

ISSUED 30 JUNE 2022

# Unregulated 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.

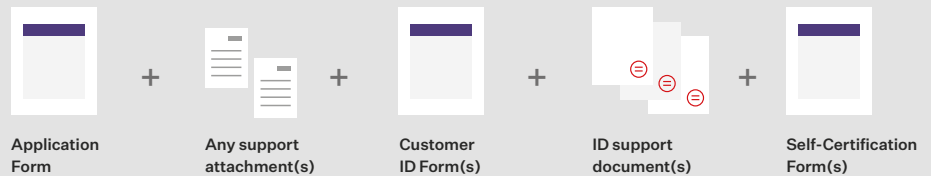
#### B Complete the relevant sections

- 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

- 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](mailto: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 Details of 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 Settlor(s)

Full name of Settlor(s)

Settlers of the Trust can be an individual or organisation (e.g. law firm or accountancy) that has created the Trust by settling a sum of money or item of property on a Trust for the benefit of beneficiaries.

## 1.4 Trust category

Select one trust option only

Family Trust

Unit Trust

Charitable Trust

Testamentary Trust

Other (please specify)

Go to 2 ▶

# 2 Beneficiaries

## 2.1 Beneficiaries

Does the Trust deed name the beneficiaries?

NO – go to 2.2 ▶

YES – Provide the full number of beneficiaries and the full name of each below

Number of beneficiaries

BENEFICIARY

1

Full given name(s)

Last name

BENEFICIARY

2

Full given name(s)

Last name

BENEFICIARY

3

Full given name(s)

Last name

BENEFICIARY

4

Full given name(s)

Last name

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

Go to 3 ▶

## 2.2 Membership classes

Provide the membership class details below (e.g. unit holders, family members of named person, charitable purpose)


Go to 3 ►

## 3 Trustees

## 3.1 Trustees

Each Trustee listed below is required to complete a Customer Identification Form based on the nature of the Trustee. For example, Individual Trustees must complete an Individual Customer ID Form while an Australian Company Trustee must complete an Australian Company Customer ID Form.

Number of trustees:

Provide the full name of each trustee below – if the trustee is a person provide their name, if the trustee is a company provide the company name

TRUSTEE

1

Full given name(s)

Last name

Full company name (registered with ASIC)

Address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

TRUSTEE

2

Full given name(s)

Last name

Full company name (registered with ASIC)

Address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

TRUSTEE

3

Full given name(s)

Last name

Full company name (registered with ASIC)

Address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

TRUSTEE

4

Full given name(s)

Last name

Full company name (registered with ASIC)

Address (PO Boxes are not accepted)

STATE

COUNTRY

POSTCODE

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

Go to 4 ►

## 4 Controlling parties

### 4.1 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) <input type="text"/>	Last name <input type="text"/>
		Role <input type="text"/>	
CONTROLLING PARTY	2	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role <input type="text"/>	
CONTROLLING PARTY	3	Full given name(s) <input type="text"/>	Last name <input type="text"/>
		Role <input type="text"/>	
CONTROLLING PARTY	4	Full given name(s) <input type="text"/>	Last name <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 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.

The option you select **must confirm** the settlor of Trust name for Trusts other than for Testamentary Trusts.

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

### 5.2 ID documents

Select ONE option only

#### I will provide

an original or current certified letter from a solicitor or qualified accountant that confirms the name and existence of the Trust and the settlor of Trust full name

a current certified copy or certified extract of the Trust deed showing the full name of the Trust, deed issuer, issue date and settlor of the Trust full name.

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](mailto:pendal@mainstreamgroup.com)