

Cooper Investors New Zealand Investors Information Sheet

ARSN: 639 516 055 APIR ETL7426AU Issue Date: 13 May 2024

ABOUT THE COOPER INVESTORS NEW ZEALAND INVESTORS INFORMATION SHEET (NZ INFORMATION SHEET)

This NZ Information Sheet has been prepared and issued by Equity Trustees Limited ("Equity Trustees", "we" or "Responsible Entity") and is a summary of significant information for the persons receiving the Product Disclosure Statement ("PDS") for the Cooper Investors Global Equities Fund (Hedged), or the Cooper Investors Global Equities Fund (Unhedged) (each a "Fund", together the "Funds") in New Zealand. This NZ Information Sheet does not form part of the relevant PDS but it is important that you read it before investing in the relevant Fund. The information provided in this NZ Information Sheet is general information only and does not take account of your personal financial situation or needs. You should obtain financial advice tailored to your personal circumstances.

UPDATED INFORMATION

Certain information in this NZ Information Sheet is subject to change. We will notify you of any changes that have a materially adverse impact on you or other significant events that affect the information contained in this NZ Information Sheet. Any updated information which is not materially adverse may be obtained by visiting www.eqt.com.au/insto or request a copy by calling +613 9660 2600. A paper copy of the updated information will be provided free of charge on request.

NEW ZEALAND WARNING STATEMENT

- a) This offer to New Zealand investors is a regulated offer made under Australian and New Zealand law. In Australia, this is Chapter 8 of the Corporations Act 2001 (Aust) and regulations made under that Act. In New Zealand, this is subpart 6 of Part 9 of the Financial Markets Conduct Act 2013 and Part 9 of the Financial Markets Conduct Regulations 2014.
- b) This offer and the content of the offer document are principally governed by Australian rather than New Zealand law. In the main, the Corporations Act 2001 (Aust) and the regulations made under that Act set out how the offer must be made.

- c) There are differences in how financial products are regulated under Australian law. For example, the disclosure of fees for managed investment schemes is different under the Australian regime.
- d) The rights, remedies, and compensation arrangements available to New Zealand investors in Australian financial products may differ from the rights, remedies, and compensation arrangements for New Zealand financial products.
- e) Both the Australian and New Zealand financial markets regulators have enforcement responsibilities in relation to this offer. If you need to make a complaint about this offer, please contact the Financial Markets Authority, New Zealand (<http://www.fma.govt.nz>). The Australian and New Zealand regulators will work together to settle your complaint.
- f) The taxation treatment of Australian financial products is not the same as for New Zealand financial products.
- g) If you are uncertain about whether this investment is appropriate for you, you should seek the advice of a financial advice provider.
- h) The offer may involve a currency exchange risk. The currency for the financial products is not New Zealand dollars. The value

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INVESTMENT MANAGER

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AFS Licence Number 221794
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ADMINISTRATOR AND CUSTODIAN

Citigroup Pty Limited
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RESPONSIBLE ENTITY

Equity Trustees Limited
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Melbourne VIC 3001
ABN 46 004 031 298
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of the financial products will go up or down according to changes in the exchange rate between that currency and New Zealand dollars. These changes may be significant.

- i) If you expect the financial products to pay any amounts in a currency that is not New Zealand dollars, you may incur significant fees in having the funds credited to a bank account in New Zealand in New Zealand dollars.
- j) The dispute resolution process described in this offer document is available only in Australia and is not available in New Zealand.

1. INVESTING IN THE FUND

Direct Investors

Direct investors can acquire units in a Fund by following the instructions outlined in the Application Form accompanying the relevant PDS. All applications must be made in Australian dollars.

Minimum application amounts are subject to the Australian dollar minimum amounts disclosed in the relevant PDS.

Indirect Investors

If you wish to invest indirectly in a Fund through an IDPS your IDPS Operator will complete the application for you. Your IDPS Operator will advise what minimum investment amounts relate to you.

2. WITHDRAWING YOUR INVESTMENT

Direct Investors

Direct investors of a Fund can withdraw their investment by written request to:

Registry Services - Cooper Investors Pty Ltd

GPO Box 5193, Sydney NSW 2000

Or sending it by fax to +613 9660 2699

Minimum withdrawal amounts are subject to the Australian dollar minimum amounts disclosed in the relevant PDS. Withdrawal requests received from New Zealand investors must specify:

- the withdrawal amount in Australian dollars; or
- the number of units to be withdrawn.

We are unable to accept withdrawal amounts quoted in New Zealand dollars. Please note that the withdrawal amount paid to you will be in Australian dollars and may differ from the amount you receive in New Zealand dollars due to:

- Foreign Exchange spreads between Australian and New Zealand dollars (currency rate differs daily); and
- Overseas Telegraphic Transfer ("OTT") costs.

Withdrawals will only be paid directly to the unitholder's AUD bank account held in the name of the unitholder with an Australian domiciled bank. Withdrawal payments will not be made to third parties.

Indirect Investors

If you have invested indirectly in a Fund through an IDPS, you need to provide your withdrawal request directly to your IDPS Operator. The time to process a withdrawal request will depend on the particular IDPS Operator.

3. MANAGING YOUR INVESTMENT

Distributions

If New Zealand investors elect to have their distributions directly credited, they will need to nominate an AUD bank account held in their own name with an Australian domiciled bank. Otherwise, it must be reinvested. Distributions will only be paid in Australian dollars to such an account. When the distribution is reinvested, New Zealand investors will be allotted units in accordance with the terms and conditions set out in the PDS relating to the units in the relevant Fund. Please see the relevant PDS for a description of distributions and the terms and conditions of the reinvestment of distributions.

The distribution reinvestment plan described in each PDS is offered to New Zealand investors on the following basis:

- At the time the price of the units allotted pursuant to the distribution reinvestment plan is set, the Responsible Entity will not have any information that is not publicly available that would, or would be likely to, have a material adverse effect on the realisable price of the units if the information were publicly available.
- The right to acquire, or require the Responsible Entity to issue, units will be offered to all investors of the same class, other than those resident outside New Zealand who are excluded so as to avoid breaching overseas laws.
- Units will be issued on the terms disclosed to you, and will be subject to the same rights as units issued to all investors of the same class as you.

There is available from the Responsible Entity, on request and free of charge, a copy of the most recent annual report (if any) of the relevant Fund, the most recent financial statements of that Fund, the auditor's report on those financial statements, the relevant PDS and the Constitution for that Fund (including any amendments). Other than the Constitution, these documents may be obtained electronically from www.cooperinvestors.com.

Processing Cut-Off Times

The processing cut-off times for applications and redemptions referred to in the PDS are Australian Eastern Standard Time (Australian EST) and you should take this into account when sending instructions.

Cooling Off Rights

Cooling off rights may apply to investors in New Zealand. If you wish to exercise your cooling off rights you should contact the Responsible Entity of the relevant Fund. The relevant PDS contains further information about the right that may apply.

4. TAXATION

New Zealand Resident Taxation

If you are a New Zealand resident wishing to invest in Australia, we strongly recommend that you seek independent professional tax advice. New Zealand resident investors will be taxed on their units under the foreign investment fund rules or ordinary tax rules, depending on their circumstances. Australian tax will be withheld at prescribed rates from distributions to non-residents to the extent that the distributions comprise relevant Australian sourced income or gains.

Cooper Investors Global Equities Fund (Unhedged)

Product Disclosure Statement

ARSN: 619 796 753 APRI CIP0003AU Issue Date: 13 May 2024

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ABOUT THIS PDS

This Product Disclosure Statement ("PDS") has been prepared and issued by Equity Trustees Limited ("Equity Trustees", "we" or "Responsible Entity") and is a summary of the significant information relating to an investment in the Cooper Investors Global Equities Fund (Unhedged) (the "Fund"). It contains a number of references to important information (including a glossary of terms) contained in the Cooper Investors Global Equities Fund (Unhedged) Reference Guide ("Reference Guide"), which forms part of this PDS. You should consider both the information in this PDS, and the information in the Reference Guide, before making a decision about investing in the Fund. The information provided in this PDS is general information only and does not take account of your personal objectives, financial situation or needs. You should obtain financial advice tailored to your personal circumstances and consider whether the information in this PDS is appropriate for you in light of those circumstances.

The offer to which this PDS relates is only available to persons

receiving this PDS in Australia and New Zealand (electronically or otherwise). New Zealand investors must read the Cooper Investors New Zealand Investors Information Sheet before investing in the Fund. All references to dollars or "\$" in this PDS are to Australian dollars. New Zealand investors wishing to invest in the Fund should be aware that there may be different tax implications of investing in the Fund and should seek their own tax advice as necessary.

This PDS does not constitute a direct or indirect offer of securities in the US or to any US Person as defined in Regulation S under the US Securities Act of 1933 as amended ("US Securities Act"). Equity Trustees may vary this position and offers may be accepted on merit at Equity Trustees' discretion. The units in the Fund have not been, and will not be, registered under the US Securities Act unless otherwise approved by Equity Trustees and may not be offered or sold in the US to, or for, the account of any US Person except in a transaction that is exempt from the registration requirements of the US Securities Act and applicable US state securities laws.

THE REFERENCE GUIDE

Throughout the PDS, there are references to additional information contained in the Reference Guide. You can obtain a copy of the PDS and the Reference Guide, free of charge, by visiting www.eqt.com.au/insto or request a copy by calling +613 9660 2600. The information contained in the Reference Guide may change between the day you receive this PDS and the day you acquire the product. You must therefore ensure that you have read the current Reference Guide at the date of your application.

UPDATED INFORMATION

Information in this PDS is subject to change. We will notify you of any changes that have a materially adverse impact on you or other significant events that affect the information contained in this PDS. Any information that is not materially adverse information is subject to change from time to time and may be updated and obtained online at www.eqt.com.au/insto or by calling +613 9660 2600. A paper copy of the updated information will be provided free of charge on request.

INVESTMENT MANAGER

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RESPONSIBLE ENTITY

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Melbourne VIC 3001
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Phone: +613 8623 5000 Fax +613 8623 5200
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1. About Equity Trustees Limited

THE RESPONSIBLE ENTITY

Equity Trustees Limited

Equity Trustees Limited ABN 46 004 031 298 AFSL 240975, a subsidiary of EQT Holdings Limited ABN 22 607 797 615, which is a public company listed on the Australian Securities Exchange (ASX: EQT), is the Fund's responsible entity and issuer of this PDS. Established as a trustee and executorial service provider by a special Act of the Victorian Parliament in 1888, today Equity Trustees is a dynamic financial services institution which continues to grow the breadth and quality of products and services on offer.

Equity Trustees' responsibilities and obligations as the Fund's responsible entity are governed by the Fund's constitution ("Constitution"), the Corporations Act and general trust law. Equity Trustees has delegated the investment management functions to Cooper Investors Pty Limited which will make investment decisions in relation to the Fund. The Responsible Entity has appointed Citigroup Pty Limited ABN 88 004 325 080 ("CPL or Custodian") as the custodian of the assets of the Fund. The Custodian's role is limited to holding the assets of the Fund as agent of the Responsible Entity. The Custodian has no supervisory role in relation to the operation of the Fund and is not responsible for protecting your interests. The Custodian has no liability or responsibility to you for any act done or omission made in accordance with the terms of the Custody Agreement. The Custodian makes no statement in this PDS and has not authorised or caused the issue of it. CPL has given and not withdrawn its

consent to be named in this PDS. The Custodian holds investments of the Fund as bare trustee and such investments are not investments of, CPL or any other member of the CPL group of companies (CPL Group). Neither CPL, nor any other member of CPL Group, guarantees the performance of the investment or the underlying assets of the Fund, or provide a guarantee or assurance in respect of the obligations of the Responsible Entity or its related entities.

THE INVESTMENT MANAGER

Cooper Investors Pty Limited ("CI")

CI is a specialist equities fund manager with funds under management of approximately A\$13.9 billion as at 31 March 2024.. CI commenced operations in 2001 and manages money for a range of clients including large pension and superannuation funds, listed Australian companies, religious institutions, Australian State Government agencies, school endowments, charities and high net worth families. CI is 100% owned by its employees.

CI manages 8 pooled investment trusts (CI Australian Equities Fund, Cooper Investors Endowment Fund, CI Brunswick Fund, Cooper Investors Global Endowment Fund, Cooper Investors Global Equities Fund (Hedged), Cooper Investors Global Equities Fund (Unhedged), Cooper Investors Family and Founder Fund and Cooper Investors Endeavour Fund) and a number of individual mandates which invest in Australian equities, international securities or a mixture of both. Employees are encouraged to invest in the CI trusts.

2. How the Cooper Investors Global Equities Fund (Unhedged) works

The Fund is a registered managed investment scheme governed by the Constitution. The Fund comprises assets which are acquired in accordance with the Fund's investment strategy. Direct investors receive units in the Fund when they invest. In general, each unit represents an equal interest in the assets of the Fund subject to liabilities; however it does not give investors an interest in any particular asset of the Fund.

If you invest in the Fund through an IDPS (as defined in the Reference Guide) you will not become a unitholder in the Fund. The operator or custodian of the IDPS will be the unitholder entered in the Fund's register and will be the only person who is able to exercise the rights and receive benefits of a direct unitholder. Your investment in the Fund through the IDPS will be governed by the terms of your IDPS. Please direct any queries and requests relating to your investment to your IDPS Operator. Unless otherwise stated, the information of the PDS applies to direct investors.

APPLYING FOR UNITS

You can acquire units by completing the Application Form that accompanies this PDS. The minimum initial investment amount for the Fund is \$20,000.

The price at which units are acquired is determined in accordance with the Constitution ("Application Price"). The Application Price on a Business Day (as defined in the Reference Guide) is, in general terms, equal to the net asset value ("NAV") of the Fund, divided by the number of units on issue and adjusted for transaction costs

("Buy Spread"). At the date of this PDS, the Buy Spread is 0.20%.

The Application Price will vary as the market value of assets in the Fund rises or falls.

MAKING ADDITIONAL INVESTMENTS

You can make additional investments into the Fund at any time by sending us your additional investment amount together with a completed Additional Investment Form. The minimum additional investment into the Fund is \$10,000.

DISTRIBUTIONS

An investor's share of any distributable income is calculated in accordance with the Constitution and is generally based on the number of units held by the investor at the end of the distribution period.

The Fund usually distributes income bi-annually at 31 December and 30 June however, Equity Trustees may change the distribution frequency without notice. Distributions are calculated effective the last day of each distribution period and are normally paid to investors as soon as practicable after the distribution calculation date.

Investors in the Fund can indicate a preference to have their distribution:

- reinvested back into the Fund; or
- directly credited to their AUD Australian domiciled bank account.

Australian investors who do not indicate a preference will have their distributions automatically reinvested. Applications for reinvestment

will be taken to be received immediately prior to the next Business Day after the relevant distribution period. There is no Buy Spread on distributions that are reinvested.

In some circumstances, the Constitution may allow for an investor's withdrawal proceeds may be taken to include a component of distributable income.

Indirect Investors should review their IDPS Guide for information on how and when they receive any income distribution.

New Zealand investors can only have their distribution directly credited if an AUD Australian domiciled bank account is provided, otherwise it must be reinvested (refer to the Cooper Investors New Zealand Investors Information Sheet).

ACCESS TO YOUR MONEY

Investors in the Fund can generally withdraw their investment by completing a written request to withdraw from the Fund and mailing it to:

Cooper Investors Pty Ltd
GPO Box 5193, Sydney NSW 2000

The minimum withdrawal amount is \$10,000. Once we receive and accept your withdrawal request, we may act on your instruction without further enquiry if the instruction bears your account number or investor details and your (apparent) signature(s), or your authorised signatory's (apparent) signature(s).

Equity Trustees will generally allow an investor to access their investment within 7 days of acceptance of a withdrawal request by transferring the withdrawal proceeds to such investor's nominated AUD Australian domiciled bank account.

However, Equity Trustees is allowed to reject withdrawal requests and also to make payment up to 30 days after acceptance of a request (which may be extended in certain circumstances) as outlined in the Constitution and Reference Guide.

FURTHER READING...

You should read the important information in the Reference Guide:

- how to invest;
- application cut-off times;
- cooling-off rights;
- authorised signatories;
- reports;
- unit price and valuations;
- withdrawal cut-off times on a Business Day;
- payment of withdrawals;
- withdrawal terms;
- withdrawal restrictions; and
- unit pricing discretions policy & additional information

under the "Investing in the Cooper Investors Global Equities Fund (Unhedged)", "Managing your investment" and "Withdrawing your investment" sections before making a decision. Go to the Reference Guide which is available at www.eqt.com.au/insto. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

3. Benefits of investing in the Cooper Investors Global Equities Fund (Unhedged)

THE CI EDGE – WHAT MAKES US DIFFERENT

Benefits of investing in the Fund include:

- Access to investment opportunities in offshore markets that may be difficult for individual investors to identify or research;

The price at which units are withdrawn is determined in accordance with the Constitution ("Withdrawal Price"). The Withdrawal Price on a Business Day is, in general terms, equal to the NAV of the Fund, divided by the number of units in issue and adjusted for transaction costs ("Sell Spread"). At the date of this PDS, the Sell Spread is 0.20%. The Withdrawal Price will vary as the market value of assets in the Fund rises or falls.

Equity Trustees reserves the right to fully redeem your investment if your investment balance in the Fund falls below \$20,000 as a result of processing your withdrawal request. We also reserve the right to fully withdraw an investor's investment in the Fund, upon giving 30 days' notice, if the minimum balance amount is increased and your holding falls below the new minimum balance amount. In certain circumstances, for example, when there is a freeze on withdrawals, where accepting a withdrawal is not in the best interests of investors in the Fund including due to one or more circumstances outside its control or where the Fund is not liquid (as defined in the Corporations Act), Equity Trustees can deny or suspend a withdrawal request and you may not be able to withdraw your funds in the usual processing times or at all. When the Fund is not liquid, an investor can only withdraw when Equity Trustees makes a withdrawal offer to investors in accordance with the Corporations Act. Equity Trustees is not obliged to make such offers.

If you are an Indirect Investor, you need to provide your withdrawal request directly to your IDPS Operator. The time to process a withdrawal request will depend on the particular IDPS Operator and the terms of the IDPS.

and

- A fund constructed with limited reference to the Benchmark and which seeks to outperform the Benchmark over the long term.

4. Risks of managed investment schemes

All investments carry risks. Different investment strategies may carry different levels of risk, depending on the assets acquired under the strategy. Assets with the highest long-term returns may also carry the highest level of short-term risk. The significant risks below should be considered in light of your risk profile when deciding whether to invest in the Fund. Your risk profile will vary depending on a range of factors, including your age, the investment time frame (how long you wish to invest for), your other investments or assets and your risk tolerance.

The Responsible Entity and the Investment Manager do not guarantee the liquidity of the Fund's investments, repayment of capital or any rate of return or the Fund's investment performance. The value of the Fund's investments will vary. Returns are not guaranteed and you may lose money by investing in the Fund. The level of returns will vary and future returns may differ from past returns. Laws affecting managed investment schemes may change in the future. The structure and administration of the Fund is also subject to change.

In addition, we do not offer advice that takes into account your personal financial situation, including advice about whether the

Fund is suitable for your circumstances. If you require personal financial or taxation advice, you should contact a licensed financial adviser and/or taxation adviser.

Market risk

This is the risk that an entire market, country or economy (such as Australia) changes in value or becomes more volatile, including the risk that the purchasing power of the currency changes (either through inflation or deflation), potentially causing a reduction in the value of the Fund and increasing its volatility. Reasons can be many, and include changes in economic, financial, technological, political or legal conditions, natural and man-made disasters, conflicts and changes in market sentiment.

Exchange rate risk

Where the Fund purchases assets denominated in a foreign currency, currency movements between the Australian dollar and the relevant foreign currency might lead to gains or losses in the value of the assets. The Investment Manager will generally not hedge its exposure to foreign currency movements in respect of such assets, but has the ability to hedge up to 30% of its exposure. However unit holders should be aware that hedging also carries its own risks.

FURTHER READING

You should read the important information in the Reference Guide "Additional risks" section before making an investment decision. Go to the Reference Guide which is available at www.eqt.com.au/insto. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

5. How we invest your money

Warning: When choosing to invest in the Fund or an option of the Fund, you should consider the likely investment returns, the risks of investing and your investment time frame.

INVESTMENT OBJECTIVE

The objective of the Fund is to outperform the Benchmark over the long term. The Fund will be constructed with limited reference to the Benchmark, and therefore the Fund's returns may vary significantly from the Benchmark's returns.

BENCHMARK

MSCI AC World net dividends in Australian dollars

MINIMUM SUGGESTED TIME FRAME

7-10 years

RISK LEVEL

Medium to high

INVESTOR SUITABILITY

The Fund is generally suitable for investors seeking exposure to global equities.

PORTFOLIO STRUCTURE

The Fund operates under the following portfolio guidelines:

1. The Benchmark is the MSCI All Countries World net dividends in Australian dollars ("Benchmark").
2. Target number of stocks is typically between 30 and 50.
3. Maximum individual stock exposure of 10% of Net Asset Value or 2x the stock's weighting in the Benchmark, whichever is greater.
4. Maximum cash of 12% of Net Asset Value.
5. Maximum developing markets (as defined by MSCI) weighting of 30% of Net Asset Value or Benchmark +20%, whichever is greater.

6. Maximum industry group GICS (second level) of Benchmark +/-25%.
7. Maximum small cap (i.e. any stock with a market capitalization of less than US\$1.5b) exposure of 20% of Net Asset Value or Benchmark +10%, whichever is greater.
8. The Fund can invest in pre IPO securities that are expected to list within 12 months, limited to a maximum of 5% of Net Asset Value.
9. No short selling.
10. No leverage except where temporarily caused by foreign exchange, trade settlement and other operational issues.
11. Maximum 30% of foreign assets hedged.

The Constitution of the Fund provides very broad investment powers to invest in, dispose of or otherwise deal with property and rights.

CHANGING THE INVESTMENT STRATEGY

The investment strategy and asset allocation parameters may be changed. If a change is to be made, investors in the Fund will be notified in accordance with the Corporations Act.

LABOUR, ENVIRONMENTAL, SOCIAL AND ETHICAL CONSIDERATIONS

EQT has delegated the investment function (including ESG responsibilities) to the Investment Manager and the Investment Manager has contemplated that Labour, Environmental, Social and Ethical considerations may be taken into account in relation to the investment of the Fund.

FUND PERFORMANCE

Up to date information on the performance of the Fund can be obtained from www.eqt.com.au/insto. A free of charge paper copy of the information will also be available on request.

6. Fees and costs

DID YOU KNOW?

Small differences in both investment performance and fees and costs can have a substantial impact on your long term returns.

For example, total annual fees and costs of 2% of your investment balance rather than 1% could reduce your final return by up to 20% over a 30 year period (for example, reduce it from \$100,000 to \$80,000).

You should consider whether features such as superior investment performance or the provision of better member services justify higher fees and costs.

You may be able to negotiate to pay lower fees. Ask the fund or your financial adviser.

TO FIND OUT MORE

If you would like to find out more, or see the impact of the fees based on your own circumstances, the Australian Securities and Investments Commission (ASIC) Moneysmart website (www.moneysmart.gov.au) has a managed funds fee calculator to help you check out different fee options.

The information in the following Fees and Costs Summary can be used to compare costs between different simple managed investment schemes. Fees and costs may be paid directly from an investor's account or deducted from investment returns. For information on tax please see Section 7 of this PDS.

FEES AND COSTS SUMMARY

Cooper Investors Global Equities Fund (Unhedged)		
Type of fee or cost	Amount	How and when paid
Ongoing annual fees and costs¹		
Management fees and costs The fees and costs for managing your investment ²	1.20% of the NAV of the Fund	The management fees component of management fees and costs are accrued daily and paid from the Fund monthly in arrears and reflected in the unit price. Otherwise, the fees and costs are variable and deducted and reflected in the unit price of the Fund as they are incurred.
Performance fees Amounts deducted from your investment in relation to the performance of the product	0.15% of the NAV of the Fund ³	Performance fees are calculated daily and paid semi-annually in arrears from the Fund and reflected in the unit price.
Transaction costs The costs incurred by the scheme when buying or selling assets	0.07% of the NAV of the Fund	Transaction costs are variable and deducted from the Fund as they are incurred and reflected in the unit price. They are disclosed net of amounts recovered by the buy-sell spread.
Member activity related fees and costs (fees for services or when your money moves in or out of the scheme)		
Establishment fee The fee to open your investment	Not applicable	Not applicable
Contribution fee The fee on each amount contributed to your investment	Not applicable	Not applicable
Buy-sell spread An amount deducted from your investment representing costs incurred in transactions by the scheme	0.20% upon entry and 0.20% upon exit	These costs are an additional cost to the investor but are incorporated into the unit price and arise when investing application monies and funding withdrawals from the Fund and are not separately charged to the investor. The Buy Spread is paid into the Fund as part of an application and the Sell Spread is left in the Fund as part of a redemption.
Withdrawal fee The fee on each amount you take out of your investment	Not applicable	Not applicable
Exit fee The fee to close your investment	Not applicable	Not applicable
Switching fee The fee for changing investment options	Not applicable	Not applicable

¹ All fees quoted above are inclusive of Goods and Services Tax (GST) and net of any Reduced Input Tax Credits (RITC). See below for more details as to how the relevant fees and costs are calculated.

² The management fee component of management fees and costs can be negotiated. See "Differential fees" in the "Additional Explanation of Fees and Costs" below.

³ This represents the performance fee of the Fund which is payable as an expense of the Fund to the Investment Manager. See "Performance fees" below for more information.

ADDITIONAL EXPLANATION OF FEES AND COSTS

Management fees and costs

The management fees and costs include amounts payable for administering and operating the Fund, investing the assets of the Fund, expenses and reimbursements in relation to the Fund and indirect costs if applicable.

Management fees and costs do not include performance fees or transaction costs, which are disclosed separately.

The management fees component of management fees and costs of 1.20% p.a. of the NAV of the Fund is payable to the Responsible Entity of the Fund for managing the assets and overseeing the operations of the Fund. The management fees component is accrued daily and paid from the Fund monthly in arrears and reflected in the unit price. As at the date of this PDS, the management fees component covers certain ordinary expenses such as Responsible Entity fees, investment management fees, custodian fees, and administration and audit fees.

The indirect costs and other expenses component of 0% p.a. of the NAV of the Fund may include other ordinary expenses of operating the Fund, as well as management fees and costs (if any) arising from interposed vehicles in or through which the Fund invests and the costs of investing in over-the-counter derivatives to gain investment exposure to assets or implement the Fund's investment strategy (if any). The indirect costs and other expenses component is variable and reflected in the unit price of the Fund as the relevant fees and costs are incurred. They are borne by investors, but they are not paid to the Responsible Entity or Investment Manager. The indirect costs and other expenses component is based on the relevant costs incurred during the financial year ended 30 June 2022.

Actual indirect costs for the current and future years may differ. If in future there is an increase to indirect costs disclosed in this PDS, updates will be provided on Equity Trustees' website at www.eqt.com.au/insto where they are not otherwise required to be disclosed to investors under law.

Performance fees

Performance fees include amounts that are calculated by reference to the performance of the Fund. The performance fees for the Fund are 0.15% of the NAV of the Fund.

The performance fee figure that is disclosed in the Fees and Costs Summary is generally based on an average of the performance fees over the previous five financial years, where each performance fee relevant to the Fund is averaged and totalled to give the performance fees for the Fund.

A performance fee is payable to the Investment Manager where the investment performance of the Fund exceeds the performance of the MSCI AC World net dividends in Australian dollars. The performance fee is 10% of this excess, calculated daily in arrears and paid six monthly in arrears and is calculated based on the daily NAV of the Fund over the relevant period. No performance fee is payable until any accrued underperformance (in dollar terms) from prior periods has been made up (this feature is sometimes referred to as a high watermark).

Please note that the performance fees disclosed in the Fees and Costs Summary is not a forecast as the actual performance fee for the current and future financial years may differ. The Responsible Entity cannot guarantee that performance fees will remain at their previous level or that the performance of the Fund will outperform the Benchmark.

It is not possible to estimate the actual performance fee payable in any given period, as we cannot forecast what the performance of the Fund will be. Information on current performance fees will be updated from time to time and available at www.eqt.com.au/insto.

Transaction costs

In managing the assets of the Fund, the Fund may incur transaction costs such as brokerage, buy-sell spreads in respect of the underlying investments of the Fund, settlement costs, clearing costs and applicable stamp duty when assets are bought and sold. Transaction costs also include costs incurred by interposed vehicles in which the Fund invests (if any), that would have been transaction costs if they had been incurred by the Fund itself. Transaction costs are an additional cost to the investor where they are not recovered by the Buy/Sell Spread, and are generally incurred when the assets of the Fund are changed in connection with day-to-day trading or when there are applications or withdrawals which cause net cash flows into or out of the Fund.

The Buy/Sell Spread that is disclosed in the Fees and Costs Summary is a reasonable estimate of transaction costs that the Fund will incur when buying or selling assets of the Fund. These costs are an additional cost to the investor but are incorporated into the unit price and arise when investing application monies and funding withdrawals from the Fund and are not separately charged to the investor. The Buy Spread is paid into the Fund as part of an application and the Sell Spread is left in the Fund as part of a redemption and not paid to Equity Trustees or the Investment Manager. The estimated Buy/Sell Spread is 0.20% upon entry and 0.20% upon exit. The dollar value of these costs based on an application or a withdrawal of \$20,000 is \$40 for each individual transaction. The Buy/Sell Spread can be altered by the Responsible Entity at any time and www.eqt.com.au/insto will be updated as soon as practicable to reflect any change. The Responsible Entity may also waive the Buy/Sell Spread in part or in full at its discretion. The transaction costs figure in the Fees and Costs Summary is shown net of any amount recovered by the Buy/Sell Spread charged by the Responsible Entity.

Transaction costs generally arise through the day-to-day trading of the Fund's assets and are reflected in the Fund's unit price as an additional cost to the investor, as and when they are incurred.

The gross transaction costs for the Fund are 0.10% p.a. of the NAV of the Fund, which is based on the relevant costs incurred during the financial year ended 30 June 2022.

However, actual transaction costs for future years may differ.

Can the fees change?

Yes, all fees can change without investor consent, subject to the maximum fee amounts specified in the Constitution. The current maximum management fee to which Equity Trustees is entitled is 3% of the NAV of the Fund. However, Equity Trustees does not intend to charge that amount and will generally provide investors with at least 30 days' notice of any proposed increase to the management fees component of management fees and costs. In most circumstances, the Constitution defines the maximum level that can be charged for fees described in this PDS. Equity Trustees also has the right to recover all reasonable expenses incurred in relation to the proper performance of its duties in managing the Fund and as such these expenses may increase or decrease accordingly, without notice.

Payments to IDPS Operators

Subject to the law, annual payments may be made to some IDPS Operators because they offer the Fund on their investment menus. Product access is paid by the Investment Manager out of its investment management fee and is not an additional cost to the investor.

Differential fees

The Investment Manager may from time to time negotiate a different fee arrangement (by way of a rebate or waiver of fees) with certain investors who are Australian Wholesale Clients. Please contact the Investment Manager on +613 9660 2600 for further information.

EXAMPLE OF ANNUAL FEES AND COSTS FOR AN INVESTMENT OPTION

This table gives an example of how the ongoing annual fees and costs in the investment option for this product can affect your investment over a 1-year period. You should use this table to compare this product with other products offered by managed investment schemes.

Example – Cooper Investors Global Equities Fund (Unhedged)		
BALANCE OF \$50,000 WITH A CONTRIBUTION OF \$5,000 DURING THE YEAR		
Contribution Fees	Nil	For every \$5,000 you put in, you will be charged \$0.
Plus Management fees and costs	1.20% p.a.	And , for every \$50,000 you have in the Cooper Investors Global Equities Fund (Unhedged) you will be charged or have deducted from your investment \$600 each year
Performance fees	0.15%	And , you will be charged or have deducted from your investment \$75 in performance fees each year
Transaction costs	0.07%	And , you will be charged or have deducted from your investment \$35 in transaction costs
Equals Cost of Cooper Investors Global Equities Fund (Unhedged)		If you had an investment of \$50,000 at the beginning of the year and you put in an additional \$5,000 during that year, then you would be charged fees of: \$710* What it costs you will depend on the investment option you choose and the fees you negotiate.

* Additional fees may apply. Please note that this example does not capture all the fees and costs that may apply to you such as the Buy/Sell Spread .

This example assumes the \$5,000 contribution occurs at the end of the first year, therefore the fees and costs are calculated using the \$50,000 balance only.

Warning: If you have consulted a financial adviser, you may pay additional fees. You should refer to the Statement of Advice or Financial Services Guide provided by your financial adviser in which details of the fees are set out.

ASIC provides a fee calculator on www.moneysmart.gov.au, which you may use to calculate the effects of fees and costs on account balances. The performance fees stated in this table are based on the average performance fee for the Fund, over the previous five

financial years. The performance of the Fund for this financial year, and the performance fees, may be higher or lower or not payable in the future. It is not a forecast of the performance of the Fund or the amount of the performance fees in the future.

The indirect costs and other expenses component of management fees and costs and transaction costs may also be based on estimates. As a result, the total fees and costs that you are charged may differ from the figures shown in the table.

FURTHER READING

You should read the important information in the Reference Guide about fees and costs under the “Fees and other costs” section before making a decision. Go to the Reference Guide which is available at www.eqf.com.au/insto. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

7. How managed investment schemes are taxed

Warning: Investing in a registered managed investment scheme (such as the Fund) is likely to have tax consequences. You are strongly advised to seek your own professional tax advice about the applicable Australian tax (including income tax, GST and duty) consequences and, if appropriate, foreign tax consequences which may apply to you based on your particular circumstances before investing in the Fund.

The Fund is an Australian resident for tax purposes and does not pay tax on behalf of its investors. Australian resident investors are assessed for tax on any income and capital gains generated by the Fund to which they become presently entitled or, where the Fund has made a choice to be an Attribution Managed Investment Trust (“AMIT”) and the choice is effective for the income year, are attributed to them.

FURTHER READING

You should read the important information in the Reference Guide about Taxation under the “Other important information” section before making a decision. Go to the Reference Guide which is available at www.eqf.com.au/insto. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

8. How to apply

To invest please complete the Application Form accompanying this PDS, send funds by electronic transfer (details are in the Application Form), and send your Application Form to:

Cooper Investors Pty Ltd
GPO Box 5193, Sydney NSW 2000

Please note that cash cannot be accepted.

WHO CAN INVEST?

Eligible persons (as detailed in the 'About this PDS' section) can invest, however individual investors must be 18 years of age or over. Investors investing through an IDPS should use the application form provided by the IDPS operator.

COOLING OFF PERIOD

If you are a Retail Client who has invested directly in the Fund, you may have a right to a 'cooling off' period in relation to your investment in the Fund for 14 days from the earlier of:

- confirmation of the investment being received; and
- the end of the fifth Business Day after the units are issued.

A Retail Client may exercise this right by notifying Equity Trustees in writing. A Retail Client is entitled to a refund of their investment adjusted for any increase or decrease in the relevant Application Price between the time we process your application and the time we receive the notification from you, as well as any other tax and other reasonable administrative expenses and transaction costs associated with the acquisition and termination of the investment.

The right of a Retail Client to cool off does not apply in certain limited situations, such as if the issue is made under a distribution reinvestment plan, switching facility or represents additional contributions required under an existing agreement. Also, the right to cool off does not apply to you if you choose to exercise your rights or powers as a unit holder in the Fund during the 14 day period. This could include selling part of your investment or switching it to another product.

Indirect Investors should seek advice from their IDPS Operator as to whether cooling off rights apply to an investment in the Fund by the IDPS. The right to cool off in relation to the Fund is not directly available to an Indirect Investor. This is because an Indirect Investor does not acquire the rights of a unit holder in the Fund. Rather, an Indirect Investor directs the IDPS Operator to arrange for their monies to be invested in the Fund on their behalf. The terms and conditions of the IDPS Guide or similar type document will govern an Indirect Investor's investment in relation to the Fund and any rights an Indirect Investor may have in this regard.

COMPLAINTS RESOLUTION

Equity Trustees has an established complaints handling process and is committed to properly considering and resolving all complaints. If you have a complaint about your investment, please contact us on:

Phone: 1300 133 472

Post: Equity Trustees Limited

GPO Box 2307, Melbourne VIC 3001

Email: compliance@eqt.com.au

We will acknowledge receipt of the complaint within 1 Business Day or as soon as possible after receiving the complaint. We will seek to resolve your complaint as soon as practicable but not more than 30 calendar days after receiving the complaint.

If you are not satisfied with our response to your complaint, you may be able to lodge a complaint with the Australian Financial Complaints Authority ("AFCA").

Contact details are:

Online: www.afca.org.au

Phone: 1800 931 678

Email: info@afca.org.au

Post: GPO Box 3, Melbourne VIC 3001.

The external dispute resolution body is established to assist you in resolving your complaint where you have been unable to do so with us. However, it's important that you contact us first.

9. Other information

CONSENT

The Investment Manager has given and, as at the date of this PDS, has not withdrawn:

- its written consent to be named in this PDS as the investment manager of the Fund; and
- its written consent to the inclusion of the statements made about the Fund and which are specifically attributed to the Investment Manager in the form and context in which they appear.

The Investment Manager has not otherwise been involved in the preparation of this PDS or caused or otherwise authorised the issue of this PDS. Neither the Investment Manager nor its employees or officers accept any responsibility arising in any way for errors or omissions, other than those statements for which it has provided its written consent to Equity Trustees for inclusion in this PDS.

FURTHER READING

You should read the important information in the Reference Guide "Other important information" section about:

- Keeping on touch
- your privacy;
- the Constitution;
- the Anti-Money Laundering and Counter-Terrorism Financing laws ("AML/CTF laws");
- Indirect Investors;
- Common Reporting Standards;
- Net Asset Value ("NAV") of the Fund.

before making a decision to invest. Go to the Reference Guide at www.eqt.com.au/insto. The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

Target Market Determination

COOPER INVESTORS GLOBAL EQUITIES FUND (UNHEDGED)

INTRODUCTION

This Target Market Determination (**TMD**) is required under section 994B of the *Corporations Act 2001* (Cth) (**the Act**). This TMD describes the class of consumers that comprises the target market for the financial product and matters relevant to the product's distribution and review (specifically, distribution conditions, review triggers and periods, and reporting requirements). Distributors must take reasonable steps that will, or are reasonably likely to, result in distribution of the product being consistent with the most recent TMD (unless the distribution is excluded conduct).

This document is not a product disclosure statement (**PDS**) and is **not** a complete summary of the product features or terms of the product. This document does not take into account any person's individual objectives, financial situation or needs. Persons interested in acquiring this product should carefully read the PDS for the product before making a decision whether to buy this product.

Important terms used in this TMD are defined in the TMD Definitions at the end of this document. Capitalised terms have the meaning given to them in the product's PDS, unless otherwise defined. The PDS can be obtained by accessing <https://www.eqt.com.au/insto/>.

Target Market Summary

This product is intended for use as a minor allocation (<25% of total assets) for a consumer who is seeking capital growth and has a high to very high risk and return profile for that portion of their investment portfolio. It is likely to be consistent with the financial situation and needs of a consumer with a minimum seven year investment timeframe and who is unlikely to need to withdraw their money on less than one week's notice.

FUND AND ISSUER IDENTIFIERS

Issuer	Equity Trustees Limited	ISIN Code	AU60CIP00038
Issuer ABN	46 004 031 298	Market Identifier Code	
Issuer AFSL	240975	Product Exchange code	
Fund manager	Cooper Investors Pty Limited	TMD issue date	19.02.2024
TMD contact details	DDOCompliance@eqt.com.au	TMD Version	4
Fund name	Cooper Investors Global Equities Fund (Unhedged)	Distribution status of fund	Available / Current
ARSN	619 796 753		
APIR Code	CIP0003AU		

DESCRIPTION OF TARGET MARKET

TMD INDICATOR KEY

The Consumer Attributes for which the product is likely to be appropriate have been assessed using a red/amber/green rating methodology with appropriate colour coding:

In target market

See issuer instructions

Not in target market

INSTRUCTIONS

In the tables below, Column 1, Consumer Attributes, indicates a description of the likely objectives, financial situation and needs of the class of consumers that are considering this product. Column 2, TMD indicator, indicates whether a consumer meeting the attribute in column 1 is likely to be in the target market for this product.

APPROPRIATENESS

The Issuer has assessed the product and formed the view that the product, including its key attributes, is likely to be consistent with the likely objectives, financial situation and needs of consumers in the target market, as the features of this product in Column 3 of the table below are likely to be suitable for consumers with the attributes identified with a green TMD Indicator in Column 2.

INVESTMENT PRODUCTS AND DIVERSIFICATION

A consumer (or class of consumer) may intend to hold a product as part of a diversified portfolio (for example, with an intended product use of *minor allocation*). In such circumstances, the product should be assessed against the consumer's attributes for the relevant portion of the portfolio, rather than the consumer's portfolio as a whole. For example, a consumer may seek to construct a balanced or moderate diversified portfolio with a minor allocation to growth assets. In this case, a product with a *High* risk/return profile may be consistent with the consumer's objectives for that *minor allocation* notwithstanding that the risk/return profile of the consumer as a whole is *Medium*. In making this assessment, distributors should consider all features of a product (including its key attributes).

The FSC has provided more detailed guidance on how to take this *portfolio view* for diversification, available on the FSC website. This guidance only applies where a product is held as part of a diversified portfolio.



Consumer Attributes		TMD Indicator	Product description including key attributes
Consumer's investment objective			
Capital Growth	In target market		The Fund is likely to be suitable for investors seeking capital growth over the longer term. The Fund's investment objective is to outperform the MSCI All Countries World net dividends in Australian Dollars over rolling seven to ten-year periods. The Fund is not designed for investors seeking regular income payments. While the Fund usually distributes income bi-annually at 31 December and 30 June each year, there is no guarantee that any income will be generated.
Capital Preservation	Not in target market		
Income Distribution	Not in target market		
Consumer's intended product use (% of Investable Assets)			
Solution/Standalone (up to 100%)	Not in target market		The Fund primarily invests in the ordinary share (fully paid or contributing) of listed global companies, with a focus primarily on mid cap and smaller big cap companies. The Fund is concentrated (approximately 40 stocks) and is diversified by country, industry and currency. The Fund would be considered to have a high level of portfolio diversification.
Major allocation (up to 75%)	Not in target market		
Core component (up to 50%)	Not in target market		
Minor allocation (up to 25%)	In target market		
Satellite allocation (up to 10%)	In target market		
Consumer's investment timeframe			
Minimum investment timeframe	7	The minimum recommended time frame for investing in this Fund is 7 years to 10 years.	
Consumer's Risk (ability to bear loss) and Return profile			
Low	Not in target market		This Fund is considered high risk. It would likely be suitable for investors who have a high risk appetite and can accept high volatility and potential losses. The investor typically prefers growth assets.
Medium	Not in target market		
High	In target market		
Very high	Not in target market		
Extremely high	Not in target market		
Consumer's need to access capital			
Within one week of request	In target market		Investors can submit an application to withdraw their investment on a Business Day in Melbourne before 1:00pm Melbourne time. Funds will generally be available within 7 calendar days of receipt of a withdrawal request. However the Issuer can make payment up to 30 days after acceptance of a request.
Within one month of request	In target market		
Within three months of request	In target market		
Within one year of request	In target market		
Within 5 years of request	In target market		
Within 10 years of request	In target market		
10 years or more	In target market		
At issuer discretion	Not in target market		Not applicable.

Distribution conditions/ restrictions		
Distribution conditions	Distribution condition rationale	Distributors this condition applies to
<p>Suitable for retail distribution through dealing if distributor is reasonably satisfied that distribution is necessary to implement personal advice given to the consumer.</p> <p>Suitable for retail distribution through investment, super or wrap platforms, and investor directed portfolio service (IDPS) or IDPS-like scheme or other trading platform.</p> <p>Suitable for direct application by retail investors. Retail investors who apply directly via the unit registry must complete consumer attribute questions contained within the application form to identify the purpose of their investment.</p>	<p>The Issuer considers that the distribution condition will make it likely that consumers who acquire the product will be in the target market for the product, or the product will otherwise be appropriate for them.</p> <p>The issuer of each platform product has its own obligations as a distributor to take reasonable steps that will or are reasonably likely to result in retail product distribution conduct being consistent with this TMD.</p> <p>This distribution condition will make it likely that the issuer can identify if the product is being effectively distributed within the target market, and assess if a significant dealing event has occurred.</p>	All distributors

Review triggers
Material change to key attributes, fund investment objective and/or fees.
Material deviation from benchmark / objective over sustained period.
Key attributes have not performed as disclosed by a material degree and for a material period.
Determination by the issuer of an ASIC reportable Significant Dealing.
Material or unexpectedly high number of complaints (as defined in section 994A(1) of the Act) about the product or distribution of the product.
The use of Product Intervention Powers, regulator orders or directions that affects the product.

Mandatory TMD review periods	
Review Period	Maximum period for review
Initial Review	15 months
Subsequent review	15 months

Distributor reporting requirements		
Reporting requirement	Reporting period	Which distributors this requirement applies to
Complaints (as defined in section 994A(1) of the Act) relating to the product. The distributor should provide all the content of the complaint, having regard to privacy.	As soon as practicable but no later than 10 business days following end of calendar quarter.	All distributors
Significant dealing outside of target market, under section 994F(6) of the Act. See Definitions for further detail.	As soon as practicable but no later than 10 business days after distributor becomes aware of the significant dealing.	All distributors

If practicable, distributors should adopt the FSC data standards for reports to the issuer. Distributors must report to the Issuer by contacting DDOCompliance@eqt.com.au.

Issued by Equity Trustees Limited ABN 46004031298 AFSL 240975 (Issuer). Issuer is the responsible entity and issuer of units in the managed investment scheme referred to in this material. This material provides general information only and does not take into account your individual objectives, financial situation, needs or circumstances. Before making any investment decision, you should assess whether the material is appropriate for you and obtain financial advice tailored to you having regard to your individual objectives, financial situation, needs and circumstances. This material is not a financial product recommendation or an offer or solicitation with respect to the purchase or sale of any financial product in any jurisdiction.

Definitions

Term	Definition
Consumer's investment objective	
Capital Growth	The consumer seeks to invest in a product designed or expected to generate capital return over the investment timeframe. The consumer prefers exposure to growth assets (such as shares or property) or otherwise seeks an investment return above the current inflation rate.
Capital Preservation	The consumer seeks to invest in a product designed or expected to have low volatility and minimise capital loss. The consumer prefers exposure to defensive assets that are generally lower in risk and less volatile than growth investments (this may include cash or fixed income securities).
Income Distribution	The consumer seeks to invest in a product designed or expected to distribute regular and/or tax-effective income. The consumer prefers exposure to income-generating assets (this may include high dividendyielding equities, fixed income securities and money market instruments).
Consumer's intended product use (% of Investable Assets)	
Solution/Standalone (up to 100%)	The consumer may hold the investment as up to 100% of their total <i>investable assets</i> . The consumer is likely to seek a product with <i>very high</i> portfolio diversification.
Major allocation (up to 75%)	The consumer may hold the investment as up to 75% of their total <i>investable assets</i> . The consumer is likely to seek a product with at least <i>high</i> portfolio diversification.
Core Component (up to 50%)	The consumer may hold the investment as up to 50% of their total <i>investable assets</i> . The consumer is likely to seek a product with at least <i>medium</i> portfolio diversification.
Minor allocation (up to 25%)	The consumer may hold the investment as up to 25% of their total <i>investable assets</i> . The consumer is likely to seek a product with at least <i>low</i> portfolio diversification.
Satellite allocation (up to 10%)	The consumer may hold the investment as up to 10% of the total <i>investable assets</i> . The consumer may seek a product with <i>very low</i> portfolio diversification. Products classified as <i>extremely high</i> risk are likely to meet this category only.
<i>Investable Assets</i>	Those assets that the investor has available for investment, excluding the residential home.
Portfolio diversification (for completing the key product attribute section of consumer's intended product use) Note: exposures to cash and cash-like instruments may sit outside the diversification framework below.	
Very low	The product provides exposure to a single asset (for example, a commercial property) or a niche asset class (for example, minor commodities, crypto-assets or collectibles).
Low	The product provides exposure to a small number of holdings (for example, fewer than 25 securities) or a narrow asset class, sector or geographic market (for example, a single major commodity (e.g. gold) or equities from a single emerging market economy).
Medium	The product provides exposure to a moderate number of holdings (for example, up to 50 securities) in at least one broad asset class, sector or geographic market (for example, Australian fixed income securities or global natural resources).

Term	Definition
High	The product provides exposure to a large number of holdings (for example, over 50 securities) in multiple broad asset classes, sectors or geographic markets (for example, global equities).
Very high	The product provides exposure to a large number of holdings across a broad range of asset classes, sectors <u>and</u> geographic markets with limited correlation to each other.
Consumer's intended investment timeframe	
Minimum	The minimum suggested timeframe for holding the product. Typically, this is the rolling period over which the investment objective of the product is likely to be achieved.
Consumer's Risk (ability to bear loss) and Return profile	
<p>This TMD may use the Standard Risk Measure (SRM) as an input to the assessment of the risk and return profile of the product, but may not necessarily be the only input used. The SRM estimates the likely number of negative annual returns for a product over a 20 year period. The SRM may be supplemented by other risk factors, such as the potential size of a negative or positive return, liquidity or withdrawal limitations, underlying investments with valuation risks or risks of capital loss, the use of leverage or short selling, or otherwise may have complex structures. A consumers desired product return profile will generally take into account the impact of fees, costs and taxes.</p>	
Low	<p>For the relevant part of the consumer's portfolio, the consumer:</p> <ul style="list-style-type: none"> • has a conservative or low risk appetite, • seeks to minimise volatility and potential losses (e.g. has the ability to bear up to 1 negative return over a 20 year period (SRM 1 to 2)), and • is comfortable with a low target return profile. <p>The consumer typically prefers stable, defensive assets (such as cash).</p>
Medium	<p>For the relevant part of the consumer's portfolio, the consumer:</p> <ul style="list-style-type: none"> • has a moderate or medium risk appetite, • seeks low volatility and potential losses (e.g. has the ability to bear up to 4 negative returns over a 20 year period (SRM 3 to 5)), and • is comfortable with a moderate target return profile. <p>The consumer typically prefers defensive assets (for example, fixed income).</p>
High	<p>For the relevant part of the consumer's portfolio, the consumer:</p> <ul style="list-style-type: none"> • has a high risk appetite, • can accept high volatility and potential losses (e.g. has the ability to bear up to 6 negative returns over a 20 year period (SRM 5 or 6)), and • seeks high returns (typically over a medium or long timeframe). <p>The consumer typically prefers growth assets (for example, shares and property).</p>
Very high	<p>For the relevant part of the consumer's portfolio, the consumer:</p> <ul style="list-style-type: none"> • has a very high risk appetite, • can accept very high volatility and potential losses (e.g. has the ability to bear 6 to 7 negative returns over a 20 year period (SRM 6 or 7)), and • seeks very high returns (typically over a medium or long timeframe). <p>The consumer typically prefers high growth assets (such as high conviction portfolios, hedge funds, and alternative investments).</p>

Term	Definition
Extremely high	<p>For the relevant part of the consumer's portfolio, the consumer:</p> <ul style="list-style-type: none"> • has an extremely high risk appetite, • can accept extremely high volatility and potential losses (eg. has the ability to bear more than 7 negative returns over a 20 year period), and • seeks to maximise returns (potentially in a short timeframe). <p>The consumer seeks extremely high risk, speculative or complex products which may have features such as significant use of derivatives, leverage or short positions or may be in emerging or niche asset classes (for example, crypto-assets or collectibles).</p>
Consumer's need to access capital	
<p>This consumer attribute addresses the likely period of time between the making of a request for redemption/withdrawal (or access to investment proceeds more generally) and the receipt of proceeds from this request under ordinary circumstances. Issuers should consider both the frequency for accepting the request and the length of time to accept, process and distribute the proceeds of such a request. To the extent that the liquidity of the underlying investments or possible liquidity constraints (e.g. ability to stagger or delay redemptions) could impact this, this is to be taken into consideration in aligning the product to the consumer's need to access capital. Where a product is held on investment platforms, distributors also need to factor in the length of time platforms take to process requests for redemption for underlying investments. Where access to investment proceeds from the product is likely to occur through a secondary market, the liquidity of the market for the product and likely realisable value on market should be considered, including in times of market stress.</p>	
Distributor Reporting	
Significant dealings	<p>Section 994F(6) of the Act requires distributors to notify the issuer if they become aware of a significant dealing in the product that is not consistent with the TMD. Neither the Act nor ASIC defines when a dealing is 'significant' and distributors have discretion to apply its ordinary meaning. The issuer will rely on notifications of significant dealings to monitor and review the product, this TMD, and its distribution strategy, and to meet its own obligation to report significant dealings to ASIC.</p> <p>Dealings outside this TMD may be significant because:</p> <ul style="list-style-type: none"> • they represent a material proportion of the overall distribution conduct carried out by the distributor in relation to the product, or • they constitute an individual transaction which has resulted in, or will or is likely to result in, significant detriment to the consumer (or class of consumer). <p>In each case, the distributor should have regard to:</p> <ul style="list-style-type: none"> • the nature and risk profile of the product (which may be indicated by the product's risk rating or withdrawal timeframes), • the actual or potential harm to a consumer (which may be indicated by the value of the consumer's investment, their intended product use or their ability to bear loss), and • the nature and extent of the inconsistency of distribution with the TMD (which may be indicated by the number of red and/or amber ratings attributed to the consumer). <p>Objectively, a distributor may consider a dealing (or group of dealings) outside the TMD to be significant if:</p> <ul style="list-style-type: none"> • it constitutes more than half of the distributor's total retail product distribution conduct in relation to the product over the quarter, • the consumer's intended product use is <i>solution/standalone</i>, • the consumer's intended product use is core component or higher and the consumer's risk/return profile is <i>low</i>, or • the relevant product has a green rating for consumers seeking <i>extremely high</i> risk/return.

Responsible Entity: Equity Trustees Limited | ABN 46 004 031 298 | AFSL No: 240975
Investment Manager: Cooper Investors Pty Ltd | ABN 26 100 409 890 | AFSL No: 221794

Application Form

Cooper Investors Global Equities Fund (Unhedged)

APPLICATION OPTIONS:

OPTION A: APPLY ONLINE AND PAY ELECTRONICALLY (RECOMMENDED)

Apply online at: <https://apply.automic.com.au/cooper-investors-global-equities-fund-unhedged>

- ✓ **Pay electronically:** Applying online allows you to pay electronically at the time of making your application.
- ✓ **Applying online is simple:** Applying online is very easy to do, it eliminates any postal delays and removes the risk of your Application being potentially lost in transit.
- ✓ **Receive immediate confirmation:** Applying online provides you with greater privacy over your instructions and is the only method which provides you with immediate confirmation that your application has been successfully processed.

OPTION B: STANDARD PAPER-BASED APPLICATION AND PAYMENT

Please complete this form in accordance with the instructions below.

1. READ THE PRODUCT DISCLOSURE STATEMENT

Please read and ensure you understand the PDS and any product guide and Important Information. The law prohibits any person passing this Application Form on to another person unless it is accompanied by a complete PDS. We will provide a paper or electronic copy of the current PDS and its incorporated documents on request and without charge.

2. COMPLETE THIS APPLICATION FORM:

Please write in BLOCK letters, using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistake and initial your changes. The investor(s) must complete and sign the form. Keep a photocopy of the completed Application Form for your records.

3. 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 that you complete the relevant section/s under Section 8.

4. CERTIFY AND PROVIDE YOUR IDENTIFICATION DOCUMENTS

Please refer to Appendix A 'Identification and verification' and provide the relevant identification documentation as outlined in this Application form.

5. US PERSONS

This offer is not open to any US Person. Please refer to the PDS for further information.

6. IF INVESTING WITH AN AUTHORISED REPRESENTATIVE, AGENT OR FINANCIAL ADVISER

Please ensure that you, your authorised representative, agent and/or financial adviser also complete the relevant section/s under Section 9.

7. SEND YOUR DOCUMENTS

Return your Application Form and certified documents to:

By Email:

Cooper Investors Global Equities Fund (Unhedged)
cooperinvestors@automicgroup.com.au

By Post:

Cooper Investors Global Equities Fund (Unhedged)
GPO Box 5193
Sydney NSW 2000

OR... Save time and apply
online:
See details above

8. MAKE YOUR PAYMENT

To make payment, please return your form with your email address provided in section 2.1. When your application is processed by our unit registry you will be sent an automated email confirmation. This will provide you with your personalised payment instructions to make your payment.



IMPORTANT: You must ensure that you use the unique payment ID that is provided in this email confirmation otherwise we may not be able to identify your funds and your application will be rejected.



Need help with your application? Please contact us on:

Email: cooperinvestors@automicgroup.com.au
Phone (within Australia): 1300 124 068
Phone (outside Australia): +61 (0)2 8072 1428

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.cooperinvestors.com/funds/cooper-investors-global-equities-fund-unhedged>

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 received general 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- 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 – 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 10 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

1. INVESTMENT DETAILS

1.1 INVESTMENT AMOUNT: I/We apply to invest in Cooper Investors Global Equities Fund (Unhedged)

Applications must be for a minimum of A\$20,000.

\$AUD

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2. CONTACT DETAILS

2.1 CONTACT DETAILS: Please specify contact details below.

Contact Name

Contact Telephone Number

Primary Email Address:

By providing your email address, you elect to receive all communications electronically by the Responsible Entity (where legally permissible).

Additional Email Addresses (you can nominate up to 5 additional email addresses)

By providing any additional email addresses, you also elect to receive all communications electronically by the Responsible Entity (where legally permissible).

3. DISTRIBUTION REINVESTMENT PLAN

3.1 REINVESTMENT DISTRIBUTION ELECTION: Please indicate below how you would like to receive fund distributions.

A nomination in this section overrides any previous nominations within the same fund. There may be periods in which no distribution is payable, or we may make interim distributions. We do not guarantee any particular level of distribution:

☐

Reinvest in the Fund

☐

Receive cash distribution.

[Please complete section 4.1 below]

4. PAYMENT INSTRUCTION

4.1 DIRECT CREDITING PAYMENT INSTRUCTIONS (DISTRIBUTIONS & REDEMPTIONS): Please provide your EFT details below for all cash payments.

Payments will only be made electronically. We will not make any payments into third party bank accounts.

Investors who do not provide EFT details will have distribution payments defaulted into reinvestment (where eligible), or otherwise withheld.



PLEASE NOTE: Distribution payments will be directly credited **ONLY** to an AUD Australian domiciled bank account held in the investor's name.

BSB

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Account Number

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DO NOT USE YOUR CARD NUMBER

If you are unsure of your BSB or account number, please check with your bank, building society or credit union





Account Name





5. SECTIONS TO COMPLETE AND IDENTIFICATION REQUIRED



IMPORTANT: Complete the sections outlined as applicable to your investor type

Please refer to the column 'Identification Documentation Required' for guidance on the documentation you must provide as part of your application.

Investor Type	Description	To Be Completed	Identification Documentation Required
 Individual/Joint Investors	A natural person or persons.	Section 6.1 Section 7 Section 8.1 Section 8.7 Section 9 (if applicable) Section 10.3	Refer to Group A (page 7) which outlines all the acceptable forms of identification. The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation
 Sole Trader	A natural person operating a business under their own name with registered business name.	Section 6.1 Section 7 Section 8.1 Section 8.7 Section 9 (if applicable) Section 10.3	Refer to Group A (page 7) which outlines all the acceptable forms of identification. The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation
 Companies	A company registered as an Australian public company or an Australian proprietary company, or a foreign company.	Section 6.3 Section 7 Section 8.2 (if applicable) Section 8.3 (if applicable) Section 8.4 Section 8.5 Section 8.7 Section 9 (if applicable) Section 10.3	Refer to Group C (page 11) which outlines all the acceptable forms of identification. The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation
 Trust/Superannuation Fund with Individual Trustees	Types of trusts include self-managed superannuation funds, registered managed investment schemes, unregistered wholesale managed investment schemes, government superannuation funds or other trusts (such as family trusts and charitable trusts).	Section 6.1 Section 6.4 Section 7 Section 8.2 (if applicable) Section 8.3 (if applicable) Section 8.4 Section 8.5 Section 8.7 Section 9 (if applicable) Section 10.3	For the Individual Trustees – Refer to Group A (page 7) which outlines all the acceptable forms of identification. For the Trust/Superannuation Fund - Refer to Group D (page 13) which outlines all the acceptable forms of identification. The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation

 <p>Trust/Superannuation Fund with Corporate Trustee</p>	<p>Types of trusts include self-managed superannuation funds, registered managed investment schemes, unregistered wholesale managed investment schemes, government superannuation funds or other trusts (such as family trusts and charitable trusts).</p>	<p>Section 6.3 Section 6.4 Section 7 Section 8.2 (if applicable) Section 8.3 (if applicable) Section 8.4 Section 8.5 Section 8.6 Section 8.7 Section 9 (if applicable) Section 10.3</p>	<p>For the Corporate Trustee – Refer to Group C (page 11) which outlines all the acceptable forms of identification.</p> <p>For the Trust/Superannuation Fund - Refer to Group D (page 13) which outlines all the acceptable forms of identification.</p> <p>The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation</p>
 <p>Trust/Superannuation Fund with Individual Trustee and Corporate Trustee</p>	<p>Types of trusts include self-managed superannuation funds, registered managed investment schemes, unregistered wholesale managed investment schemes, government superannuation funds or other trusts (such as family trusts and charitable trusts).</p>	<p>Section 6.1 Section 6.3 Section 6.4 Section 7 Section 8.2 (if applicable) Section 8.3 (if applicable) Section 8.4 Section 8.5 Section 8.6 Section 8.7 Section 9 (if applicable) Section 10.3</p>	<p>For the Individual Trustees – Refer to Group A (page 7) which outlines all the acceptable forms of identification.</p> <p>For the Corporate Trustee – Refer to Group C (page 11) which outlines all the acceptable forms of identification.</p> <p>For the Trust/Superannuation Fund - Refer to Group D (page 13) which outlines all the acceptable forms of identification.</p> <p>The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation</p>
 <p>Partnership</p>	<p>A partnership created under a partnership agreement.</p>	<p>Section 6.2 Section 7 Section 8 Section 8.7 Section 9 (if applicable) Section 10.3</p>	<p>Refer to Group B (page 9) which outlines all the acceptable forms of identification.</p> <p>The documentation MUST BE certified. Please refer to APPENDIX A (page 25) as to whom can certify documentation</p>
 <p>Custodian</p>		<p>Section 6.5 Section 7 Section 8 Section 8.7 Section 9 (if applicable) Section 10.3</p>	

6.1 INVESTOR DETAILS: INDIVIDUALS / JOINT INVESTORS / INDIVIDUAL TRUSTEE(S) / SOLE TRADER

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

INVESTOR 1/TRUSTEE 1:

Title	First Name(s)
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	
Date of Birth	
<input type="text"/>	
Address: Unit / Street Number / Street Name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>

INVESTOR 2/TRUSTEE 2:

Title	First Name(s)
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	
Date of Birth	
<input type="text"/>	
Address: Unit / Street Number / Street Name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>

Select the primary address for the investment account – only 1 address can be made the primary address. If no selection is made or the selection is invalid, the investor 1 address will be applied.

☐

Investor 1 address above is the primary address

☐

Investor 2 address above is the primary address

TAX DETAILS:

If you are an Australian resident for tax purposes, please provide your tax file number (TFN) or exemption code. If you are an Australian resident and do not provide your TFN, or exemption code, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN or Exemption Code (Investor 1)

TFN or Exemption Code (Investor 2)

Non-Australian residents: If you are not an Australia resident for tax purposes, please indicate your country of residence.

Foreign tax domicile (Investor 1)

Foreign tax domicile (Investor 2)

SOLE TRADERS – Additional Information required if a Sole Trader

Full Business Name

Australian Business Number (ABN)

If there are more than two individual investors/trustees, please provide the full name, date of birth, and residential address of each on a separate sheet and attach to this form.

IDENTIFICATION DOCUMENTS:

To comply with Australia's Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) legislation, we must collect certain information from prospective investors and their beneficial owners supported by certified copies of relevant identification documents for all investors and their beneficial owners.

☐

Electronic-based verification (AML link in the 'Application Confirmation' sent to your email once your application has been processed)

☐

Document-based verification (see below)

Please refer to Appendix A at the end of the Application Form for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

GROUP A – Individual/Sole Trader/Joint or Individual 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 (not expired more than 2 years previously).
- A foreign passport or international travel document (must not be expired) that includes a photo and signature.
- An identity card issued by a State or Territory Government that includes a photo and date of birth.

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
<ul style="list-style-type: none"> • Australian birth certificate • Australian citizenship certificate. • Pension card issued by Department of Human Services. • Health care card issued by Centrelink. 	<ul style="list-style-type: none"> • 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.

6.2 INVESTOR DETAILS: PARTNERSHIP

Complete this section if you are investing for, or on behalf of, a partnership.

Full Name of Partnership

Country where partnership is established

ACN/ABN (if registered in Australia)

Name of Regulator (if licensed by an Australian Commonwealth, State or Territory statutory regulator)

Registered Address

Suburb

State

Postcode

Country

Postal Address (if different from above)

Suburb

State

Postcode

Country

Note: The postal address will be used for all account correspondence; however we also require your registered address.

Is the Partnership regulated by a professional association?

☐

Yes - Name of Association

Provide membership details

☐

No - How many partners are in the partnership

Partner 1:

Title

First Name(s)

Surname

Date of Birth

/

/

Address: Unit / Street Number / Street Name

Suburb

State

Postcode

Country

Partner 2:

Title

First Name(s)

Surname

Date of Birth

/

/

Address: Unit / Street Number / Street Name

Suburb

State

Postcode

Country

Partner 3:

Title

First Name(s)

Surname

Date of Birth

/

/

Address: Unit / Street Number / Street Name

Suburb

State

Postcode

Country

Partner 4:

Title

First Name(s)

Surname

Date of Birth

/

/

Address: Unit / Street Number / Street Name

Suburb

State

Postcode

Country

If there are more partners, provide details on a separate sheet and tick this box

If there are more partners, provide details on a separate sheet and confirm the total number of partners in the box

IDENTIFICATION DOCUMENTS:

To comply with Australia’s Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) legislation, we must collect certain information from prospective investors and their beneficial owners supported by certified copies of relevant identification documents for all investors and their beneficial owners.

- ☐ Electronic-based verification (AML link in the ‘Application Confirmation’ sent to your email once your application has been processed)
- ☐ Document-based verification (see below)

Please refer to Appendix A at the end of the Application Form for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

GROUP B – Partnerships

Regulated partnerships

Provide one of the following:

- An original partnership agreement; or
- A certified copy or certified extract of the partnership agreement; or
- A certified copy or certified extract of minutes of a partnership meeting; or
- Membership details independently sourced from the current membership directory of the relevant professional association; or
- A search of the relevant ASIC or other regulator's database; or
- A notice (such as a notice of assessment) issued by the ATO within the last 12 months; or
- An original or certified copy of a certificate of registration of business name issued by a government or government agency in Australia; or
- A letter from a solicitor or qualified accountant verifying the name and existence of the entity.

Unregulated partnerships

Provide one of the following:

- A certified copy or certified extract of the partnership agreement; or
- A certified copy or certified extract of minutes of a partnership meeting; or
- Membership details independently sourced from the current membership directory of the relevant professional association; or
- A search of the relevant regulator's database; or
- A notice (such as a notice of assessment) issued by the ATO within the last 12 months; or
- An original or certified copy of a certificate of registration of business name issued by a government; or
- A letter from a solicitor or qualified accountant verifying the name and existence of the entity.

Each partner from the partnership must provide one of the following IDs as stated in:

- *Table Group A – Individual/Sole Trader/Joint or Individual trustee* at page. 7, for an individual; or
- *Table Group C – Company/Corporate Trustee* at page. 11, for companies.

For each beneficial owners or senior managing officials, provide one of the following IDs as stated in Table Group A - Individual/Sole Trader/Joint or Individual trustee at page 7.

6.3 INVESTOR DETAILS: COMPANY/CORPORATE TRUSTEE

Complete this section if you are investing for, or on behalf of, a company.

Full Company Name

Country of Formation, Incorporation or Registration

ARBN (if registered with ASIC)

ACN/ABN (if registered in Australia)

Tax File Number or Exemption Code (Australian residents)

AFS License Number (if applicable)

Name of Regulator (if licensed by an Australian Commonwealth, State or Territory statutory regulator)

Registered Business Address

Suburb

State

Postcode

Country

Principal Place of Business (not a PO Box address)

Suburb

State

Postcode

Country

If an Australian Company, registration status with ASIC.

☐

Proprietary Company

☐

Public Company

If a Foreign Company, registration status with the relevant foreign registration body

☐

Proprietary Company

☐

Public Company

☐

Other - Please Specify

Name of Relevant Foreign Registration Body

Foreign Company Identification Number

Tax File Number or Exemption Code (Australian residents)

AFS License Number (if applicable)

Is the Company Listed?

☐

No

☐

Yes - Name of Market/Stock Exchange

Is the Company a majority-owned subsidiary of an Australian listed company?

☐

No

☐

Yes - Name of Australian Listed Company

- Name of Market/Stock Exchange

DIRECTORS OF THE COMPANY/CORPORATE TRUSTEE

If the company is registered as a proprietary company by ASIC or a private company by a foreign registration body, please list the name of each director of the company.

Director 1 – Full Name

Director 4 – Full Name

Director 2 – Full Name

Director 5 – Full Name

Director 3 – Full Name

Director 6 – Full Name

BENEFICIAL OWNERS OF THE COMPANY/CORPORATE TRUSTEE

Please provide the details of the Beneficial Owner of the company who directly or indirectly controls the company in Section 8.6.

IDENTIFICATION DOCUMENTS:

To comply with Australia's Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) legislation, we must collect certain information from prospective investors and their beneficial owners supported by certified copies of relevant identification documents for all investors and their beneficial owners.

- ☐ Electronic-based verification (AML link in the 'Application Confirmation' sent to your email once your application has been processed)
- ☐ Document-based verification (see below)

Please refer to Appendix A at the end of the Application Form for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

GROUP C – Company/Corporate Trustee

Australian Companies

Provide one of the following:

- 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 company ASIC extract issued in the previous 3 months or the company's last annual statement showing all the Directors/ Officers and Shareholders of the company.
- 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.
- The company's last annual statement issued by ASIC.

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

Foreign Companies

Provide one of the following:

- A certified copy of the company's Certificate of Registration or incorporation issued by ASIC or the equivalent issued by the foreign jurisdiction(s) in which the company was incorporated, established or formed.
- A certified copy of the company's articles of association or constitution and a certified company share structure
- A company extract (ASIC or foreign registration body) issued in the previous 3 months showing all the Directors/Officers and Shareholders of the company.
- A copy of the last annual company statement issued by the 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 or controlling person (senior managing official and shareholder) as listed under Group A.

A beneficial owner of a company is any person 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) and is thus the controlling person.

Authorised Signatories

- A certified copy of the ASL with the full name, position and signature of each authorised representative
- A certified copy of the authorising document (e.g. Power of Attorney)
- Please tick to confirm the authoring document or Power of Attorney is still valid and has not been revoked.

6.4 INVESTOR DETAILS: TRUST/SUPERANNUATION FUND

Complete this section if you are investing for, or on behalf of, a Trust/Superannuation Fund.

Full Name of Trust/Superannuation Fund

Country of Establishment

Tax File Number (TFN) or Exemption Code

Australian Business Number (ABN) (if any)

TYPE OF TRUST

(Please tick ONE box from the list below to indicate the type of Trust and provide the required information)

Type A: ☐ Regulated Trust (e.g. self-managed superannuation fund)

Name of regulator (e.g. ASIC, APRA, ATO)

Registration/Licensing details or ABN

Type B: ☐ Registered Managed Investment Scheme (MIS)

Australian Registered Scheme Number (ARSN)

Type C: ☐ Unregistered Managed Investment Scheme (MIS)

Trust ABN or Registered Licence Number

Type D: ☐ Government Superannuation Fund

Name of the legislation establishing the fund

Type E: ☐ Foreign Superannuation Fund

Name of regulator

Registration/Licensing details

Type F: ☐ Other Type of Trust/Unregulated Trust

Trust Description (e.g. family, unit, charitable)

If Type E or F, please complete the below Beneficiary details.

Do the terms of the Trust identify the beneficiaries by reference to a membership of a class?

☐ Yes

Describe the class of beneficiaries below (e.g. unit holders, family members of named person, charitable purposes, etc)

☐ No

Provide the full names of each beneficiary in respect of the trust in section 8.6 (includes the beneficial owners who ultimately own 25% or more of the trust)

If the Trustee is an **Individual**, please also complete Section 6.1.

If the Trustee is a **Company**, please also complete Section 6.3.

Settlor details

Note: The settlor may be the person or entity that provided the applicant with funds to make the investment and may be specified in the trust or relationship agreement. If not, the settlor may be the person or entity that appointed the applicant as nominee or sub-custodian.

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 as the initial asset contribution was less than \$10,000; and/or

☐ This information is not required as the settlor is deceased

Settlor's full name and last known address

IDENTIFICATION DOCUMENTS:

To comply with Australia's Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) legislation, we must collect certain information from prospective investors and their beneficial owners supported by certified copies of relevant identification documents for all investors and their beneficial owners.

☐ Electronic-based verification (AML link in the 'Application Confirmation' sent to your email once your application has been processed)

☐ Document-based verification (see below)

Please refer to Appendix A at the end of the Application Form for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

☐ Provide the ABN for the superannuation fund OR

☐ Provide a certified copy or a certified extract of the Trust Deed containing the cover page, recitals and signature page.

GROUP D – Trust/Superannuation Fund

Regulated Trusts

Registered Managed Investment Scheme, Government Superannuation Fund or a trust registered with the Australian Charities and Not-for-Profit Commission (ACNC), or a regulated, complying Superannuation Fund, retirement or pension fund (including a self-managed super fund)

Provide one of the following:

A copy of the company search of the relevant regulator's website e.g. APRA, ASIC or ATO.

- **Superannuation funds** go to www.abn.business.gov.au, select the 'Super Fund Lookup' option and print out the results for your super fund.
- **Registered managed investment schemes** an ASIC search of the scheme.
- **Unregistered managed investment schemes (MIS)** a letter from a lawyer or a qualified accountant confirming that the unregistered MIS only has wholesale clients and does not make small scale offerings to which s1012E of the Corporations Act applies OR the relevant offer document.
- **Government superannuation funds** an extract of the establishing legislation.
- **Trust as a charity** a copy from the ACNC of information registered.
- 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.).

Unregulated Trust

All other Unregulated trust (including a Foreign trust), provide the following:

- **Trust Deed** – 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.).
- **Letter of compliance for nominees and sub-custodians** – If you have relied on the ACIP and OCDD performed by a member of your designated Business Group in respect to the underlying investor, please attach a signed AML/CTF compliance letter from the entity that has appointed you.
- **Margin loan** – For Margin Lenders or Nominees of the Margin Lender, please provide a certified copy or certified extract of the Loan Agreement with the Borrower.

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 C.

6.5 CUSTODIAN ATTESTATION

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.

Do you provide a custodial or depository service of the kind described in item 46 of table 1 in subsection 6(2) of the AML/CTF Act 2006 (Cth)? (i.e. to the underlying investor not your related body corporate).

☐ Yes ☐ No

Do you hold an AFSL or are you exempt from the requirement to hold such license? If Yes, AFSL Number or specify the grounds for exemption.

☐ Yes ☐ No

Are you enrolled as a reporting entity with AUSTRAC, or do you satisfy one of the 'geographical link' tests in subsection 6(6) of the Anti-Money Laundering and Counter-Terrorism Financing Act (AML/CTF Act)?

☐ Yes ☐ No

Have you carried out all Applicable Customer Identification Procedures (ACIP) and ongoing customer due diligence (OCDD) requirements in accordance with chapter 15 of the AML/CTF Rules in relation to your underlying customers? (including where you have relied on a member of your designated business group or an Authorised representative to perform the ACIP and OCDD).

☐ Yes ☐ No

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?

☐ Yes ☐ No

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.

☐ Yes ☐ No

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 the 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.


If you have answered **Yes** to all questions in Section 6.5, please complete Section 8.7.

If you have answered **No** to any questions in Section 6.5, please complete Section 6.4.

Definition of Custodian:

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 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.

 **IMPORTANT:** Failure to complete electronic OR paper-based verification will result in your application being rejected.

IDENTIFICATION DOCUMENTS:

To comply with Australia's Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) legislation, we must collect certain information from prospective investors and their beneficial owners supported by certified copies of relevant identification documents for all investors and their beneficial owners.

The Trustee and Investment Manager are required to comply with the Anti-Money Laundering and Counter Terrorism Financing Act 2006 (Cth) and associated rules and regulations (AML/CTF Laws). This means that the Trustee may require Unitholders to provide personal information and documentation when investing in the Fund. The Trustee may need to obtain additional information and documentation to process applications or subsequent transactions or at other times.

Please ensure that you complete these details to enable your application to be processed.

Important Information

Automic Group uses an electronic verification service provider, BronID, for identity verification and risk assessment services to determine, with reasonable satisfaction, that an individual is who they claim to be. The Responsible Entity must undertake this check to meet its obligations under Anti-Money Laundering and Counter-Terrorism Financing laws in Australia.

You will be directed to input personal information including your name, residential address and date of birth. The BronID platform is then used to assess whether the personal information matches (in whole or part) the personal information held by government data sources, or credit reporting bodies. BronID uses the personal information to prepare an assessment, which it provides to Automic Group.

If the identity verification cannot be completed by using an electronic verification search through BronID, or you do not consent to the electronic verification process, Automic Group will request that your identity be verified by providing certified copies of identity documents.

☐

By proceeding with this application, I/we consent to the making of this request and the disclosure of the personal information to BronID.

Please refer to [Appendix A at the end of the Application Form](#) for details of how to arrange certified copies. Please provide all documents in the proper format otherwise we may not be able to process your application for investment.

Summary of common entities and their requirements.

Select one of the following options to verify a *Superannuation Fund* or a *Regulated Trust*.

- Perform a search of the relevant regulator's website e.g. 'Super Fund Lookup' (unit registry to perform);
- Provide a copy of an offer document of the managed investment scheme e.g. a copy of a Product Disclosure Statement; or
- Provide a copy of the legislation establishing the government superannuation fund sourced from a government website.

Select one of the following options to verify an *Unregulated Trust* or a *Foreign Superannuation Fund*.

- Provide a certified copy or a certified extract of the Trust Deed containing the cover page, recitals and signature page;
- Provide an original letter from a solicitor or qualified accountant that confirms the name of the Trust; or
- Provide a notice issued by the Australian Taxation Office within the last 12 months (e.g. a Notice of Assessment).

Select one of the following options to verify the *Beneficiaries and the Beneficial Owners* identified in Section 8.6.

- Provide a certified copy of a current Australian driver's licence that contains a photograph of the licence/permit holder; or
- Provide a certified copy of a passport* that contains a photograph and signature of the passport holder.
- AND relevant identification documents for the trustee (as applicable).

*Please note that your passport can current or be recently expired (within the last 2 years).

8. TAX DECLARATION (FATCA AND CRS)



IMPORTANT: Failure to complete this section will result in your application being rejected.

The certification is being used to comply with the U.S. Foreign Account Tax Compliance Act (FATCA) and OECD Common Reporting Standards (CRS).

Australia is a participant in the Automatic Exchange of Information (AEOI) regime concerning the automatic exchange of financial account information with foreign jurisdictions. The regime aims to address tax evasion at a global level. The relevant laws are the Foreign Account Tax Compliance Act (FATCA) in the case of exchange by Australia with the United States of America (U.S.) and the Common Reporting Standard (Standard) in the case of exchange by Australia with other countries that have implemented the Standard. The Standard commenced operation in Australia on 1 July 2017.

The Foreign Account Tax Compliance Act (FATCA) relates to US taxpayers and the Common Reporting Standard (CRS) is a broader framework for the exchange of financial account information between jurisdictions relating to all non-Australian taxpayers.

To comply with FATCA and CRS, as a financial institution, we must collect information about your tax status before opening your account. In some cases, this information will need to be reported to the Australian Taxation Office who may then pass this information to tax authorities in other jurisdictions. Please note that if you do not complete this section, we may not be able to process your application.

Further information about this regime is available at the website URL shown below:

<https://www.ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/Automatic-exchange-of-information---CRS-and-FATCA/>

As a result of Australia's participation in the regime applicants must certify their country of tax residency. Where required the information will be reported to the Australian Taxation Office (ATO) which will report to various global tax authorities.

If you are unable to complete this form, please seek appropriate advice relating to the tax information required.

The account holder is the persons listed or identified as applicant in Section 2 (Account Holder).

The Account Holder's Country of Tax Residence, Taxpayer Identification Number (TIN) or Tax File Number (TFN), Global Intermediary Identification Number (GIIN), FATCA Status, CRS Status and Controlling Persons (includes Beneficial Ownership details) must be provided in this section. If the person opening the account is not a Financial Institution and is acting as an intermediary, agent, custodian, nominee, signatory, investment advisor or legal guardian on behalf of one or more other account holders, this form must be completed by or on behalf of that other person who is referred to as the Account Holder.

PLEASE NOTE: If you are applying:

- As an **Individual/Joint Investors/Sole Trader** please complete **Sections 8.1 (if required)** and **8.7**.
- All other types of entities** please complete **Sections 8.2 (if required), 8.3 (if required), 8.4, 8.5, 8.6 and 8.7**.

8.1 TAX RESIDENCE – INDIVIDUAL/JOINT INVESTORS/SOLE TRADER

8.1.1 INVESTOR 1: Provide all jurisdictions where the investor is a tax resident

Country of Tax Residence 1 (outside Australia)	TIN 1/TFN 1	Reason if no TIN:		
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
Country of Tax Residence 2 (if applicable)	TIN 2/TFN 2 (if applicable)	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
Country of Tax Residence 3 (if applicable)	TIN 3/TFN 3 (if applicable)	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>

If no TIN is available, please select one of the reasons below against the appropriate country.

- Reason A – The country where the Account Holder is liable to pay tax does not issue TINs to its residents
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number. Please explain why the investor is unable to obtain a TIN.

- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

If the Account Holder has any additional countries of tax residence, please attach a statement to this form containing the Country and TIN for each additional country.

8.1.2 INVESTOR 2: Provide all jurisdictions where the investor is a tax resident

Country of Tax Residence 1 (outside Australia)	TIN 1/TFN 1	Reason if no TIN:		
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
Country of Tax Residence 2 (if applicable)	TIN 2/TFN 2 (if applicable)	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
Country of Tax Residence 3 (if applicable)	TIN 3/TFN 3 (if applicable)	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>

If no TIN is available, please select one of the reasons below against the appropriate country.

- Reason A – The country where the Account Holder is liable to pay tax does not issue TINs to its residents
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number. Please explain why the investor is unable to obtain a TIN.

- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

If the Account Holder has any additional countries of tax residence, please attach a statement to this form containing the Country and TIN for each additional country.

☐ I certify the tax residence countries provided represent all countries in which I am considered a tax resident.

8.2 TAX RESIDENCE – COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

Country of Tax Residence 1 (outside Australia)	TIN 1/TFN 1	Reason if no TIN:		
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
Country of Tax Residence 2 (if applicable)	TIN 2/TFN 2 (if applicable)	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
Country of Tax Residence 3 (if applicable)	TIN 3/TFN 3 (if applicable)	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>
<input type="text"/>	<input type="text"/>	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/>

If no TIN is available, please select one of the reasons below against the appropriate country.

- Reason A – The country where the Account Holder is liable to pay tax does not issue TINs to its residents
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number. Please explain why the investor is unable to obtain a TIN.

- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

If the Account Holder has any additional countries of tax residence, please attach a statement to this form containing the Country and TIN for each additional country.

☐ I certify the tax residence countries provided represent all countries in which I am considered a tax resident.

8.3 ACCOUNT HOLDER'S GIIN – COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

Account Holder's GIIN (if any)

Sponsoring Entity's Name (if the Account Holder is sponsored entity, please provide the sponsor's GIIN)

8.4 FATCA STATUS – COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

Provide all jurisdictions outside of Australia where the Account Holder is a tax resident.

Is the Account Holder a specified U.S. person? A U.S. person includes a U.S. citizen or resident alien of the U.S. even if residing outside the U.S.

☐ Yes Provide a U.S. Taxpayer Identification Number (TIN): (Proceed to Section 8.5)

☐ No (Continue the non U.S Person Certification below)

Non U.S Person Certification

Select **only a single category**. Select a classification that matches your FATCA status:

- ☐ Exempt Beneficial Owner (includes self-managed superannuation fund) (Proceed to Section 8.5)
- ☐ Active Non-Financial Entity (Non U.S.) (Proceed to Section 8.5)
- ☐ Passive Non-Financial Entity (Non U.S.) (Proceed Section 8.5)
- ☐ Direct Reporting Non-Financial Entity (Non U.S.) (Provide GIIN in Section 8.3 then proceed to Section 8.5)
- ☐ Participating Foreign Financial Institution (Provide GIIN in Section 8.3 then proceed to Section 8.5)
- ☐ Local/Partner Jurisdiction Foreign Financial Institution (Provide GIIN in Section 8.3 then proceed to Section 8.5)
- ☐ Deemed-Compliant Foreign Financial Institution. Select deemed-complaint category:
- ☐ Passive Non-Financial Entity (Non U.S.) (Complete Section 8.5)
- ☐ Direct Reporting Non-Financial Entity (Non U.S.) (Provide GIIN in Section 8.3 then proceed to Section 8.5)
- ☐ Participating Foreign Financial Institution (Provide GIIN in Section 8.3 then proceed to Section 8.5)
- ☐ Local/Partner Jurisdiction Foreign Financial Institution (Provide GIIN in Section 8.3 then proceed to Section 8.5)
- ☐ Non-participating Foreign Financial Institution (Proceed to Section 8.5)
- ☐ Sponsored Direct Reporting Non-Financial Entity (Non U.S.) (Provide GIIN and Sponsor's name in Section 8.3, proceed to Section 8.5)
- ☐ Other – describe the FATCA status (Proceed to Section 8.5)

8.5 CRS STATUS – COMPANIES, TRUSTS AND OTHER TYPES OF ENTITIES

Is the entity an Investment Entity managed by another Financial Institution?

- ☐ Yes - If any tax residence country provided is not a participating CRS jurisdiction, then complete Section 8.6 and 8.7
- ☐ No (Proceed to the NFE section that follows below)

If the Account Holder is a Non-Financial Entity (NFE), select a **single classification** that matches your CRS status:

- ☐ Non-Reporting Financial Institution (Proceed to Section 8.7)
- ☐ Other Active Non-Financial Entity (Proceed to Section 8.7)
- ☐ Passive Non-Financial Entity (Complete Section 8.6 and 8.7)
- ☐ Government Entity, International Organisation and Central Bank (Proceed to Section 8.7)
- ☐ A corporation, the stock of which is regularly traded on an established securities market

Name of Securities Market:

Name of Related Entity:

- ☐ Other – describe the CRS status (Proceed to Section 8.6)

8.6 CONTROLLING PERSONS

If there is a change in Controlling Persons/Beneficial Ownership, please submit an updated form within 30 days

☐ **CONTROLLING PERSON 1 AND/OR** ☐ **BENEFICIAL OWNER 1**

First Name

Current Residential Address

Suburb

State

Postcode

Country

DOB (DD/MM/YYYY)

City/Town of Birth

Country of Birth

Provide all jurisdictions where the Account Holder is a tax resident

Country of Tax Residence 1

TIN 1/TFN 1

Reason if no TIN:

A ☐ B ☐ C ☐

Country of Tax Residence 2 (if applicable)

TIN 2/TFN 2 (if applicable)

A ☐ B ☐ C ☐

Country of Tax Residence 3 (if applicable)

TIN 3/TFN 3 (if applicable)

A ☐ B ☐ C ☐

If no TIN is available, please select one of the reasons below against the appropriate country.

- Reason A – The country where the Account Holder is liable to pay tax does not issue TINs to its residents
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number.
- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

If the Account Holder has any additional countries of tax residence, please attach a statement to this form containing the Country and TIN for each additional country.

☐ I certify the tax residence countries provided represent all countries in which I am considered a tax resident.

☐ **CONTROLLING PERSON 2 AND/OR**

☐ **BENEFICIAL OWNER 2**

First Name

Family Name/Surname

Current Residential Address

Suburb

State

Postcode

Country

DOB (DD/MM/YYYY)

City/Town of Birth

Country of Birth

Provide all jurisdictions where the Account Holder is a tax resident

Country of Tax Residence 1

TIN 1/TFN 1

Reason if no TIN:

A ☐ B ☐ C ☐

Country of Tax Residence 2 (if applicable)

TIN 2/TFN 2 (if applicable)

A ☐ B ☐ C ☐

Country of Tax Residence 3 (if applicable)

TIN 3/TFN 3 (if applicable)

A ☐ B ☐ C ☐

If no TIN is available, please select one of the reasons below against the appropriate country.

- Reason A – The country where the Account Holder is liable to pay tax does not issue TINs to its residents
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number.
- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

If the Account Holder has any additional countries of tax residence, please attach a statement to this form containing the Country and TIN for each additional country.

☐ I certify the tax residence countries provided represent all countries in which I am considered a tax resident.

8.7 DECLARATIONS AND SIGNATURE

- You acknowledge and agree that information contained in this form and information regarding the account(s) set out above may be reported to the Australian Taxation Office (ATO) as required under the relevant laws and the ATO may provide the information to the country or countries in which I/We/Account Holder am/are/is resident for tax purposes.
- You undertake to advise the relevant trustee/responsible entity and/or their relevant agent of any change in circumstances which causes the information contained herein to become incorrect and to provide them with a suitably updated certification within 30 days of such change in circumstances.
- You certify that you are the Account Holder (or I you are authorised to sign for the Account Holder) of all the account(s) to which this form relates.
- You declare that all statements made on this form/in this declaration are, to the best of my/our knowledge and belief, true correct and complete.

Signature

Name of Signer

Capacity in which Signing (if not signed by account holder)

Date

Signature

Name of Signer

Capacity in which Signing (if not signed by account holder)

Date

9. FINANCIAL ADVISER/AUTHORISED REPRESENTATIVE/AGENT DETAILS

9.1 AUTHORISED REPRESENTATIVE OR AGENT



NOTE: The details below are to be completed by your authorised representative or agent.
Please complete Sections 9.1 and 9.3

☐ I am an authorized representative or agent as nominated by the investor(s).

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 authorized representative or agent

Role held with investor(s)

Signature

Date

9.2 FINANCIAL ADVISER



NOTE: The details below are to be completed by your financial adviser.
Please complete Sections 9.2 and 9.3

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

Notice to financial adviser: by completing this section of the application form, you are confirming that you are an ASIC registered financial adviser and hold a current Australian Financial Services License (AFSL).

Name of adviser

AFSL number

Dealer group

Name of advisory firm

Postal address

Suburb

State

Postcode

Email address

Financial Advice (only complete if applicable)

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

Financial Adviser Declaration

- ☐ I/We hereby declare that I/we are not a US Person as defined in the PDS
- ☐ I/We hereby declare that the investor is not a US Person as defined in the PDS
- ☐ I/We have attached the relevant CIP documents;

Signature

Date

9.3 ACCESS TO INFORMATION

Unless you elect otherwise, your authorised representative, agent and/or financial adviser will also 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 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.

GROUP E – Authorised Representatives, Agents or Financial Adviser

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 C.

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.

10. DECLARATIONS, ACKNOWLEDGMENTS AND SIGNATURES

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 Standard ('CRS'). However, in some instances Cooper Investors may contact you to request further information. It may also be necessary for Cooper Investors 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.

10.1 DECLARATIONS AND ACKNOWLEDGEMENTS: When you apply to invest, you (the applicant(s)) confirm:

- a) I/We have received the PDS and made this application in Australia (and/or New Zealand for those offers made in New Zealand).
- b) I/We have read the PDS to which this Application Form applies and agree to be bound by the terms and conditions of the PDS and the Constitution of the relevant Fund in which I/we have chosen to invest.
- c) I/we have carefully considered the features of 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
- d) deemed appropriate, am/are satisfied that my/our proposed
- e) investment in the Fund is consistent with my/our investment objectives, financial circumstances and needs.*
- f) I/We have considered our personal circumstances and, where appropriate, obtained investment and/or taxation advice.
- g) I/We hereby declare that I/we are not a US Person as defined in the PDS.
- h) 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 in which I/We have chosen to invest.
- i) I/We acknowledge and agree that Equity Trustees has outlined in the PDS provided to me/us how and where I/ we can obtain a copy of the Equity Trustees Group Privacy Statement.
- j) 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 or its related bodies corporate and to foreign government agencies for reporting purposes (if necessary).
- k) I/we hereby confirm that the personal information that I/we have provided to Equity Trustees is correct and current in every detail, and should these details change, I/we shall promptly advise Equity Trustees in writing of the change(s).
- l) I/We agree to provide further information or personal details to the Cooper Investors 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.
- m) I/We consent to the handling of your personal information in accordance with the Privacy Act 1988 and relevant privacy policies.
- n) you consent to the Responsible Entity disclosing your personal information to any Responsible Entity's service providers, in relation to any identification and verification that the Responsible Entity is required to undertake on me/us, as required under the AML/CTF Act. This shall include any information:
 - a. required by any third-party document verification service provider; and/or
 - b. provided to any third-party document verification service provider.
- o) If I/we have provided an email address, I/we consent to receive ongoing investor information including PDS
- p) information, confirmations of transactions and additional
- q) information as applicable via email.
- r) I/We acknowledge that Equity Trustees does not guarantee the repayment of capital or the performance of the Fund or any particular rate of return from the Fund.
- s) I/We acknowledge that an investment in the Fund is not a deposit with or liability of Equity Trustees and is subject to investment risk including possible delays in repayment and loss of income or capital invested.
- t) I/We acknowledge that Equity Trustees is not responsible for the delays in receipt of monies caused by the postal service or the investor's bank.
- u) If I/we lodge a fax application request, I/we acknowledge and agree to release, discharge and agree to indemnify Equity Trustees from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from any fax application.
- v) 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 from and against any and all losses, liabilities, actions, proceedings, account claims and demands arising from Equity Trustees acting on the instructions of my/our authorised representatives, agents and/or financial advisers.
- w) If this is a joint application each of us agrees that our investment is held as joint tenants.
- x) I/We acknowledge and agree that where the Responsible Entity, in its sole discretion, determines that:
- y) I/we are ineligible to hold units in a Fund or have provided misleading information in my/our Application Form; or
- z) I/we owe any amounts to Equity Trustees, 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.
- aa) 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.
- bb) For New Zealand applicants* - I/we have read the terms of
- the offer relating to New Zealand investors, including the New Zealand warning statement.
- cc) For New Zealand Wholesale Investors* - I/We acknowledge and agree that:
- dd) I/We have read the "New Zealand Wholesale Investor Fact Sheet" and PDS or "New Zealand Investors: Selling Restriction" for the Fund;
- ee) I am/We are a Wholesale Investor and am/are therefore eligible to hold units in the Fund; and

ff) I/We have not:

- a. Offered, sold, or transferred, and will not offer, sell, or transfer, directly or indirectly, any units in the Fund;
- b. 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; and
- c. Distributed and will not distribute, directly or indirectly, the PDS or any other offering materials or advertisement in relation to any offer of units in the Fund, in each case in New Zealand, other than to a person who is a Wholesale Investor; and

gg) I/We will notify Equity Trustees if I/we cease to be a Wholesale Investor; and

hh) I/We have separately provided a signed Wholesale Investor Certification located at the end of this Application Form.

ii) All references to Wholesale Investor in this Declaration are a reference to Wholesale Investor in terms of clause 3(2) of

jj) Schedule 1 of the Financial Markets Conduct Act 2013 (New Zealand).

* Disregard if not applicable.

10.2 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 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.

10.3 SIGNING: Applicants must sign in accordance with the instructions below in the boxes provided

INSTRUCTIONS – Who needs to sign this form:

Individual	Where the investment is in one name, the sole investor must sign.
Individual Trustee	Where the investment has one individual trustee, the trustee must sign.
Multiple Trustees	Where the investment has more than one individual trustee, all trustees must sign.
Joint Holding	Where the investment is in more than one name, all investors must sign. If more than two signatures are required, please attach an additional page with the full names of each account holder, their signatures, and date.
Companies / Corporate Trustee	Where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise, this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.
Trust	The trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.
Power of Attorney	If signing under a Power of Attorney and you have not already lodged the Power of Attorney document, please attach a certified copy of the Power of Attorney annotated with the following: I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of investor 1, director or authorised signatory

Please print full name

Date

/ /

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

Please print full name

Date

/ /

Company officer (please indicate company capacity):

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

Company officer (please indicate company capacity):

- ☐ Director
- ☐ Company secretary
- ☐ Authorised signatory

All copies of documents forwarded must be originally certified as a correct copy by a person who in the State or Territory of certification has the power to witness a Statutory Declaration.

Please note, that this must be the originally certified document marked with the ink or the signing certifier.

People who can certify documents or extracts are:

- | | |
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| <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ 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) |
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