

ISSUED 30 JUNE 2022

Association

Customer Identification Form

How to complete this Form

A Who can use this Form Direct investors applying to make an initial investment in a Pental fund.

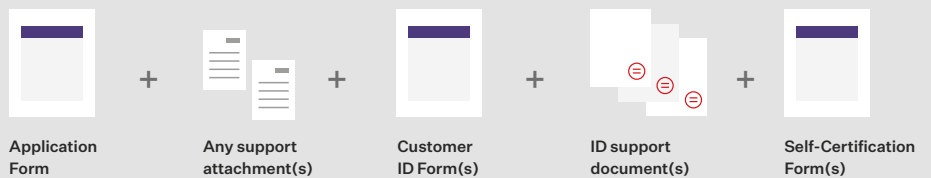
B Complete the relevant sections

- Use a **black** pen
- Print in clear **CAPITAL** letters
- Cross boxes where needed



C Provide ALL relevant documents

Your Application cannot be processed if you do not provide the relevant completed Customer Identification (ID) Form(s) and any required ID support documents or attachments.



D Certify your ID documents

- take the original document and a copy to a person listed adjacent
- ask them to certify that the copy is a true copy of the original.

Sample wording:

"I, [full name], as [category of person listed], certify that this [name of document] is a true and correct copy of the original."

- Underneath this wording the certifier must provide their signature and the date.

Legal	<ul style="list-style-type: none"> - a solicitor or barrister (a person who is on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner) - a judge of a court or magistrate - a chief executive officer of a Commonwealth court - a registrar or deputy registrar of a court - a notary public
JP	- a Justice of the Peace
Police	- a police officer
Accountant	- a member of the Institute of Chartered Accountants in Australia, Certified Practising Accountants Australia or the National Institute of Accountants with two or more years of continuous membership
Diplomatic service	<ul style="list-style-type: none"> - an Australian consular officer - an Australian diplomatic officer (within meaning of the Consular Fees Act 1985) - an officer of an Embassy, Consulate or High Commission (for foreign investors)
Financial corporations (bank, building society, credit union)	<ul style="list-style-type: none"> - an officer with two or more continuous years of service with one or more financial institutions (as per Statutory Declaration Regulations 1993) - a finance company officer with two or more continuous years of service with one or more finance companies (as per Statutory Declaration Regulations 1993) - an officer with, or authorised representative of, a holder of an Australian financial services licence for two or more continuous years.

D Send everything together

✉ Mail: Mainstream Fund Services Unit Registry GPO Box 4584 Sydney NSW 2001
✉ Email: pendal@mainstreamgroup.com

Pental Fund Services Limited

Pental Fund Services Limited (Pental, 'our' or 'us') ABN 13 161 249 332, AFSL No. 431426 is the responsible entity or trustee of, and issuer of units, in the Pental funds.

Our legal obligations

Australia's Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) legislation obliges us to collect certain identification information and documentation about each investor.

2 Controlling parties

2.1 Controlling parties

Provide the names of the individual members that directly or indirectly control the Association, such as the Chairman, President, Treasurer or Secretary of the Association.

Each party listed below must complete a separate Individual Customer Identification Form.

CONTROLLING PARTY 1

Full given name(s)

Last name

Role / method of control

CONTROLLING PARTY 2

Full given name(s)

Last name

Role / method of control

CONTROLLING PARTY 3

Full given name(s)

Last name

Role / method of control

CONTROLLING PARTY 4

Full given name(s)

Last name

Role / method of control

If there are more than 4 controlling parties, provide their details on a separate sheet with this Form.

Go to 3 ▶

3 Beneficial owners

3.1 Shareholders

Do any individuals own 25% or more of the Company's issued capital (through director or indirect shareholding)

NO – go to 4 ▶

YES – Provide details of each below

Each shareholder listed below must complete a separate Individual Customer Identification Form.

SHAREHOLDER 1

Full given name(s)

Last name

SHAREHOLDER 2

Full given name(s)

Last name

SHAREHOLDER 3

Full given name(s)

Last name

SHAREHOLDER 4

Full given name(s)

Last name

If there are more than 4 shareholders, provide their details on a separate sheet with this Form.

Go to 4 ▶

4 Verification of identity

4.1 Verification instructions

Australia's Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) Act obliges us to collect identification information and documentation from prospective investors.

- 1 If the Association is Incorporated provide a certified document from 4.2.
If the Association is Unincorporated provide a certified document from 4.3.
- 2 Contact us if you are unable to provide the required document.

4.2 Incorporated Association ID

I will provide

information provided by ASIC or the government responsible for the incorporation of the Association

an original, current certified copy or current certified extract of the Constitution or Rules of the Association

an original, current certified copy or current certified extract of the minutes of a meeting of the Association

Documents that are not in English MUST be accompanied by an accredited English translation.

THIS FORM IS NOW COMPLETE

4.3 Unincorporated Association ID

I will provide

an original, current certified copy or current certified extract of the Constitution or Rules of the Association

an original, current certified copy or current certified extract of the minutes of a meeting of the Association.

Documents that are not in English MUST be accompanied by an accredited English translation.

THIS FORM IS NOW COMPLETE

How to submit this Form



Mail: Mainstream Fund Services Unit Registry GPO Box 4584 Sydney NSW 2001



Email: pendal@mainstreamgroup.com