

ISSUED 30 JUNE 2022

Cooperative

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.

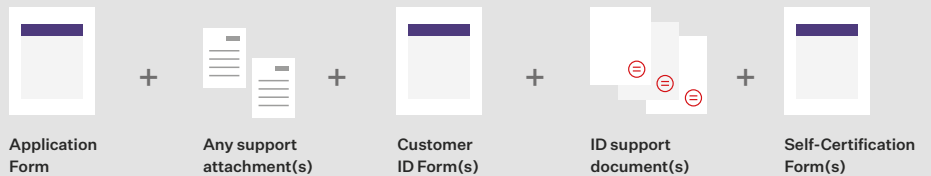
B Complete the relevant sections

- 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.

2 Controlling parties

2.1 Controlling parties

Provide the names of the individuals that directly or indirectly control the Registered Cooperative, such as the Chairman, President, Treasurer or Secretary.

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

CONTROLLING PARTY	1	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role / method of control <input type="text"/>	
CONTROLLING PARTY	2	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role / method of control <input type="text"/>	
CONTROLLING PARTY	3	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role / method of control <input type="text"/>	
CONTROLLING PARTY	4	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role / method of control <input type="text"/>	

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 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"/>
SHAREHOLDER	5	Full given name(s) <input type="text"/>	Last name <input type="text"/>

If there are more than 5 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. Contact us if you are unable to provide the required document.

4.2 ID document

I will provide a current copy or extract of one or more of the following options

- information provided by ASIC or the relevant registration body responsible for the registration of the Registered Cooperative
- an original or current certified copy or current certified extract of the register maintained by the Registered Cooperative
- an original, current certified copy or current certified extract of the minutes of a meeting of the Registered Cooperative.

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