

ISSUED 30 JUNE 2022

Australian company

Customer Identification Form

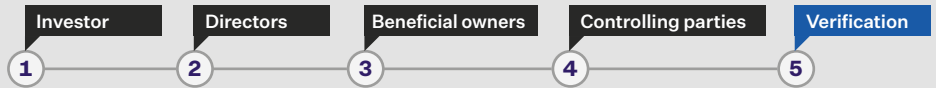
How to complete this Form

A Who can use this Form

Direct investors applying to make an initial investment in a Pental fund.

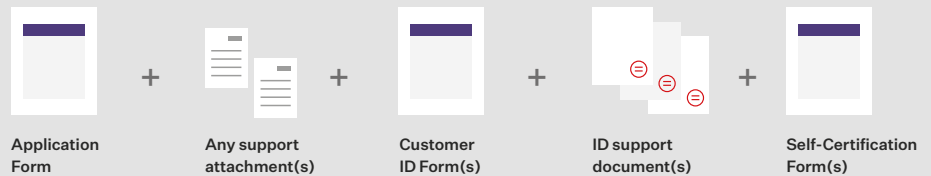
B Complete the relevant sections

- 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

- 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

- 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)

- 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.

1 Investor details

1.1 Details of company

Full company name as registered with ASIC

Business / Trading as name(s)

Australian Company Number (ACN)

Registered office address (PO Boxes are not accepted)

| STATE | COUNTRY | POSTCODE |
|-------|---------|----------|
|-------|---------|----------|

Principal place of business (PO Boxes are not accepted)

| STATE | COUNTRY | POSTCODE |
|-------|---------|----------|
|-------|---------|----------|

1.2 Sources of funds and wealth

Provide sources from the list below (new investors must complete)

Employment income/earnings, Redundancy, Inheritance, Gift/ Donation, Windfall, Tax refund, Business Income/Earnings, Investment Income/Earnings, Rental Income, Superannuation/Pension, Loan, Insurance Payment, Compensation Payment, Government benefits, Sale / Liquidation of assets, or other sources (please outline the other source)

1.3 Company categories

Select **all** that apply

Regulated company (companies subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licenses (ACL); or Registrable Superannuation Entity (RSE Licenses)

Regulator name

License details

Australian listed company (companies listed in an Australian financial market such as the ASX)

Market / exchange name

Majority-owned subsidiary of an Australian listed company (companies that are majority owned by an Australian company listed in an Australian financial market such as the ASX)

Australian listed company name

Market / exchange name

1.4 Company type

Select one option only

Proprietary – go to 2 ▶

Public – go to 5 ▶

2 Directors

PROPRIETARY COMPANIES ONLY

2.1 Directors

Number of directors

Provide the full name of each director below (must complete)

| | | | |
|----------|---|--|-----------------------------------|
| DIRECTOR | 1 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |
| DIRECTOR | 2 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |
| DIRECTOR | 3 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |
| DIRECTOR | 4 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |

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

If you have identified the company as a Regulated company in section 1.3 go to 4 ►
Otherwise go to 3 ►

3 Beneficial owners

NON-REGULATED AND UNLISTED PROPRIETARY COMPANIES ONLY

3.1 Shareholders

Do any individuals own 25% or more of the Company's issued capital (through direct 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) <input type="text"/> | Last name <input type="text"/> |
| SHAREHOLDER | 2 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |
| SHAREHOLDER | 3 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |
| SHAREHOLDER | 4 | Full given name(s) <input type="text"/> | Last name <input type="text"/> |

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

Go to 5 ►

4 Controlling parties

4.1 Controlling parties

If you completed section 3 do not complete this section.

Provide details of the individuals who directly or indirectly control the Company.

This includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding and practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the Company (such as the managing director or directors who are authorised to sign on the Company's behalf).

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

CONTROLLING PARTY 1

Full given name(s)

Last name

Role (such as Chairperson or Director)

CONTROLLING PARTY 2

Full given name(s)

Last name

Role (such as Chairperson or Director)

CONTROLLING PARTY 3

Full given name(s)

Last name

Role (such as Chairperson or Director)

CONTROLLING PARTY 4

Full given name(s)

Last name

Role (such as Chairperson or Director)

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

Go to 5 ►

5 Verification of identity

5.1 Verification instructions

How you can obtain certified copies of ID documents is described on page 1 of this form.

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

- 1 Provide the certified copy of the ID document from 5.2.
- 2 If you are unable to provide the document from 5.2, provide the document from section 5.3.
- 3 If you are unable to provide either of the required documents contact us directly.

5.2 ID document (all)

All companies have this option.

I will provide a current CERTIFIED COPY of

the certification of registration issued by ASIC

If you are unable to provide a certified copy of this document, go to 5.3 ►

THIS FORM IS NOW COMPLETE

5.3 Alternative ID document

Only complete this section if you are **unable** to provide an option from 5.2.

Select this option if the company is an Australian listed company or majority owned subsidiary of an Australian listed company, or is a regulated company

I will provide

an official document issued by the company showing the legal entity name and ABN (e.g. an Annual report).

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