

ISSUED 30 JUNE 2022

Individual, joint investors and sole trader

Customer Identification Form

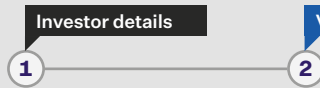
How to complete this Form

A Who can use this Form

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

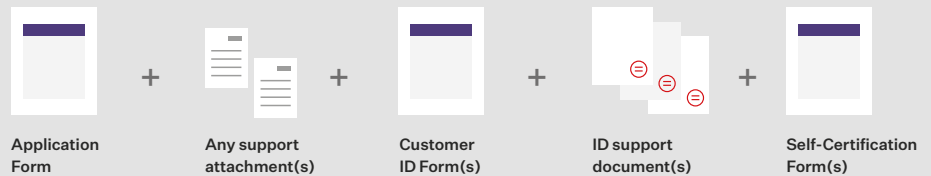
B Complete the relevant sections

- 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 individual

Each joint investor must complete a separate Customer identification Form.

Full given names (must complete)

Last name (must complete)

Mobile phone number

Home phone number

Residential address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

Go to 1.2 ►

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 Details of sole trader

Only complete this section if you are a sole trader.

–

If any of these fields are not applicable, leave them blank.

Full business name (if any)

ABN (if any)

Principal place of business (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

Go to 2 ►

2 Verification of identity

2.1 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.

We need certified copies of documents that show proof of your name, date of birth and residence.

- 1 Provide one certified copy of an ID document from 2.2.
- 2 If you are unable to provide the document from 2.2, you will need to provide 2 documents from either section 2.3 or 2.4.
- 3 If you are unable to provide the required documents contact us.

2.2 Primary ID documents

Choose one option.
Do not send originals.

–

If you are **unable** to provide a document from this list, go to 2.3 ►

Only one document from the list below is required.

I will provide one current CERTIFIED COPY of

- an Australian driver's license – showing full name, date of birth, current address and photo
- an Australian passport – showing full name, date of birth and photo
- a Foreign passport or similar travel document – showing full name, signature and photo
- an Australian State or Territory Proof of Age card – showing full name, date of birth and photo

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

THIS FORM IS NOW COMPLETE

2.3 Secondary ID documents

Do not send originals.

–

If you are **unable** to provide a document from this list, go to 2.4 ►

One document from EACH list below is required from this section.

I will provide one current CERTIFIED COPY of

- an Australian Birth Certificate
- an Australian Citizenship Certificate
- a Pension Card issued by Centrelink
- a Health Card issued by Centrelink

AND I will provide one current CERTIFIED COPY of

- a document issued by a local government body or utilities provider within the preceding three 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)
- 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.

THIS FORM IS NOW COMPLETE

2.4 Foreign ID documents

Only complete this section if you are **unable** to provide ID from 2.2 or 2.3.

Both documents are required from this section.

I will provide current CERTIFIED COPIES of

- a Foreign driver's licence showing your date of birth and photo, **AND**
- a National ID card issued by a foreign government showing your signature and photo.

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