



Client Services contact details

P +61 3 9221 6255

E contact@corcapital.com.au

Application Form

Cor Capital Fund

1. This application form accompanies the Product Disclosure Statement ('PDS')/Information Memorandum ('IM') relating to units in the Cor Capital Fund issued by Equity Trustees Limited (ABN 46 004 031 298, AFSL 240975). The PDS/IM contains information about investing in the Fund/Trust. You should read the PDS/IM in its entirety before applying.

The law prohibits any person passing this Application Form on to another person unless it is accompanied by a complete PDS/IM.

- If completing by hand, use a black or blue pen and print within the boxes in BLOCK LETTERS, if you make a mistake, cross it out and initial. DO NOT use correction fluid
- The investor(s) must complete and sign this form
- Keep a photocopy of your completed Application Form for your records

U.S. Persons: This offer is not open to any U.S. Person. Please refer to the PDS/IM for further information.

2. **Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")**

We are required to collect certain information to comply with FATCA and CRS, please ensure you complete section 7.

3. **If investing with an authorised representative, agent or financial adviser**

Please ensure you, your authorised representative, agent and/or financial adviser also complete Section 6.

4. **Provide certified copies of your identification documents**

Please refer to section 9 on AML/CTF Identity Verification Requirements.

5. **Send your documents & make your payment**

See section 2 for payment options. Send your completed Application Form to:

Send by Post: Cor Capital Fund
GPO BOX 804
Melbourne VIC 3001

Scan and email to: corcapital_transactions@unitregistry.com.au

Please ensure you have completed all relevant sections, attached all required documentation and signed the Application form.

6. **Transfer your application money to us**

Please refer to section 2, subsection 3 (Page 4).

Section 1 Your consumer attributes

To assist the RE in meeting the Design and Distribution Obligations, you are required to indicate the purpose of your investment by responding to each of the questions set out below. Your responses should reflect your objectives and needs for this Investment. Please tick only 1 box for each question below.

The below only needs to be answered where you are a direct retail investor (i.e., does not apply to Indirect or intermediated investments such as those made by platforms, custodians, etc.). If you are not a retail investor you may be required to provide a wholesale certificate to support your application.

Further information in relation to these questions can be found in the Target Market Determination (TMD) for the Fund. If you wish to access the TMD, please visit

<https://www.eqt.com.au/insto/>

1. Have you received advice prior to applying to invest in the Fund?

- ☐ I/We have **received personal advice** in relation to my investment in this Fund
- ☐ I/We have **not received any advice** in relation to my investment in this Fund

2. What is your primary investment objective(s)?

- ☐ Capital growth
- ☐ Capital preservation
- ☐ Income distribution

3. What percentage of your total investable assets are you directing to this fund?

- ☐ 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%)

4. Please select your Intended investment timeframe

- ☐ **Short Term**
(Up to and including 2 years)
- ☐ **Medium Term**
(More than 2 years but less than 5 years)
- ☐ **Medium to Long Term**
(equal to 5 years but less than 7 years)
- ☐ **Long Term**
(7 years or more)

5. What is your tolerance for risk?

- ☐ **Low risk and return**
I/we can tolerate up to 1 period of underperformance over 20 years and a low target return from this investment.
- ☐ **Medium risk and return**
I/we can tolerate up to 4 periods of underperformance over 20 years and a moderate target return from this investment.
- ☐ **High risk and return**
High risk and return- I/we can tolerate up to 6 periods of underperformance over 20 years in order to achieve higher returns this investment.
- ☐ **Very High risk and return**
I/we can tolerate more than 6 periods of underperformance over 20 years (high volatility and potential losses) in order to achieve accelerated returns from this investment.
- ☐ **Extremely high risk and return**
I/We can tolerate significant volatility and losses as I/we are seeking to obtain accelerated returns.

6. Under normal circumstances, within what period do you expect to be able to access your funds for this investment?

- ☐ Within one week
- ☐ Within one month
- ☐ Within three months
- ☐ Within one year
- ☐ Within five years
- ☐ Within ten years
- ☐ More than ten years
- ☐ At the Issuer's discretion

Please note:

1. Failure to complete the above questions may result in your application not being accepted;
2. Acceptance of your application should not be taken as a representation or confirmation that an investment in the Fund is, or is likely to be, consistent with your intentions, objectives and needs as indicated in your responses to these questions; and
3. For further information on the suitability of this product, please refer to your financial adviser and/or the TMD

Section 1A Are you an existing investor in the Fund/Trust and wish to add to your investment?

Do you have an existing investment in the Fund/Trust and the information provided remains current and correct?

☐ **Yes** – DO NOT COMPLETE THIS FORM.
Complete the Additional Investment Form available at www.corcapital.com.au

☐ **No**, please complete sections relevant to you as indicated below:

Investor Type

- ☐ **Individuals/Joint**
Complete section 2, 3, 6 (if applicable), 7, 8 & 9
- ☐ **Companies**
Complete section 2, 4, 6 (if applicable), 7, 8 & 9
- ☐ **Custodians on behalf of underlying clients**
Complete section 2, 4, 5, 5.1, 6 (if applicable), 7, 8 & 9
- ☐ **Trusts/superannuation funds:**
- with an individual trustee - complete sections 2, 3, 5, 6 (if applicable), 7, 8 & 9
 - with a company as a trustee – complete sections 2, 4, 5, 6 (if applicable), 7, 8 & 9

If you are an Association, Co-operative, Government Body or other type of entity not listed above, please contact Cor Capital.

Section 2 Investment details

Investment to be held in the name(s) of (must include name(s) of investor(s))

1. Postal address

Property name/building name (if applicable)

Unit/Level

Street number

Street name (or PO Box or other mail details if applicable)

Suburb

State

Postcode

Country

Email address

Contact no.

Fund Name	APIR code	Application Amount (AUD)
Cor Capital Fund	COR0001AU	AUD \$

The minimum initial investment is \$25,000

2. Distribution Instructions

If you do not select a distribution option, we will automatically reinvest your distribution. If you select cash, please ensure you provide your bank details below.

☐ **Reinvest distributions.** If you select this option your distribution will be reinvested in the Fund/Trust

☐ **Pay distributions to the bank.** If you select this option your distribution will be paid to the bank account below

Investor bank details

For withdrawals and distributions (if applicable), these must match the investor(s)' name and must be an AUD-denominated bank account with an Australian domiciled bank.

Financial institution name

Branch name

BSB number

Account number

Account name

3. Payment of Application Amount

☐ **Cheque** – payable to
SS&C Solutions ARF Cor Capital Fund Application Account

☐ **Direct credit** – pay to:
National Australia Bank Limited, 500 Bourke Street,
Melbourne VIC 3000
BSB number 083-001
Account number 677 825 266
Account Name SS&C Solutions ARF Cor Capital
Application Account

Reference

☐ **Direct debit** – complete below:

I/We request and authorise SS&C Solutions Pty Ltd (Direct Debit User ID 411595) to arrange, through its own financial institution, a debit to my/our nominated account any amount Equity Trustees Limited has deemed payable by me/us. This debit or charge will be made through the Bulk Electronic Clearing System ("BECS") from my/our account held at the financial institution I/we have nominated below and will be subject to the "Direct Debit terms and conditions" (contained in the PDS/IM).

Financial institution name

Branch name

BSB number

Account number

Account name

☐ **BPAY® Telephone and Internet Banking**

You can make your payment using telephone or internet banking. You will need to quote the biller code and your investor number (for reference) when making this payment. Initial applications made by BPAY® will be processed once we receive your funds. We will not issue units until we receive the money from your financial institution. Although your BPAY® transaction is processed from your financial institution account immediately, your funds may take some time to be transferred to us from your financial institution.

Fund	BPAY® Details
Cor Capital Fund	 Biller code: 384958 Reference number: [Investor Number]

® Registered to BPAY Pty Ltd ABN 69 079 137 518

4. Acknowledgement

By signing and/or providing Equity Trustees Limited with a valid instruction in respect to my/our direct debit request, I/we have understood and agreed to the terms and conditions governing the debit arrangements between me/us and Equity Trustees Limited as set out in the "Direct Debit terms and conditions" (contained in the PDS/IM).

Signature of investor 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- ☐ Director
☐ Sole director and company secretary
☐ Authorised signatory

Signature of investor 2, director/company secretary
or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- ☐ Director
☐ Sole director and company secretary
☐ Authorised signatory

5. Source of investment

Please indicate the source of the investment amount
(e.g. retirement savings, employment income):

6. Send your completed Application Form to:

Send by Post: Cor Capital Fund
GPO BOX 804
Melbourne VIC 3001

Scan and send to: corcapital_transactions@unitregistry.com.au

**Please ensure you have completed all relevant sections,
attached all relevant documentation and signed the
Application Form.**

Section 3 Investor details – Individuals/Joint (including when acting as trustee)

Please complete if you are investing individually, jointly or you are an individual or joint trustee.

Investor 1

Title First name(s)

Surname

Residential address

(not a PO Box/RMB/Locked Bag)

Unit/Level Street number

Street name

Suburb State

Postcode Country

Email address

This email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material). By providing your email address you also agree to the terms for electronic communications outlined in the PDS. This also includes your registration for the Cor Capital Online Portal.

☐ Alternatively, please indicate here if you prefer to receive all correspondence by post.

Contact number

Date of birth (DD/MM/YYYY)
 DD / MM / YYYY

Tax File Number (or exemption code)

Country of birth

Occupation

Does the investor named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are you an immediate family member or a business associate of such a person?

☐ No ☐ Yes: please give details:

Investor 2

Title First name(s)

Surname

Residential address

(not a PO Box/RMB/Locked Bag)

Unit/Level Street number

Street name

Suburb State

Postcode Country

Email address

Contact number

Date of birth (DD/MM/YYYY)
 DD / MM / YYYY

Tax File Number (or exemption code)

Country of birth

Occupation

Does the investor named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are you an immediate family member or a business associate of such a person?

☐ No ☐ Yes: please give details:

If there are more than 2 registered owners, please provide details as an attachment.

[See Group A AML/CTF Identity Verification Requirements in Section 9](#)

Section 4 Investor details – Companies/Corporate Trustee

Please complete if you are investing for a company or where the company is acting as trustee.

Full company name
(as registered with ASIC or relevant foreign registered body)

Registered office address
(not a PO Box/RMB/Locked Bag)

Unit/Level

Street number

Street name

Suburb

State

Postcode

Country

Australian Company Number

Tax File Number* (or exemption code)

Australian Business Number* (if registered in Australia)
or equivalent foreign company identifier

Contact Person

Title

First name(s)

Surname

Email address

This email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material). By providing your email address you also agree to the terms for electronic communications outlined in the PDS. This also includes your registration for the Cor Capital Online Portal.

☐ Alternatively, please indicate here if you prefer to receive all correspondence by post.

Contact number

Principal place of business
If the principal place of business is the same as the registered office street address, state 'As above' below. Otherwise provide address details. For foreign companies registered with ASIC please provide a local agent name and address if you do not have a principal place of business in Australia.

Unit/Level

Street number

Street name

Suburb

State

Postcode

Country

Controlling Persons, Directors and Beneficial Owners

All beneficial owners who own, hold or control either directly or indirectly 25% or more of the issued capital of a proprietary or private company that is not regulated i.e. does not have an AFSL or ACLN etc., will need to provide Group A AMUCTF Identity Verification Requirements specified in Section 9. In the case of an unregulated public company not listed on a securities exchange, provide the details of the senior managing official(s) as controlling person(s) (e.g. managing director, senior executive(s) etc. who is/are authorised to sign on the company's behalf, and make policy, operational and financial decisions) in the following sections. All proprietary and private companies, whether regulated or unregulated, must provide the names of all of the directors.

Names of the Directors of a Proprietary or Private Company whether regulated or unregulated:

1

2

3

4

If there are more than 4 directors, please write the other names below.

Names of the Beneficial Owners or Senior Managing Official(s):

Select:

- ☐ Beneficial owner 1 of an unregulated proprietary or private company; OR
- ☐ Senior Managing Official of an unregulated, unlisted, public (e.g. Limited) company

Title	First name(s)
Surname	
Residential address (not a PO Box/RMB/Locked Bag)	
Suburb	State
Postcode	Country
Date of birth (DD/MM/YYYY)	

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are you an immediate family member or a business associate of such a person?

☐ **No** ☐ **Yes:** please give details:

Select:

- ☐ Beneficial owner 2 of an unregulated proprietary or private company; OR
- ☐ Senior Managing Official of an unregulated, unlisted, public (e.g. Limited) company

Title	First name(s)
Surname	
Residential address (not a PO Box/RMB/Locked Bag)	
Suburb	State
Postcode	Country
Date of birth (DD/MM/YYYY)	

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are you an immediate family member or a business associate of such a person?

☐ **No** ☐ **Yes:** please give details:

If there are more than 2 beneficial owners or controlling persons, please copy and complete this page for the other persons or alternatively, provide the additional details as an attachment.

[See Group B AML/CTF Identity Verification Requirements in Section 9.](#)

Section 5 Investor Details – Trusts/superannuation funds

Please complete if you are investing for a trust or superannuation fund.

See Group C AML/CTF Identity Verification Requirements in section 9

Full name of trust or superannuation fund

Full name of business (if any)

Country where established

Australian Business Number* (if obtained)

Tax File Number* (or exemption code)

Trustee details

How many trustees are there?

☐

Individual trustee(s)

Complete section 3 – Investor details – Individuals/Joint

☐

Company trustee(s)

Complete section 4 – Investor details – Companies/Corporate Trustee

☐

Combination

Trustee(s) to complete each relevant section

Type of trust

☐

Registered Managed Investment Scheme

Australian Registered Scheme Number (ARSN)

☐

Regulated Trust

Name of Regulator (e.g. ASIC, APRA, ATO, ACNC)

Registration/Licence details

☐

Other Trust (unregulated)

Please describe

Beneficiaries of an unregulated trust

Please provide details below of any beneficiaries who directly or indirectly are entitled to an interest of 25% or more of the trust.

1

2

3

4

If there are no beneficiaries of the trust, describe the class of beneficiary (e.g. the name of the family group, class of unit holders, the charitable purpose or charity name):

Settlor details

Please provide the full name and last known address of the settlor of the trust where the initial asset contribution to the trust was greater than \$10,000.

☐

This information is not required if the initial asset contribution was less than \$10,000; AND/OR

☐

This information is not required if the settlor is deceased.

Settlor's full name and last known address:

Beneficial owners of an unregulated trust

Please provide details below of any beneficial owner of the trust. A beneficial owner is any individual who directly or indirectly has a 25% or greater interest in the trust or is a person who exerts control over the trust. This includes the appointer of the trust who holds the power to appoint or remove the trustees of the trust.

Beneficial owner 1 or Controlling Person 1

Select:

- ☐ Beneficial Owner 1; OR
☐ Controlling Person - what is the role e.g. Appointer:

Title First name(s)

Surname

Residential address (not a PO Box/RMB/Locked Bag)

Suburb

State

Postcode

Country

Date of birth (DD/MM/YYYY)

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are you an immediate family member or a business associate of such a person?

☐ No ☐ Yes: please give details:

Beneficial Owner 2 or Controlling Person 2

Select:

- ☐ Beneficial Owner 2; OR
☐ Controlling Person - what is the role e.g. Appointer:

Title First name(s)

Surname

Residential address (not a PO Box/RMB/Locked Bag)

Suburb

State

Postcode

Country

Date of birth (DD/MM/YYYY)

If there are more than 2 beneficial owners, please provide details as an attachment.

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are you an immediate family member or a business associate of such a person?

☐ No ☐ Yes: please give details:

If there are more than 2 beneficial owners or controlling persons, please copy and complete this page for the other persons or alternatively, provide the additional details as an attachment.

All beneficial owners will need to provide Group A AML/CTF Identity Verification Requirements in Section 9.

Section 5.1 Custodian Attestation: Chapter 4, parts 4.4.18 and 4.4.19 of the AML/CTF Rules

If you are a Company completing this Application Form on behalf of an individual, another company, a trust or other entity, in a Custodial capacity, please complete this section.

In accordance with Chapter 4, part 4.4.19 (1)(a) to (d) of the AML/CTF Rules, does the Custodian meet the definition (see ‘Section 10 – Glossary’) of a Custodian?

☐ No ☐ Yes

In accordance with Chapter 4, part 4.4.19 (e) of the AML/CTF Rules, do you, in your capacity as Custodian attest that prior to requesting this designated service from Equity Trustees, it has carried out and will continue to carry out, all applicable customer identification procedures on the underlying account holder named or to be named in the Fund’s register, including conducting ongoing customer due diligence requirements in accordance with Chapter 15 of the AML/CTF Rules?

☐ No ☐ Yes

If you answered YES to all of the above questions, then Equity Trustees is able to apply the Chapter 4, part 4.4 Custodian rules to this account and will rely upon the customer due diligence conducted by the Custodian on the underlying account holder named or to be named in the Fund’s register.

If requested to do so at any time after the provision of this designated service, the Custodian agrees to honour any reasonable request made by Equity Trustees for information or evidence about the underlying account holder in order to allow Equity Trustees to meet its obligations under the AML/CTF Act.

☐ No ☐ Yes

Excepting the below circumstances where the custodian answered NO or did not complete any of the above questions, no other information about the underlying account holder is required to be collected. However, further information about you as the Custodian and as a company is required to be collected and verified as required by the AML/CTF rules. Please complete the rest of this form for the Custodian.

Excepting circumstances:

If you answered NO or did not complete any of the above questions, then we are unable to apply the Chapter 4, part 4.4 Custodian rules to this application. We are therefore obligated to conduct full Know Your Client procedures on the underlying account holder named or to be named in the Fund’s register including any named nominee, as well as the trustees, beneficial owners and controlling persons of the underlying named account in addition to the Custodian. Therefore, please complete the relevant forms and provide identity documents for all parties connected to this account.

Section 6 Authorised representative, agent and/or financial adviser

Please complete if you are appointing an authorised representative, agent and/or financial adviser.

☐ I am an **authorised representative** or **agent** as nominated by the investor(s)

See Group D AML/CTF Identity Verification Requirements in Section 9

You must attach a valid authority such as Power of Attorney, guardianship order, grant of probate, appointment of bankruptcy etc. that is a certified copy. The document must be current and complete, signed by the investor or a court official and permits the authorised representative or agent to transact on behalf of the investor.

Full name of authorised representative or agent

Role held with investor(s)

Signature

Date (DD/MM/YYYY)

 / /

☐ I am a **financial adviser** as nominated by the investor

Name of adviser

AFSL number

Dealer group

Name of advisory firm

Postal address

Suburb

State

Postcode

Email address

Contact no.

Financial Advice (only complete if applicable)

☐ The investor has received personal financial product advice in relation to this investment from a licensed financial adviser and that advice is current.

Financial Adviser Declaration

☐ I/We hereby declare that I/we are not a US Person as defined in the PDS/IM.

☐ I/We hereby declare that the investor is not a US Person as defined in the PDS/IM.

☐ I/We have attached the relevant CIP documents.

Signature

Date (DD/MM/YYYY)

 / /

Access to information

Unless you elect otherwise, your authorised representative, agent and/or financial adviser will be provided access to your investment information and/or receive copies of statements and transaction confirmations. By appointing an authorised representative, agent and/or financial adviser you acknowledge that you have read and agreed to the terms and conditions in the PDS/IM relating to such appointment.

☐ Please tick this box if you **DO NOT** want your authorised representative, agent and/or financial adviser to have access to information about your investment.

☐ Please tick this box if you **DO NOT** want copies of statements and transaction confirmations sent to your authorised representative, agent and/or financial adviser.

☐ Please tick this box if you want statements and transaction confirmations sent **ONLY** to your authorised representative, agent and/or financial adviser.

Section 7 Foreign Account Tax Compliance Act (FATCA), Common Reporting Standard (CRS) Self-Certification Form – ALL investors must complete

We are required by law under FATCA (US Foreign Tax Compliance Act) and CRS (Common Reporting Standard) to collect information about your tax status in jurisdictions other than Australia. Self-managed super funds (SMSFs) and other regulated super funds (e.g. APRA regulated super annuation funds, Australian Government or Semi-government superannuation funds or pooled superannuation trusts) are exempt and do not need to complete this form.

Sub-Section I Individuals

Please fill this Sub-Section I only if you are an individual.
If you are an entity, please fill Sub-Section II.

1. Are you a US citizen or resident of the US for tax purposes?

☐ **Yes:** provide your Taxpayer Identification Number (TIN) or equivalent (or Reason Code if no TIN is provided) below and continue to question 2

Investor 1

Investor 2

☐ **No:** continue to question 2

2. Are you a tax resident of any other country outside of Australia?

☐ **Yes:** state each country and provide your TIN or equivalent (or Reason Code if no TIN is provided) for each jurisdiction below and skip to question 12

Investor 1

Country/jurisdiction of tax residence:

TIN:

If no TIN available enter reason A, B or C:

Second country/jurisdiction of tax residence:

TIN:

If no TIN available enter reason A, B or C:

Investor 2

Country/jurisdiction of tax residence:

TIN:

If no TIN available enter reason A, B or C:

Second country/jurisdiction of tax residence:

TIN:

If no TIN available enter reason A, B or C:

If more space is needed please provide details as an attachment.

☐ **No:** skip to question 12

Reason Code:

If TIN or equivalent is not provided, please provide reason from the following options:

- **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents.
- **Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason).
- **Reason C:** No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

If **Reason B** has been selected, explain why you are not required to obtain a TIN:

Investor 1 Reason B explanation:

Investor 2 Reason B explanation:

Sub-Section II Entities

Please fill this Sub-Section II only if you are an entity. If you are an individual, please fill Sub-Section I.

3. Are you an Australian complying superannuation fund?

- ☐ **Yes:** skip to question 12
- ☐ **No:** continue to question 4

FATCA

4. Are you a US Person?

- ☐ **Yes:** continue to question 5
- ☐ **No:** skip to question 6

5. Are you a Specified US Person?

- ☐ **Yes:** provide your TIN below and skip to question 7
-
- ☐ **No:** indicate exemption type and skip to question 7
-

6. Are you a Financial Institution for the purposes of FATCA?

- ☐ **Yes:** provide your Global Intermediary Identification Number (GIIN)

If you do not have a GIIN, please provide your FATCA status below and then continue to question 7. If you are a sponsored entity, please provide your GIIN above and your sponsor's details below and then continue to question 7.

- ☐ **Exempt Beneficial Owner**, provide type below:
-
- ☐ **Deemed-Compliant FFI** (other than a Sponsored FI or a Trustee Documented Trust), provide type below:
-
- ☐ **Non-Participating FFI**, provide type below:
-
- ☐ **Sponsored Entity**. Please provide the Sponsoring Entity's name and GIIN:
-
- ☐ **Trustee Documented Trust**. Please provide your Trustee's name and GIIN:
-
- ☐ **Other**, provide details:
-

- ☐ **No:** Continue to question 7

CRS

7. Are you a tax resident of any country outside of Australia and the US?

- ☐ **Yes:** state each country and provide your TIN or equivalent (or Reason Code if no TIN is provided) for each jurisdiction below and continue to question 8

Investor 1

Investor 2

If more space is needed please provide details as an attachment.

Reason Code:

If TIN or equivalent is not provided, please provide reason from the following options:

- **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents.
- **Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason).
- **Reason C:** No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

If **Reason B** has been selected above, explain why you are not required to obtain a TIN:

Investor 1 Reason B explanation:

Investor 2 Reason B explanation:

☐ **No:** Continue to question 8

8. Are you a Financial Institution for the purpose of CRS?

☐ **Yes:** specify the type of Financial Institution below and continue to question 9

☐ Reporting Financial Institution

☐ Non-Reporting Financial Institution:

☐ Trustee Documented Trust

☐ **Other,** please specify:

☐ **No:** Skip to question 10

9. Are you an investment entity resident in a non-participating jurisdiction for CRS purposes and managed by another financial Institution?

☐ **Yes:** Skip to question 11

☐ **No:** Skip to question 12

Non-Financial Entities

10. Are you an Active Non-Financial Entity (Active NFE)?

☐ **Yes:** specify the type of Active NFE below and skip to question 12:

☐ Less than 50% of the Active NFE's gross income from the preceding calendar year is passive income (e.g. dividends, distribution, interests, royalties and rental income) and less than 50% of its assets during the preceding calendar year are assets held for the production of passive income

☐ Corporation that is regularly traded or a related entity of a regularly traded corporation

☐ Governmental Entity, International Organisation or Central Bank

☐ Other, please specify:

☐ **No:** you are a Passive Non-Financial Entity (Passive NFE). Continue to question 11

Controlling Persons

11. Does one or more of the following apply to you:

- Is any natural person that exercises control over you (for corporations, this would include directors or beneficial owners who ultimately own 25% or more of the share capital) a tax resident of any country outside of Australia?
- If you are a trust, is any natural person including trustee, protector, beneficiary, settlor or any other natural person exercising ultimate effective control over the trust a tax resident of any country outside of Australia?
- Where no natural person is identified as exercising control of the entity, the controlling person will be the natural person(s) who holds the position of senior managing official.

☐ **Yes:** provide controlling person information overleaf:

Controlling person 1

Title First name(s)

Surname

Residential address (not a PO Box/RMB/Locked Bag)

Suburb State

Postcode Country

Date of birth (DD/MM/YYYY)
 DD / MM / YYYY

Country/jurisdiction of tax residence:

TIN:

Reason Code if no TIN provided:

Second country/jurisdiction of tax residence:

TIN:

Reason Code if no TIN provided:

Controlling person 2

Title First name(s)

Surname

Residential address (not a PO Box/RMB/Locked Bag)

Suburb State

Postcode Country

Date of birth (DD/MM/YYYY)
 DD / MM / YYYY

Country/jurisdiction of tax residence:

TIN:

Reason Code if no TIN provided:

Second country/jurisdiction of tax residence:

TIN:

Reason Code if no TIN provided:

If there are more than 2 controlling persons, please provide details as an attachment.

Reason Code:

If TIN or equivalent is not provided, please provide reason from the following options:

- **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents.
- **Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason).
- **Reason C:** No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

If **Reason B** has been selected above, explain why you are not required to obtain a TIN:

Investor 1 Reason B explanation:

Investor 2 Reason B explanation:

☐ **No:** Continue to question 12

**12. FACTCA/CRS Signature and Declaration –
ALL investors must sign**

I undertake to provide a suitably updated self-certification within 30 days of any change in circumstances which causes the information contained herein to become incorrect.

I declare the information above to be true and correct.

Investor 1

Name of individual/entity

Name of authorised representative

Signature

Date (DD/MM/YYYY)

DD

/

MM

/

YYYY

Investor 2

Name of individual/entity

Name of authorised representative

Signature

Date (DD/MM/YYYY)

DD

/

MM

/

YYYY

Section 8 Declarations – ALL investors MUST complete

In most cases the information that you provide in this form will satisfy the AML/CTF Act, the US Foreign Account Tax Compliance Act ('FATCA') and the Common Reporting Standards ('CRS'). However, in some instances the Responsible Entity may contact you to request further information. It may also be necessary for the Responsible Entity to collect information (including sensitive information) about you from third parties in order to meet its obligations under the AML/CTF Act, FATCA and CRS.

When you complete this Application Form you make the following declarations:

- I/We have received the PDS/IM and made this application in Australia (and/or New Zealand for those offers made in New Zealand).
- I/We have read the PDS/IM to which this Application Form applies and agree to be bound by the terms and conditions of the PDS/IM and the Constitution of the relevant Fund/Trust in which I/we have chosen to invest.
- I/we have carefully considered the features of the Cor Capital Fund as described in the PDS (including its investment objectives, minimum suggested investment timeframe, risk level, withdrawal arrangements and investor suitability) and, after obtaining any financial and/or tax advice that I/we deemed appropriate, am/are satisfied that my/our proposed investment in the Cor Capital Fund is consistent with my/our investment objectives, financial circumstances and needs.*
- I/We have considered our personal circumstances and, where appropriate, obtained investment and/or taxation advice.
- I/We hereby declare that I/we are not a US Person as defined in the PDS/IM.
- I/We acknowledge that (if a natural person) I am/we are 18 years of age or over and I am/we are eligible to hold units in the Fund/Trust in which I/We have chosen to invest.
- I/We acknowledge and agree that Equity Trustees Limited has outlined in the PDS/IM provided to me/us how and where I/we can obtain a copy of the Equity Trustees Limited Group Privacy Statement.
- I/We consent to the transfer of any of my/our personal information to external third parties including but not limited to fund administrators, fund investment manager(s) and related bodies corporate who are located outside Australia for the purpose of administering the products and services for which I/we have engaged the services of Equity Trustees Limited or its related bodies corporate and to foreign government agencies for reporting purposes (if necessary).
- I/we hereby confirm that the personal information that I/we have provided to Equity Trustees Limited is correct and current in every detail, and should these details change, I/we shall promptly advise Equity Trustees Limited in writing of the change(s).
- I/We agree to provide further information or personal details to the Responsible Entity if required to meet its obligations under anti-money laundering and counter-terrorism legislation, US tax legislation or reporting legislation and acknowledge that processing of my/our application may be delayed and will be processed at the unit price applicable for the Business Day as at which all required information has been received and verified.
- If I/we have provided an email address, I/we consent to receive ongoing investor information including PDS/IM information, confirmations of transactions and additional information as applicable via email.
- I/We acknowledge that Equity Trustees Limited does not guarantee the repayment of capital or the performance of the Fund/Trust or any particular rate of return from the Fund/Trust.
- I/We acknowledge that an investment in the Fund/Trust is not a deposit with or liability of Equity Trustees Limited and is subject to investment risk including possible delays in repayment and loss of income or capital invested.
- I/We acknowledge that Equity Trustees Limited is not responsible for the delays in receipt of monies caused by the postal service or the investor's bank.
- If I/we lodge a fax application request, I/we acknowledge and agree to release, discharge and agree to indemnify Equity Trustees Limited from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from any fax application.
- If I/we have completed and lodged the relevant sections on authorised representatives, agents and/or financial advisers on the Application Form then I/we agree to release, discharge and indemnify Equity Trustees Limited from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from Equity Trustees Limited acting on the instructions of my/our authorised representatives, agents and/or financial advisers.
- If this is a joint application each of us agrees that our investment is held as joint tenants.
- I/We acknowledge and agree that where the Responsible Entity, in its sole discretion, determines that:
 - I/we are ineligible to hold units in a Fund/Trust or have provided misleading information in my/our Application Form; or
 - I/we owe any amounts to Equity Trustees Limited, then I/we appoint the Responsible Entity as my/our agent to submit a withdrawal request on my/our behalf in respect of all or part of my/our units, as the case requires, in the Fund/Trust.

- **For Wholesale Clients*** - I/We acknowledge that I am/we are a Wholesale Client (as defined in Section 761G of the Corporations Act 2001 (Cth)) and are therefore eligible to hold units in the Fund/Trust.
- **For New Zealand applicants*** - I/we have read the terms of the offer relating to New Zealand investors, including the New Zealand warning statement.
- **For New Zealand Wholesale Investors*** - I/We acknowledge and agree that:
 - I/We have read the “New Zealand Wholesale Investor Fact Sheet” and PDS/IM or “New Zealand Investors: Selling Restriction” for the Fund/Trust;
 - I am/We are a Wholesale Investor and am/are therefore eligible to hold units in the Fund/Trust; and
 - I/We have not:
 - Offered, sold, or transferred, and will not offer, sell, or transfer, directly or indirectly, any units in the Fund/Trust;
 - Granted, issued, or transferred, and will not grant, issue,

or transfer, any interests in or options over, directly or indirectly, any units in the Fund/Trust; and

- Distributed and will not distribute, directly or indirectly, the PDS/IM or any other offering materials or advertisement in relation to any offer of units in the Fund/Trust, in each case in New Zealand, other than to a person who is a Wholesale Investor; and
- I/We will notify Equity Trustees Limited if I/we cease to be a Wholesale Investor; and
- I/We have separately provided a signed Wholesale Investor Certification located at the end of this Application Form.
- All references to Wholesale Investor in this Declaration are a reference to Wholesale Investor in terms of clause 3(2) of Schedule 1 of the Financial Markets Conduct Act 2013 (New Zealand).

*Disregard if not applicable.

*Terms and conditions for collection of Tax File Numbers (TFN) and Australian Business Numbers (ABN)

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 ATO. Once provided, your TFN will be applied automatically to any future investments in the Fund/Trust 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.

When you sign this Application Form you declare that you have read, agree to and make the declarations above

Investor 1

Name of individual/entity

Capacity (e.g. Director, Secretary, Authorised signatory)

Signature

Date (DD/MM/YYYY)

 / /

Company Seal (if applicable)

Investor 2

Name of individual/entity

Capacity (e.g. Director, Secretary, Authorised signatory)

Signature

Date (DD/MM/YYYY)

 / /

Section 9 AML/CTF Identity Verification Requirements

The AML/CTF Act requires the Responsible Entity to adopt and maintain an anti-money laundering and counter-terrorism financing ('AML/CTF') program. The AML/CTF program includes ongoing customer due diligence, which may require the Responsible Entity to collect further information.

- Identification documentation provided must be in the name of the investor.
- Non-English language documents must be translated by an accredited translator.
- Applications made without providing this information cannot be processed until all the necessary information has been provided.
- If you are unable to provide the identification documents described please contact Equity Trustees Limited.

These documents should be provided as an original or a CERTIFIED COPY of the original.

Who can certify?

Below is an example of who can certify proof of ID documents under the AML/CTF requirements:

- Bailiff
- Bank officer with 5 or more years of continuous service
- Building society officer with 5 or more years of continuous service
- Chiropractor (licensed or registered)
- Clerk of court
- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with 5 or more years of continuous service
- Dentist (licensed or registered)
- Fellow of the National Tax Accountant's Association
- Finance company officer with 5 or more years of continuous service
- Judge of a court
- Justice of the peace
- Legal practitioner (licensed or registered)
- Magistrate
- Marriage celebrant licensed or registered under Subdivision C of Division 1 of Part IV of the Marriage Act 1961
- Master of a court
- Medical practitioner (licensed or registered)
- Member of Chartered Secretaries Australia
- Member of Engineers Australia, other than at the grade of student
- Member of the Association of Taxation and Management Accountants
- Member of the Australian Defence Force with 5 or more years of continuous service
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants
- Member of the Parliament of the Commonwealth, a State, a Territory Legislature, or a local government authority of a State or Territory
- Minister of religion licensed or registered under Subdivision A of Division 1 of Part IV of the Marriage Act 1961
- Nurse (licensed or registered)
- Optometrist (licensed or registered)
- Permanent employee of Commonwealth, State or local government authority with at least 5 or more years of continuous service.
- Permanent employee of the Australian Postal Corporation with 5 or more years of continuous service
- Pharmacist (licensed or registered)
- Physiotherapist (licensed or registered)
- Police officer
- Psychologist (licensed or registered)
- Registrar, or Deputy Registrar, of a court
- Sheriff
- Teacher employed on a full-time basis at a school or tertiary education institution
- Veterinary surgeon (licensed or registered)

When certifying documents, the following process must be followed:

- All copied pages of original proof of ID documents must be certified.
- The authorised individual must ensure that the original and the copy are identical; then write or stamp on the copied document "certified true copy". This must be followed by the date and signature, printed name and qualification of the authorised individual.
- In cases where an extract of a document is photocopied to verify customer ID, the authorised individual should write or stamp "certified true extract".

GROUP A Individuals/Joint (including when acting as trustee)

Each individual investor, individual trustee, beneficial owner, or individual agent or authorised representative must provide one of the following primary photographic ID:

- ☐ A current Australian driver's licence (or foreign equivalent) that includes a photo and signature.
- ☐ An Australian passport (or foreign equivalent) (not expired more than 2 years previously).
- ☐ An identity card issued by a State or Territory Government that includes a photo.
- ☐ A foreign passport or international travel document (must not be expired)

If you do NOT own one of the above ID documents, please provide one valid option from Column A and one valid option from Column B.

Column A	Column B
☐ Australian birth certificate. ☐ Australian citizenship certificate. ☐ Pension card issued by Department of Human Services.	☐ A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address. ☐ A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document. ☐ A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address). ☐ If under the age of 18, a notice that: was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school.

GROUP B Companies/Corporate Trustee

For Australian Registered Companies, provide one of the following (must clearly show the Company's full name, type (private or public) and ACN):

- ☐ A certified copy of the company's Certificate of Registration or incorporation issued by ASIC
- ☐ A copy of information regarding the company's licence or other information held by the relevant Commonwealth, State or Territory regulatory body e.g. AFSL, RSE, ACL etc.
- ☐ A full company search issued in the previous 3 months or the company's last annual statement issued by ASIC.
- ☐ If the company is listed on an Australian securities exchange, provide details of the exchange and the ticker (issuer) code.
- ☐ If the company is a majority owned subsidiary of a company listed on an Australian securities exchange, provide details of the holding company name, its registration number e.g. ACN, the securities exchange and the ticker (issuer) code.

All of the above must clearly show the company's full name, its type (i.e. public or private) and the ACN issued by ASIC.

For Foreign Companies, provide one of the following:

- ☐ A certified copy of the company's Certificate of Registration or incorporation issued by the foreign jurisdictions in which the company was incorporated, established or formed.
- ☐ A certified copy of the company's articles of association or constitution.
- ☐ A copy of a company search on the ASIC database or relevant foreign registration body.
- ☐ A copy of the last annual statement issued by the company regulator.

All of the above must clearly show the company's full name, its type (i.e. public or private) and the ARBN issued by ASIC, or the identification number issued to the company by the foreign regulator.

In addition, please provide verification documents for each beneficial owner (senior managing official and shareholder) as listed under Group A.

A beneficial owner of a company is any customer entitled (either directly or indirectly) to exercise 25% or more of the voting rights, including a power of veto, or who holds the position of senior managing official (or equivalent).

GROUP C Trusts

For a Registered Managed Investment Scheme, Government Superannuation Fund, Regulated Superannuation Fund (including a self-managed super fund) or a trust registered with the Australian Charities and Not-for-profit Commission (ACNC), provide one of the following:

- ☐ A copy of the company search of the relevant regulator's website e.g. APRA, ASIC, or ATO.
- ☐ A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.
- ☐ A copy from the ACNC of information registered about the trust as a charity
- ☐ Annual report or audited financial statements.
- ☐ A certified copy of a notice issued by the ATO within the previous 12 months.
- ☐ A certified copy of an extract of the Trust Deed (i.e. cover page and signing page and first two pages that describes the trust, its purpose, appointer details and settlor details etc.)

For all other Unregulated trust (including Foreign trust), provide the following:

- ☐ A certified copy of an extract of the Trust Deed (i.e. cover page and signing page and first two pages that describes the trust, its purpose, appointer details and settlor details etc.)

If the trustee is an individual, please also provide verification documents for one trustee as listed under Group A.

If the trustee is a company, please also provide verification documents for a company as listed under Group B.

GROUP D Authorised Representatives and Agents

In addition to the above entity groups:

- ☐ If you are an **Individual Authorised Representative or Agent** – please also provide the identification documents listed under Group A.
- ☐ If you are a **Corporate Authorised Representative or Agent** – please also provide the identification documents listed under Group B.

All Authorised Representatives and Agents must also provide a certified copy of their authority to act for the investor e.g. the POA, guardianship order, Executor or Administrator of a deceased estate, authority granted to a bankruptcy trustee, authority granted to the State or Public Trustee etc.

Glossary

Custodian - means a company that:

- a) is acting in the capacity of a trustee; and
- b) is providing a custodial or depository service of the kind described in item 46 of table 1 in subsection 6(2) of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act); and
- c) either:
 - (i) holds an Australian financial services licence authorising it to provide custodial or depository services under the Corporations Act 2001; or
 - (ii) is exempt under the Corporations Act 2001 from the requirement to hold such a licence; and

d) either:

- (i) satisfies one of the 'geographical link' tests in subsection 6(6) of the AML/CTF Act; or
- (ii) has certified in writing to the relevant reporting entity that its name and enrolment details are entered on the Reporting Entities Roll; and
- e) has certified in writing to the relevant reporting entity that it has carried out all applicable customer identification procedures and ongoing customer due diligence requirements in accordance with Chapter 15 of the AML/CTF Rules in relation to its underlying customers prior to, or at the time of, becoming a customer of the reporting entity.