

ISSUED 30 JUNE 2022

Regulated Trust

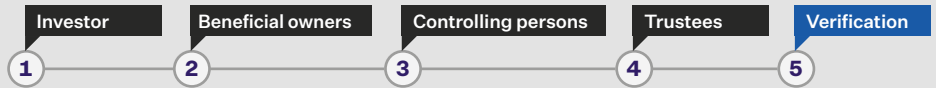
Customer Identification Form

How to complete this Form

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

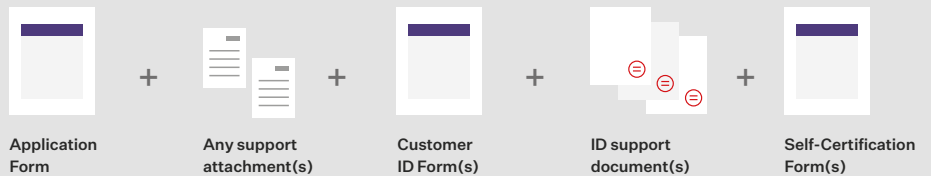
B Complete the relevant sections

- 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.

1 Investor

1.1 Trust

Full name of Trust

Business name – if any

Country of formation / incorporation / registration

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 Trust category

Select **one** category option only

Registered managed investment scheme

Australian Registered Scheme Number (ARSN)

Regulated trust

Regulator name (e.g. ASIC, APRA, ATO)

Registration / licensing details, OR

Trust ABN

Government superannuation fund

Name of legislation establishing the fund

Self-Managed Superannuation Fund

SMSF ABN

Unregistered Management Investment Scheme (where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies)

ABN

Other Regulated trust (a trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit, a pooled superannuation trust or an APRA-regulated superannuation fund)

Regulator name (e.g. ASIC, APRA, ATO)

Registration / licensing details, OR

Trust ABN

Other types of trusts (e.g. family, unit, charitable, estate) or trusts regulated by a foreign regulatory body, should complete the Unregulated Trust Customer ID Form, rather than this one.

Go to 2 ►

2 Beneficial owners

2.1 Shareholders

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

NO - go to 3 ▶

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
		<input type="text"/>	<input type="text"/>

SHAREHOLDER	2	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>

SHAREHOLDER	3	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>

SHAREHOLDER	4	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>

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

Go to 3 ▶

3 Controlling parties

3.1 Controlling parties

Provide the names of the individuals who directly or indirectly control the Trust.

A Controlling Party is any individual who has direct or indirect ownership or control of the Trust. Control includes the capacity to influence the way in which the Trust conducts its affairs, including by having the ability to determine decisions about the Trust's financial and operating policies

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

CONTROLLING PARTY	1	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>
		Role	
		<input type="text"/>	

CONTROLLING PARTY	2	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>
		Role	
		<input type="text"/>	

CONTROLLING PARTY	3	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>
		Role	
		<input type="text"/>	

CONTROLLING PARTY	4	Full given name(s)	Last name
		<input type="text"/>	<input type="text"/>
		Role	
		<input type="text"/>	

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

Go to 4 ▶

4 Trustees

4.1 Trustee type

We are required to collect the details of one of the Trustees provided within Section 1.

Indicate the trustee type you are providing details for below

- an individual – go to 4.2 ▶
- an Australian company – go to 4.3 ▶
- a Foreign company – complete a separate Foreign Company Customer Identification Form

4.2 Individual trustee

Full given name(s)

Last name

Residential address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

Go to 5 ▶

4.3 Australian company trustee

Full company name (registered with ASIC)

Business name / Trading as name – if any

ACN

Registered office address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

Principal place of business – if any (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

4.4 Company categories

Select all that apply

- Regulated company** (licensed by an Australian statutory regulator)

Regulator name

License details

- Australian listed company**

Market / exchange name

- Majority-owned subsidiary of an Australian listed company**

Australian listed company name

Market / exchange name

4.5 Company type

Select one option only

- Proprietary** – go to 4.6 ▶
- Public** – go to 5 ▶

4.6 Directors

To be completed for proprietary companies only.

Number of directors:

Provide the full name of each director below

DIRECTOR

1

Full given name(s)

Last name

DIRECTOR

2

Full given name(s)

Last name

DIRECTOR

3

Full given name(s)

Last name

DIRECTOR

4

Full given name(s)

Last name

If there are more than 4 directors, 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. How to obtain certified copies of ID documents is described on page 1 of this Form.

5.2 ID document

I will provide one of the following

Regulated Trusts

a current copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website

Registered managed investment schemes or government superannuation funds

a product disclosure statement (PDS), annual report or audited financial statement for the Trust

Government superannuation funds

a current copy or relevant extract of the legislation establishing the superannuation fund sourced from a government website

Superannuation funds

a current copy or relevant extract of the legislation from abr.business.gov.au or superfundlookup.gov.au that includes the Trust's name, ABN and super fund status

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