

Verification

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ISSUED 22 MARCH 2023

Association

Customer Identification Form

How to complete this Form

A Who can use this Form

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

Beneficial owners

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.

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.

Application Any support Customer ID support Gorm attachment(s) ID Form(s) Customer Horm(s) Form(s)

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)

Controlling persons

- 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

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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: Apex Fund Services Unit Registry GPO Box 4584 Sydney NSW 2001



Email: pendal@apexgroup.com

Pendal Fund Services Limited

Pendal Fund Services Limited (Pendal, 'our' or 'us') ABN 13 161 249 332, AFSL No. 431426 is the responsible entity or trustee of, and issuer of units, in the Pendal 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	Association type	Select one option only Incorporated Association – provide ID number issued on incorporation (if any, e.g. ACN) Unincorporated Association		
1.2	Association	Full name of Association		
		Business name / Trading as name – if any		
		Association type		
1.3	Office holders	Provide the Full name of the following (or equivalent in each case)		
	CHAIRMAN	Full given name(s)	Last name	
	SECRETARY	Full given name(s)	Last name	
	TREASURER	Full given name(s)	Last name	
1.4	Addresses	Principal place of operations (PO Boxes are not accepted)		
		STATE COUNTRY	POSTCODE	
		Registered office (PO Boxes are not accepted)		
		STATE COUNTRY	POSTCODE	
1.5	Public officer	Full given name(s)	Last name	
	If there is no Public Officer provide the details of the President,	Position		
	Secretary or Treasurer.	Residential address (PO Boxes are not accepted)		
		STATE COUNTRY	POSTCODE	
1.6	Sources of funds and wealth	Provide sources from the list below (new investors must complete)		
E L		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)		

2	Controlling parties		
2.1	Controlling parties	Provide the names of the individual members that directly or indirectly control the Association, su the Chairman, President, Treasurer or Secretary of the Association. Each party listed below must complete a separate Individual Customer Identification Form.	
		Each party listed below must complete a separate In	dividual Customer Identification Form.
	CONTROLLING PARTY 1	Full given name(s)	Last name
		Role / method of control	
	CONTROLLING PARTY 2	Full given name(s)	Last name
		Role / method of control	
	CONTROLLING PARTY 3	Full given name(s)	Last name
		Role / method of control	
	CONTROLLING PARTY 4	Full given name(s)	Last name
		Role / method of control	
		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	Beneficial owners Shareholders	Do any individuals own 25% or more of the Compan	ny's issued capital (through director or
		indirect shareholding)	ny's issued capital (through director or
			ny's issued capital (through director or
		indirect shareholding) NO - go to 4 ▶	
		indirect shareholding) NO - go to 4 ▶ YES - Provide details of each below	
	Shareholders	indirect shareholding) NO - go to 4 ▶ YES - Provide details of each below Each shareholder listed below must complete a separation of the shareholder listed below must complete a separation.	arate Individual Customer Identification Form.
	Shareholders SHAREHOLDER 1	indirect shareholding) NO - go to 4 ▶ YES - Provide details of each below Each shareholder listed below must complete a separately given name(s)	nrate Individual Customer Identification Form. Last name
	Shareholders SHAREHOLDER 1 SHAREHOLDER 2	indirect shareholding) NO - go to 4 ▶ YES - Provide details of each below Each shareholder listed below must complete a separately separately shareholder listed below must complete a separately specific speci	Last name Last name
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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.

- 1 If the Association is Incorporated provide a certified document from 4.2. If the Association is Unincorporated provide a certified document from 4.3.
- 2 Contact us if you are unable to provide the required document.

4.2 Incorporated Association ID

I will provide

information provided by ASIC or the government responsible for the incorporation of the Association $\,$

an original, current certified copy or current certified extract of the Constitution or Rules of the Association

an original, current certified copy or current certified extract of the minutes of a meeting of the Association

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

THIS FORM IS NOW COMPLETE

4.3 Unincorporated Association ID

I will provide

an original, current certified copy or current certified extract of the Constitution or Rules of the Association

an original, current certified copy or current certified extract of the minutes of a meeting of the Association.

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: Apex Fund Services Unit Registry GPO Box 4584 Sydney NSW 2001



Email: pendal@apexgroup.com