes      Please list destination countries:

No

No

## 12. Global tax reporting requirements (CRS/FATCA)

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Information about investors that are foreign tax residents must be reported to the Australian Taxation Office (ATO) in accordance with international tax reporting standards and laws to which Australia is subject. These include the OECD Common Reporting Standard (CRS) and United States Foreign Account Tax Compliance Act (FATCA). If you require further information on Australia's obligations under CRS or FATCA, please visit the ATO website [www.ato.gov.au](http://www.ato.gov.au).

You do not need to complete this section if you are an Australian Superannuation Fund.

### 12A. Entity Type

1.

A Financial Institution (A custodial or depository institution, an investment entity or specified insurance company for FATCA/CRS purposes).

Provide the entity's Global Intermediary Identification Number (GIIN), if applicable:

If the entity is a Financial Institution but does not have a GIIN, provide its FATCA status (select one)

Deemed Compliant Financial Institution

Excepted Financial Institution

Exempt Beneficial Owner

Non Reporting IGA Financial Institution (If the Entity is a Trustee-

Documented trust, provide the Trustee's GIIN)

Non participating Financial Institution

US Financial Institution

Other (Describe the Company's FATCA status in the box provided)

Please answer the question below for all Financial Institutions

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?

Yes. Please proceed to **Section 12B** (Foreign Controlling Persons).

No. Proceed to **Section 15**.

2.

Public Listed Company, Majority Owned Subsidiary of a Public Listed Company, Governmental Entity, International Organisation, Central Bank, an Australian Registered Charity or Deceased Estate. Proceed to **Section 15**.

3.

A Foreign Charity or an Active Non-Financial Entity (NFE) (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income.

For other types of Active NFEs, refer to section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)

If the entity is a Foreign Charity or an Active NFE, please proceed to **Section 12C** (Country of Tax Residency).

4.

Other (Entities that are not previously listed – Passive Non-Financial Entities). Please proceed to **Section 12B** (Foreign Controlling Persons).

**12B. Foreign Controlling Persons**

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.

Are any of the individuals listed in the application form (as directors, substantial shareholders, trustees, trust settlors or trust beneficiaries) tax residents of countries other than Australia?

Yes. Please provide each individual's full name, date of birth, residential address, country of tax residence and tax identification number (TIN) or an equivalent below. Please include multiple countries and TINs, if applicable.

No. Proceed to **Section 12C**.

A TIN 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.

**Individual 1:**

Full name: \_\_\_\_\_ Date of birth \_\_\_\_\_  
Residential address  
(if not previously provided): \_\_\_\_\_  
Country 1: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_  
Country 2: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_  
Country 3: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_

**Individual 2:**

Full name: \_\_\_\_\_ Date of birth \_\_\_\_\_  
Residential address  
(if not previously provided): \_\_\_\_\_  
Country 1: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_  
Country 2: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_  
Country 3: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_

**Individual 3:**

Full name: \_\_\_\_\_ Date of birth \_\_\_\_\_  
Residential address  
(if not previously provided): \_\_\_\_\_  
Country 1: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_  
Country 2: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_  
Country 3: \_\_\_\_\_ TIN: \_\_\_\_\_ If no TIN, list reason A, B or C: \_\_\_\_\_

**Reason A** – The country of tax residency does not issue TINs to tax residents.  
**Reason B** – I have not been issued with a TIN.  
**Reason C** – The country of tax residency does not require the TIN to be disclosed.



## 12C. Country of tax residency for entity

Is the entity a tax resident of a country other than Australia?

Yes. Please provide the entity's country of tax residence and TIN or equivalent below. If the entity is a tax resident of more than one other country, please list all relevant countries below.

Country 1:	TIN:	If no TIN, list reason A, B or C:
Country 2:	TIN:	If no TIN, list reason A, B or C:
Country 3:	TIN:	If no TIN, list reason A, B or C:
Country 4:	TIN:	If no TIN, list reason A, B or C:

**Reason A** – The country of tax residency does not issue TINs to tax residents.

**Reason B** – I have not been issued with a TIN.

**Reason C** – The country of tax residency does not require the TIN to be disclosed.

No.

## 13. Communication elections (required for investor(s) and adviser)

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Generally, all correspondence regarding your investment (**including investor statements**) will be sent to you via email.

Please confirm your preferred email address for future correspondence regarding your investment (including the email address of yourself, Financial Adviser, agent if applicable).

Email address 1:

Email address 2:

Email address 3:

*I/we acknowledge: By providing my/our email address, I/we agree to receive important disclosure documents and confirmation of transactions and additional information as applicable via email.*

If you would prefer to receive communication by mail, please indicate **(X)**:

I would prefer to receive communication by mail to the postal address provided in **Section 3**

### 13A. Annual Financial Report

The annual financial report(s) for the fund(s) in which you invest are available from 30 September each year. To receive a copy, please indicate **(X)** your communication preference below:

I will access the annual financial report(s) online at [www.ironbarkam.com](http://www.ironbarkam.com)

I would like to receive an electronic copy of the annual financial report(s)

I would like to receive a paper copy of the annual financial report(s)

If no election is made, you can access a copy online at [www.ironbarkam.com](http://www.ironbarkam.com). To change your elected preference, you can contact Ironbark.

### 13B. Notice of Meeting

Ironbark may at any time convene a meeting of investors to consider any matter, including resolutions for a fund. Please indicate **(X)** your communication preference below:

I would like to receive an electronic copy of the notice of meeting

I would like to receive a paper copy of the notice of meeting

If no election is made, and we have a valid email address, an electronic copy will be provided. To change your elected preference, you can contact Ironbark.

## 14. Investor identity verification

If you are lodging this application through a financial adviser, they are required to provide us with copies of the identity verification documents. If you are not lodging this application through a financial adviser, you are required to provide us with certified copies of the identity verification documents. Please see below for a list of who can certify the documents.

### 14A. Individuals associated with the company or trust

#### Individuals

- Primary Individual Trustee 1 of unregulated trust if you completed section 5C.
- Second Individual Trustee 2 of unregulated trust if you completed section 5C and are signing this application form.
- Each substantial trust beneficiary of the unregulated trust if you completed section 5B.
- Each substantial shareholder (of company or company trustee) if you completed section 4B.
- Primary/Sole Director and Second Director/Secretary (of company or company trustee) if you completed section 4C.
- Any other controlling individuals listed in section 6.

Please provide either A or B.

#### A. A valid copy of one of the following documents:

- Australian driver's licence containing your photograph; or
- Australian passport containing your photograph and signature; or
- A card issued under an Australian State or Territory law containing your photograph and proof of age.

#### B. If you are unable to provide a document from A, please provide one document from Group 1 and one document from Group 2 below:

Group 1	Group 2
<p>A copy of one of the following documents:</p> <ul style="list-style-type: none"> <li>Australian birth certificate or birth extract; or</li> <li>Australian citizenship certificate; or</li> <li>Pension or Health care card issued by Centrelink or Department of Veterans' Affairs.</li> </ul>	<p><i>The document must contain your full name and current residential address as shown in <b>Section 3</b> of this Application Form.</i></p> <p>A copy of one of the following documents issued to you:</p> <ul style="list-style-type: none"> <li>a notice or bill issued within the preceding three months from a local government body or utilities provider that records the provision of services to you, e.g.: <ul style="list-style-type: none"> <li>• <i>council rates notice</i></li> <li>• <i>electricity bill</i></li> <li>• <i>gas bill</i></li> </ul> </li> <li>a letter or notice issued to you within the preceding 12 months from the ATO that records a debt or refund payable by or to you, e.g.: <ul style="list-style-type: none"> <li>• <i>notice of assessment</i></li> </ul> </li> </ul>

#### If you are a non-Australian resident and cannot provide A or B, please provide a valid copy of ONE of the following:

- foreign passport, or similar travel document bearing your signature and photograph; or
- national identity card issued by a foreign government that contains your photograph, and either your signature or your unique identifier; or
- foreign driver's license that contains your photograph.

#### Please note:

- *documents are required to be certified copies of the original;*
- *documents such as passports, driver's licences and other cards that have an expiry date must not have expired*
- *if any document is in a language other than English, then it must be accompanied by an English translation prepared by an accredited translator; and*
- *if any document is in a previous name, then it must be accompanied by evidence of the change of name (e.g. a marriage certificate).*

Please see **Section 15** for a list of who can certify the documents.

## 14B. Company (including corporate trustees)

For a company acting as a trustee, you must also complete **section 14C** in relation to the Trust

<b>Information required to be verified</b> Please ensure the document(s) you provide confirm(s) the following (A or B):	<b>Verification options</b> Please cross (X) which document(s) you have provided:
A. whether the company is: <ul style="list-style-type: none"> <li>• listed; or</li> <li>• a majority owned subsidiary of a listed company; or</li> <li>• regulated.</li> </ul>	up-to-date extract from the ASX database (if applicable); or  public document issued by the company; or  up-to-date extract from the relevant regulator's database (if regulated).
B. if the company is none of these, the: <ul style="list-style-type: none"> <li>• full name of the company; and</li> <li>• whether the company is registered as a proprietary or a public company; and</li> <li>• ACN.</li> </ul>	certificate of registration issued by ASIC; or  up-to-date extract from ASIC database.

## 14C. Trust

For an unregulated trust with individual trustee, you must also complete **Section 14A**.

<b>Information required to be verified</b> Please ensure the document(s) you provide confirm(s) the following:	<b>Verification options</b> Please cross (X) which document(s) you have provided:
Regulated superannuation fund (incl. SMSF) or other <ul style="list-style-type: none"> <li>• full name of Superannuation Fund or Trust; and</li> <li>• type of Superannuation Fund or Trust.</li> </ul>	Self-Managed Superannuation Funds, registered schemes, other regulated trusts or government superannuation funds  up-to-date extract from ATO or APRA (e.g. SMSF or other superannuation fund); or  up-to-date extract from ASIC (e.g. registered scheme); or  up-to-date extract of the legislation establishing the government superannuation fund sourced from a government website.
Unregulated trusts <ul style="list-style-type: none"> <li>• full name of Trust;</li> <li>• name of Trust settlor.</li> </ul>	Unregulated trusts  provide documentation confirming the existence of the Trust and the name of the settlor (e.g. trust deed or extract of the trust deed).

**14D. Custodial arrangement - If the custodian does not satisfy the requirements set out in section 4D, you must complete sections 14A, 14B and 14C as applicable.**

You must also complete A in Company verification (see above) with below information.

<p><b>Information required to be verified</b></p> <ul style="list-style-type: none"><li>• Whether company is regulated, listed or a majority owned subsidiary of a listed company;</li><li>• Existence of the custodial arrangement;</li><li>• Full name of the custodian; and</li><li>• ACN.</li></ul>	<p><b>Verification options</b></p> <p>Please cross (X) which document(s) you have provided – <b>you must provide A and either B or C</b>.</p> <ul style="list-style-type: none"><li><b>A.</b> Investor guide, PDS or other public document issued by the company confirming the existence of a custodial arrangement; <b>and</b></li><li><b>B.</b> Up-to-date extract of search of relevant regulator’s database (e.g. ASIC database) (if regulated); <b>or</b></li><li><b>C.</b> Up to date extract from the ASX database (if listed or a majority owned subsidiary of a listed entity).</li></ul>
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## 15. Certification of investor identity documents

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### How to certify your documents

A certified copy is a document that has been certified as a true copy of an original document. To certify a document, take the original document and a photocopy to one of the people listed in the categories below and ask them to certify that the photocopy is a true and correct copy of the original document. That person will need to print their name, date and the capacity in which they are signing (e.g. postal agent, Justice of the Peace).

Sample wording:

*I, [full name], a [category of persons listed below], certify that this [name of document] is a true and correct copy of the original.*

*[Signature and date]*

Documents in a language other than English must be accompanied by an English translation prepared by an accredited translator.

### Who can certify documents?

- |  |   |
|--|---|
| <b>Financial corporations<br/>(bank, building society,<br/>credit union)</b> | <ul style="list-style-type: none"><li>• Officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li><li>• 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 (Cth))</li><li>• 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</li></ul> |
| <b>Post office</b>   | <ul style="list-style-type: none"><li>• Permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public</li><li>• Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li></ul>  |
| <b>JP</b>  | <ul style="list-style-type: none"><li>• Justice of the Peace</li></ul>  |
| <b>Legal</b>   | <ul style="list-style-type: none"><li>• 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>• Judge of a court</li><li>• Magistrate</li><li>• Chief executive officer of a Commonwealth court</li><li>• Registrar or deputy registrar of a court</li><li>• Notary public (for the purposes of the Statutory Declaration Regulations 1993 (Cth))</li><li>• A person authorised as a notary public in a foreign country</li></ul>  |
| <b>Police</b>  | <ul style="list-style-type: none"><li>• Australian police officer</li></ul>   |
| <b>Diplomatic service</b>  | <ul style="list-style-type: none"><li>• Australian consular officer</li><li>• Australian diplomatic officer (within the meaning of the Consular Fees Act 1955 (Cth))</li></ul>  |
| <b>Accountant</b>  | <ul style="list-style-type: none"><li>• Member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants (CPA) Australia or the National Institute of Accountants with two or more years of continuous membership</li></ul>  |

## 16. Investment and distribution method

Fund name	APIR code	PDS Date	Minimum initial investment	Investment Amount	Distribution options (mark (X) one option per Fund) <sup>1</sup>	
					Reinvest	Credit into nominated bank account
<b>FIXED INCOME</b>						
Principal Global Credit Opportunities Fund	PGI0001AU	20/09/2022	\$ 20,000			

If the initial investment amount is made through a transfer, provide transfer form available on the website signed by both transferor and transferee.

<sup>1</sup>Your distribution will be automatically reinvested in the Fund(s) if you DO NOT indicate your preference to have your distribution directly credited to your nominated bank account.

Before making an investment decision, you should consider obtaining professional investment advice that takes into account your personal circumstances and should read the current disclosure documents before making an investment decision to acquire or to continue to hold units in a Fund. Please ensure you meet the description of the respective fund's Target Market as outlined in its TMD. TMDs for each fund are available from Ironbark's website at [www.ironbarkam.com](http://www.ironbarkam.com), or by contacting your financial adviser or Ironbark.

## 17. Unit Registry mailing information and electronic funds transfer

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When you transfer your investment amount, use your investor name as reference, and mail the form to the Unit Registry at the same time as transferring your application monies to mitigate a delay in opening your account.

### Unit Registry details for mailing this Application Form and identity verification documents:

Ironbark Asset Management (Fund Services) Limited  
C/- State Street Australia Ltd – Unit Registry  
Level 14, 420 George Street  
Sydney NSW 2000

### Payment method for the investment amount stated in Section 16:

#### Bank account to transfer application monies

Account Name: State Street Australia Limited ACF IBFS ARE Principal Global Investors  
Financial Institution: Westpac Banking Corporation  
BSB: 032 143  
Account Number: 446 831

**Cheque** - Cheques drawn on an Australian bank account should be made payable to 'SSAL ACF IBFS ARE Principal Global Investors'

## 18. Product Suitability Questions

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Please answer the following questions in relation to the Fund(s) you have selected.

All questions are mandatory.

### 1. Have you received advice prior to applying to invest in the Funds(s)?

Yes – I/We have received personal advice in relation to my investment in this fund

No – I/We have not received personal advice in relation to my investment in this fund

### 2. What is your primary investment objective?

Capital growth (increased value of your investment over time)

Capital guaranteed (shielding your investment from any losses)

Capital preservation (preserving the value of your investment and preventing loss)

Income distribution (received regular income from your investment)

### 3. What is your intended use of this investment in your investment portfolio?

Solution / Standalone (your primary investment – 75% - 100% of portfolio)

Satellite / small allocation (a small part of your investment – less than 25% of portfolio)

Core component (a large proportion of your investment – 25% - 75% of portfolio)

### 4. What is your intended use investment timeframe?

Short term (less than 2 years)

Long term (more than 8 years)

Medium (more than 2 years)

**5. What is your tolerance for risk (your ability to bear loss)?**

Low - The consumer is conservative or low risk in nature, seeks to minimise potential and is comfortable with a low target return profile.

High - The consumer is higher risk in nature and can accept higher potential in order to target a higher target return profile.

Medium - The consumer is moderate or medium risk in nature, seeking to minimise potential losses and comfortable with a moderate target return profile.

Very High - The consumer has a more aggressive or very high risk appetite, seeks to maximise returns and can accept higher potential and possibly other risk factors, such as leverage).

**6. What is anticipate your withdrawals needs may be?**

Daily

Weekly

Annually or longer

Monthly

Quarterly



## 19. Declaration and applicant(s) signature(s)

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Please read the declarations below before submitting this application.

I/We declare/acknowledge that I/We:

- are 18 years of age or over and I am/we are eligible to hold units in the Fund(s) issued by Ironbark in which I/we have chosen to invest;
- have received and have accepted this offer in Australia;
- have received and read a copy of the relevant current disclosure documents and all information incorporated into these disclosure documents to which this Application Form applies;
- will be bound by the provisions of this Application Form at the date of signing and the terms of the relevant disclosure documents;
- agree that if all relevant information required by the Application Form is not provided, Ironbark may not be able to accept the application;
- agree that should I/we choose not to provide my ABN, TFN or specific exemption, then tax will be deducted from my distributions at the highest marginal tax rate (plus the Medicare levy, and any other levies we are required to deduct from time to time). Refer to TFN exemption codes on page 1;
- agree that joint applicants or signatories who allow either investors or signatories to give instructions in relation to an investment in the Fund(s) will bind other investors or signatories for all transactions in connection with the investment, including changes to account details and transactions on the investment;
- agree that details provided to Ironbark in this Application Form and related documents are true and correct. In the event that these details change, Ironbark will be notified promptly in writing;
- agree to indemnify Ironbark against any liabilities arising from acting on information provided with this Application Form and related documents if unclear, false or misleading;
- agree and acknowledge that Ironbark may be required to act on any proposed transaction or activity as required for the purposes of AML/CTF Act or relevant laws;
- agree that if there is a financial adviser appointed, that the details regarding the investment can be provided to the financial adviser named in the Application Form, or anyone directly associated to the financial adviser's practice named in the Application Form;
- consent to the transfer of any personal information to external third parties including, but not limited to, fund administrators, fund investment manager(s), related corporate bodies and government agencies who are located in and outside Australia for the purpose of administering the products and services for which I/we have applied as permitted by law;
- agree that where Ironbark, in its sole discretion, determines that:
  - I/we are ineligible to hold units in a Fund(s) or have provided misleading information in my/our Application Form; or
  - I/we owe any amounts to Ironbark,
- then I/we appoint Ironbark as my/our agent to submit a withdrawal request in respect of all or part of the units in the Fund(s);
- agree that Ironbark is not responsible for the delays in receipt of an Application Form caused by the postal service or by a delay in processing of payments by my/our financial institution;
- agree that Ironbark is not liable for any loss or delay as a result of an electronic communication not received by Ironbark;
- agree and acknowledge that Investing in the Fund(s) is subject to investment risk, including possible delays in repayment and loss of income and principal invested; and
- agree and acknowledge that Ironbark, any investment manager or any other person does not guarantee the performance of the Fund(s), or the return and/or payment of capital and/or income.

**For individual trustees, at least the primary trustee must sign this section. For Australian companies and company trustees we require the signature(s) of either a sole director, or two directors, or one director and the company secretary**

**Signature 1**

Signature:

Date:

Surname:

Given name(s):

Capacity:

- Director
- Company Secretary
- Primary Trustee (Individual)

**Signature 2**

Signature:

Date:

Surname:

Given name(s):

Capacity:

- Director
- Company Secretary
- Secondary Trustee (Individual)

COMPANY SEAL