

ISSUED 30 JUNE 2022

Foreign company

Customer Identification Form

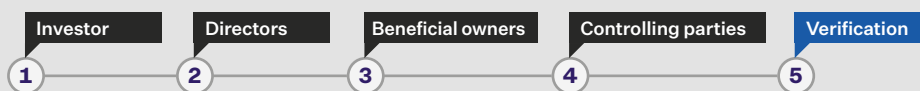
How to complete this Form

A Who can use this Form

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

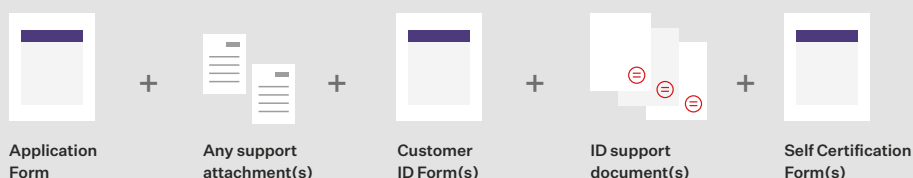
B Complete the relevant sections

- 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

You must also provide your companies' tax residency status by completing an Entity Account Holder Self-Certification Form

Full company name (as listed with the local regulator)

Business name / Trading as name – if any

Country of formation / incorporation / registration

Is the company registered by a foreign body?

Yes – go to 1.2 ▶

No – go to 1.3 ▶

1.2 Foreign details

Only complete this if the company is registered by a foreign body

Provide name of foreign body that company is registered by

Provide company identification number issued by the foreign registration body (if any)

Registered address in the country of formation or incorporation (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

Go to 1.3 ▶

1.3 Australian details

Only complete this if the company is registered with ASIC in Australia – otherwise go to 1.4 ▶

ARBN

Address details – select one option only

Address of principal place of business in Australia as registered with ASIC **OR**

Local agent address details and name

STATE

COUNTRY

POSTCODE

NAME

1.4 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)

1.5 Company categories

Select ALL that apply

Foreign regulated company (licensed by a foreign statutory regulator)

Regulator name

License details

Foreign listed company

Market / exchange name

Majority-owned subsidiary of an Australian listed company

Australian listed company name

Market / exchange name

1.6 Company type

Select one option only

- Public or listed company
- Private / Proprietary
- Other non-public company types

Go to 2 ►

2 Directors

2.1 Directors

Number of directors

Provide the full name of each director below

DIRECTOR	1	Full given names	Last name
		<input type="text"/>	<input type="text"/>
DIRECTOR	2	Full given names	Last name
		<input type="text"/>	<input type="text"/>
DIRECTOR	3	Full given names	Last name
		<input type="text"/>	<input type="text"/>
DIRECTOR	4	Full given names	Last name
		<input type="text"/>	<input type="text"/>
DIRECTOR	5	Full given names	Last name
		<input type="text"/>	<input type="text"/>

If there are more than 5 directors, 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 names	Last name
		<input type="text"/>	<input type="text"/>
SHAREHOLDER	2	Full given names	Last name
		<input type="text"/>	<input type="text"/>
SHAREHOLDER	3	Full given names	Last name
		<input type="text"/>	<input type="text"/>
SHAREHOLDER	4	Full given names	Last name
		<input type="text"/>	<input type="text"/>
SHAREHOLDER	5	Full given names	Last name
		<input type="text"/>	<input type="text"/>

If there are more than 5 shareholders, provide their details on a separate sheet with this Form.

Go to 4 ►

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) <input type="text"/>	Last name <input type="text"/>
		Role (such as Chairperson or Director) <input type="text"/>	
CONTROLLING PARTY	2	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role (such as Chairperson or Director) <input type="text"/>	
CONTROLLING PARTY	3	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role (such as Chairperson or Director) <input type="text"/>	
CONTROLLING PARTY	4	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role (such as Chairperson or Director) <input type="text"/>	

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

Australia's Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) Act obliges us to collect identification information and documentation from prospective investors. If you are unable to provide the required document contact us.

5.2 ID if ASIC registered

Do not send the original.

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 ►

5.3 ID if not ASIC registered

Only complete this section if you are **unable** to send 5.2.

–
Do not send the original.

Select ONE of these options if the Foreign Company is **not** registered with ASIC.

I will provide a current CERTIFIED COPY of

the certification of registration issued by the relevant foreign registration body.

a disclosure document that the Company has been given by an individual acting as agent of the Company where the agent has been verified. Contact us for more information.

OR Select this option if the Foreign Company is a listed Company, a majority owned subsidiary of an Australian listed Company or a regulated Company.

I will provide a current CERTIFIED COPY of

a public document issued by the relevant Company.

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