

INITIAL INVESTMENT FORM

ANTARES DIRECT SEPARATELY MANAGED ACCOUNTS

Responsible Entity
Antares Capital Partners Ltd
ABN 85 066 081 114 AFSL 234483
A member of the NAB Group of companies



INSTRUCTIONS TO COMPLETE

You must complete this Initial Investment Form if you are a new investor wishing to invest in the Antares Direct Separately Managed Accounts (the Direct SMA) for the first time. The Responsible Entity of the Direct SMA is Antares Capital Partners Ltd (ACP) (ABN 85 066 081 114) (AFSL 234483). ACP is the issuer of the current Product Disclosure Statement (PDS) which provides important information about the Direct SMA to assist you in deciding whether to invest. You should read the relevant PDS in full before completing this Initial Investment Form. If you do not have a copy of the PDS, you may obtain a copy free of charge from Client Services by calling **1800 671 849** or visiting the website **www.antarescapital.com.au**. Alternatively, if you are using an Approved Australian Financial Adviser (Financial Adviser), you may obtain a copy of the relevant PDS free of charge from your Financial Adviser.

Any person who gives another person a copy of this Initial Investment Form must at the same time give the person a copy of the PDS.

PLEASE PRINT IN BLOCK LETTERS AND USE BLACK OR BLUE INK TO COMPLETE THIS INITIAL INVESTMENT FORM AND RELEVANT FINANCIAL SERVICES COUNCIL (FSC) IDENTIFICATION FORM(S).

To ensure that we are able to process your investment quickly and efficiently, please cross (X) each box below to confirm that you have completed each section of the Initial Investment Form that is relevant to your investment:

- Signed and dated** the Initial Investment Form:
 - Individual investor** – sign and date the form.
 - Joint investors** – please note we currently do not accept joint investors into the Direct SMA.
 - Company** – to be signed and dated by two directors or a director and secretary of the company or, if the company has only a sole director, that director.
 - Trusts (including SMSFs)** – to be signed and dated by a trustee.
 - Other (associations / government bodies / registered co-operatives / partnerships)** – to be signed and dated.
 - Authorised Signatory List** – if an organisation wishes to authorise persons other than the Director(s)/Secretary signing the Initial Investment Form to make transactions in relation to the investment, then a certified copy of the Authorised Signatory List must be submitted to Client Services.
 - Power of Attorney – in the presence of a witness** sign and date the form. Attach a certified copy of the Power of Attorney. Each page of the Power of Attorney document must be certified by a Justice of the Peace, solicitor or notary public. The attorney needs to **complete the FSC identification form for individuals**, which is available on **www.antarescapital.com.au/forms**
- Supplied your – **TFN, ABN, TFN exemption** or country of tax residence for non-residents.
- Supplied your **email address**.

- Provided **certified proof of identity** – either to your Financial Adviser (adviser to complete declaration on the Initial Investment Form and attach copies of documents) or attached to the Initial Investment Form if you are investing directly with us.
- Provided **relevant FSC identification form(s)**.
- Submit** your Initial Investment Form, relevant FSC identification form(s) (and cheque if applicable) to:

Antares Capital Partners Ltd
Reply Paid 2007
Melbourne Victoria 8060

Anti-money laundering and related laws

Anti-Money laundering and other related laws require us to collect and/or verify information about the identity of customers and related parties, including anyone acting on your behalf.

The following instructions for completing the Initial Investment Form will assist you to provide this information. The provision of complete and accurate information will enable us to process your investment efficiently and meet our legislative obligations.

Under relevant laws, we may be required to ask you for additional identity verification documents and/or information about you or a related party, either when we are processing your investment or at some stage after your initial investment is made. We may pass any information we collect to the relevant government authority.

We reserve the right to restrict withdrawals from your account if we have not been provided with the necessary identification information about you or a related party.

Identity verification documents

Whether you are investing via a Financial Adviser or directly with ACP, you will be required to provide valid identity verification documentation. The actual documentation required will depend on whether you are an individual investor or a non-individual investor such as a superannuation fund, a trust or a company. The applicable documentation is outlined in the relevant FSC identification form(s) (refer to Section 13).

If any documentation you provide is not in English, it must be accompanied by an original copy of an English translation prepared by an accredited translator.

If we do not receive all the required valid customer identity verification documents with your Initial Investment Form or we are unable to verify your identity at any time, we may not be able to commence your investment or may not process any future withdrawal requests until we receive the required documents. We will contact you or your Financial Adviser as soon as possible if we require more information.

If you are investing through a Financial Adviser, they will be required to obtain acceptable identity verification documents from you prior to lodging your application. To do this, they will need to sight the original or certified copies of your identity verification documents and retain copies. They will then send us copies of your identity verification documents together with your Initial Investment Form.

A Financial Adviser is an adviser aligned with National Australia Bank (NAB) and/or from a Dealer group which has a current agreement with ACP in relation to the AML/CTF Act customer identification program.

If you are not investing via a Financial Adviser or have not provided identity verification documents to your Financial Adviser, you will be required to send the certified copies of the original identity verification documents (not faxed or scanned copies) as listed in the relevant FSC identification form(s). Until we receive such document(s) we reserve the right to withhold processing any withdrawal requests you wish to make in the future.

If the Initial Investment Form is signed under Power of Attorney, we will also require a certified copy of the Power of Attorney document and a specimen signature of the Attorney.

Please refer to 'Approved Certifiers' for a list of persons who can certify these documents and see 'Certified copy requirements' for details of how documents must be certified.

Beneficial ownership & control of an entity

In accordance with sections 3 and 13 (where applicable) ACP, as required by AML/CTF law, reserves the right to request and verify the identity of any persons who are deemed to own or control (directly or indirectly) for the non-individual entity. Please refer to the relevant FSC identification forms for definitions of the beneficial owner for each investor type.

For further information on this, please contact our Client Services team on **1800 671 849**.

Australian tax file number

ACP is authorised under the Australian Income Tax Assessment Act 1936 to ask for your Australian tax file number (TFN) when you open an investment account for dividend income purposes. You don't have to provide your TFN and it's not an offence if you decide not to, but if you don't, 'Pay As You Go Withholding Tax' will be deducted at the highest marginal tax rate (plus Medicare Levy) from any dividend income payable to you.

Certified copy requirements

A certified copy is a document that has been approved as a true copy of an original document. The following certification requirements **must appear on each page of the copy**:

- The text: 'This is to certify that this is a true and correct copy of the original which I have sighted'.
- Signature of the Approved Certifier.
- Full printed name of the Approved Certifier (e.g. Michelle Helena Citizen).
- Capacity of the Approved Certifier (e.g. solicitor).
- Full address of the Approved Certifier.
- Registration number (if applicable).
- Date that the document was certified.

Note: A photocopy of a certified document will not be accepted. Original Certification only.

Approved certifiers

Identity verification documents may be certified as a true and correct copy of an original document by one of the following persons in Australia. The person certifying must state their capacity (from the list below) and complete according to certified copy requirements listed on this page.

1. A person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia as a legal practitioner (however described).
2. A Judge of a Court.
3. A Magistrate.
4. A chief executive officer of a Commonwealth Court.
5. A registrar or deputy registrar of a Court.
6. A Justice of the Peace.
7. A notary public (for the purposes of the Statutory Declaration Regulations 1993).
8. A police officer.
9. An agent of the Australian Postal Corporation who is in charge of supplying postal services to the public.
10. A permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public.
11. An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).
12. An officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993).
13. A finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declarations Regulations 1993).
14. An officer with, or authorised representative of, a holder of an Australian Financial Services Licence (AFSL), having two or more continuous years of service with one or more licensees.
15. A member of the Institute of Chartered Accountants in Australia, CPA Australia or the Institute of Public Accountants, with two or more years of continuous membership.
16. A foreign public notary whose appointment is lawful and their status as a notary public can be verified.

Direct debit service agreement

In addition to the direct debit service agreement information provided in the PDS, please also make note of the following:

Our commitment to you,

Drawing arrangements:

- We will advise you in writing of the details of the regular savings plan (RSP) drawing arrangements (amount, frequency and commencement date) with your investment confirmation.
- We reserve the right to cancel the RSP drawing arrangements if three or more consecutive drawings are returned unpaid by your nominated Financial Institution and to arrange with you an alternate payment method.
- We will keep all information pertaining to your nominated account at the Financial Institution, private and confidential.

Your rights:

- Where you consider that a drawing has been initiated incorrectly outside the RSP arrangements you may take the matter up directly with us, or lodge a direct debit claim through your nominated Financial Institution.
- You may terminate or stop the RSP drawing arrangement at any time by giving written notice to us, or through your nominated Financial Institution. Notice given to us should be received by us at least 2 Melbourne business days before the date of your next scheduled debit.

Your commitment to us,

Your responsibilities:

- It is your responsibility to ensure that the authorisation given to draw on the nominated account is identical to the account signing instruction held by the Financial Institution where the account is based.
- It is your responsibility to advise us if the account nominated by you is transferred or closed. If you would like to continue to make payments under the RSP after your nominated bank account has been closed you will need to nominate a new bank account by completing the Direct debit authorisation section (Section 5) of the Change of Details form available on the Antares website www.antarescapital.com.au or by contacting the Client Services Team on 1800 671 849.

Privacy notification

We collect your personal information from you directly wherever we can but in some cases where it is relevant to you and your investment we may collect it from third parties such as your agent or adviser. We do this for the purposes of determining your eligibility to invest and to be able to manage and administer your investment. If your personal information is not provided to us we may not be able to accept your investment or be able to manage and administer it. We may collect information about you because we are required or authorised by law to collect it. There are laws that affect financial institutions, including company and tax laws, which require us to collect personal information so we can, for example, verify your identity under Commonwealth Anti-Money Laundering law.

As a member within the NAB Group, we may disclose your personal information to other NAB Group members and to parties outside the NAB Group (for example, and as relevant to your investment, to your agent or adviser, to our agents and service providers including for the purpose of training staff and the development and testing of products, services and systems, risk management, planning, research and analysis). We may

share your information with other organisations for the purposes for which we collect your information. We may also provide your information to members within the NAB Group who operate their business overseas and we may need to share your information to organisations outside Australia (for example a call centre) - a list of those countries where such information may be shared is at www.nab.com.au/privacy/overseas-countries-list.

Further, to let you know about the products the NAB Group has on offer, we and other NAB Group members may use your personal information for marketing activities. You can let us know at any time if you no longer wish to receive direct marketing offers from members of the NAB Group by contacting us.

More information about how we collect, use, share and handle your personal information is in the NAB Group privacy policy, including how you may access or correct information we collect about you and how you may make a complaint about a privacy issue, at www.antarescapital.com.au. Contact us for a paper copy or if you have any questions or comments about either the NAB Group or Antares privacy policy or procedures.

1. ADDITIONAL INVESTMENT

If you already have an investment in the Direct SMA and wish to make additional investments, you should use the Additional Investment Form available from www.antarescapital.com.au or by contacting Client Services on **1800 671 849** or from your Financial Adviser.

2. INVESTOR TYPE

Cross (X)	Investor type	Sections to be completed
<input type="checkbox"/>	Individuals / Sole traders	3A, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13A, 14, 15
<input type="checkbox"/>	Australian companies	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13B, 14, 15
<input type="checkbox"/>	Australian regulated trusts (including self-managed super funds and individual or corporate trustees)	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13C, 14, 15
<input type="checkbox"/>	Unregulated Australian trusts and foreign trusts	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13D, 14, 15
<input type="checkbox"/>	Foreign companies	Please contact Client Services on 1800 671 849
<input type="checkbox"/>	Associations	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13F, 14, 15
<input type="checkbox"/>	Government bodies	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13G, 14, 15
<input type="checkbox"/>	Registered co-operatives	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13H, 14, 15
<input type="checkbox"/>	Partnerships	3B, 4, 5 (if applicable), 6, 7, 8-11 (if applicable), 12, 13I, 14, 15

3. INVESTOR DETAILS

3A. Investor – Individual Sole trader

Title	Full given name(s)	Surname
Full business name(if any)		ABN (if any)
Date of birth <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Phone: Business hours	Mobile	
Occupation (not required for trustee or beneficiary)		
TFN ¹		
TFN exemption reason		
Country of tax residence (non-Australian residents)		

Residential address

Number	Street name	
Suburb/Town		
State	Postcode	Country

Principle place of business (Sole trader only)

Number	Street name	
Suburb/Town		
State	Postcode	Country

¹ It is not against the law if you choose not to give your TFN, exemption code or exemption reason, but if you decide not to, tax will be taken out of your investment income at the highest marginal rate (plus medicare levy). See 'Australian tax file number' on page 2 for more information.

3B. Companies² Associations Unregulated Australian trusts and foreign trusts² Australian regulated trusts (including SMSF and individual and corporate trustees) Partnerships Government bodies Registered co-operatives

Account Name	
Contact person name	Contact person email
Contact person phone: Business hours	Contact person mobile
ABN/ACN (if registered in Australia)	TFN ³
TFN exemption reason (Australian residents)	
Nature of business / industry (e.g. SMSF or Legal Services)	
Country of tax residence (non Australian residents)	

² For companies registered outside of Australia do not use this section but rather refer to **section 13E**.

³ It is not against the law if you choose not to give your TFN, exemption code or exemption reason, but if you decide not to, tax will be taken out of your dividend income at the highest marginal rate (plus medicare levy). See 'Australian tax file number' on page 2 for more information.

4. COMMUNICATION / CORRESPONDENCE

Please use your correspondence address below:

C/- (if applicable)		
Number	Street name or PO Box	
Suburb/Town		
State	Postcode	Country
Email address		

Email consent – If you would prefer to receive information about your investment (such as transaction confirmations, statements and reports), via email, please cross (X) this box. We may still occasionally need to send you letters in the post. Please note ACP can only register one email address of your preference.

Please provide copies of all transactions to my/our Financial Adviser. If no election is made no copies will be sent. Yes No

4A. Online access

If you would like Antares Direct SMA online access, please cross (X) this box.

5. MARGIN LENDING

Margin lending provider

Investment amount to be borrowed via margin loan

Note: If you are funding part of your investment via a margin loan, please enter the name of the margin lending provider and the amount being borrowed, otherwise leave blank.

6. INVESTMENT AMOUNT AND METHOD OF PAYMENT

Please indicate if you wish to make an in specie transfer Yes⁴ No

⁴ Please complete the 'In specie transfer form' located at www.antarescapital.com.au

Investment amount (all investments must be made in Australian dollars)

Minimum initial investment: A\$20,000 per Model Portfolio.

Investment Choice	Investment Amount	Reinvest Dividend Income		Credited to Nominated Bank account
Core Opportunities Model Portfolio ⁵	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Dividend Builder Model Portfolio ⁶	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Listed Property Model Portfolio ⁶	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Ex-20 Australian Equities Model Portfolio ⁵	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>

⁵ If no election is made, dividend income will be reinvested.

⁶ If no election is made, dividend income will be credited to your nominated bank account.

Method of payment

Direct credit BPay[®] Cheque Direct debit

Cheque payment – Payable to: Antares Capital Partners Ltd - DSMA. Cross cheque "Not Negotiable".

Direct credit or BPay[®] – Antares will provide you with a reference number once your investment has been received.

Direct debit⁷ – Please advise below of the date you wish ACP to debit your bank account, allowing a minimum of 3 business days to facilitate the direct debit. Please note that funds will not be invested in your nominated investment choice until cleared, which can take up to 4 business days after the direct debit date noted below.

Direct debit date / /

For methods of payment, please also refer to the terms and conditions as stated in the PDS.

⁷ Please complete Section 9.

Tax accounting method

Please select the tax accounting method to be applied. If you do not select a tax accounting method, 'minimum gain' will be applied.

Minimum gain (default) Maximum gain First In First Out (FIFO)

7. WITHDRAWAL PROCEEDS AND DIVIDEND INCOME⁸

Name of bank or financial institution	
Branch	
BSB number	Account number
<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Account name ⁹	

By providing your bank account details in this section, you authorise ACP to use these details for all dividend income and withdrawal requests that you nominate.

⁸ All payments and transactions to, and by the Direct SMA are in Australian dollars.

⁹ The name must be the same as the investor's name.

Electronic redemption facility

I wish to use the electronic redemption facility and I agree to the terms and conditions in the 'Managing your investments' section of the PDS.

8. REGULAR SAVINGS PLAN

Investment Choice	Investment Amount	Monthly	or	Quarterly
Core Opportunities Model Portfolio	A\$ <input style="width: 150px;" type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Dividend Builder Model Portfolio	A\$ <input style="width: 150px;" type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Listed Property Model Portfolio	A\$ <input style="width: 150px;" type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Ex-20 Australian Equities Model Portfolio	A\$ <input style="width: 150px;" type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>

Note: The minimum RSP investment is \$500 per Model Portfolio, which can be contributed on either a monthly or quarterly basis. Please ensure that you also complete the Direct debit authorisation section below.

9. DIRECT DEBIT AUTHORISATION

I/we request Antares Capital Partners Ltd, until further notice in writing, to debit from my/our account at the financial institution identified below any amounts that Antares Capital Partners Ltd (user ID number 032209) may debit or charge me/us through the direct debit facility. If you are setting up an RSP, this direct debit authorisation will remain in force in accordance with the direct debit service agreement outlined in the Product Guide and on page 3 of this form.

I/We understand and consent to this amount being shared with other parties as outlined at section 12.

Bank Account

Name of bank or financial institution	
Branch	
BSB number	Account number
<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Account name	
Signature	Date
Signature	Date

Note: Please note that not all building societies or credit unions accept or make fund transfers. Please check with your financial institution before completing this form. Should this nominated bank account not belong to you as the investor then we may seek further information from you.

We will seek to establish your relationship to the third party who holds the nominated bank account as required under Anti-Money

Laundering legislation. Refer to page 3 for the Direct debit service agreement.

10. ADVISER SERVICE FEE

On initial contribution

Adviser Service Fee options

Upfront fee

Core Opportunities Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %
Dividend Builder Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %
Listed Property Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %
Ex-20 Australian Equities Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %

Ongoing fee

Core Opportunities Model Portfolio	A\$ <input type="text"/> p.a.	or	<input type="text"/> %
Dividend Builder Model Portfolio	A\$ <input type="text"/> p.a.	or	<input type="text"/> %
Listed Property Model Portfolio	A\$ <input type="text"/> p.a.	or	<input type="text"/> %
Ex-20 Australian Equities Model Portfolio	A\$ <input type="text"/> p.a.	or	<input type="text"/> %

On regular savings plan

Adviser Service Fee options

Upfront fee

Core Opportunities Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %
Dividend Builder Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %
Listed Property Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %
Ex-20 Australian Equities Model Portfolio	A\$ <input type="text"/>	or	<input type="text"/> %

Note: The upfront Adviser Service Fee is deducted from the initial investment amount. The ongoing Adviser Service Fee dollar amount and/or percentage amount is deducted from the cash balance of the investor's Portfolio on a monthly basis. Fees stated must include GST. Please note percentage based fees cannot be charged on an account where a margin loan is applicable. Any relevant fee must be fixed only.

11. FINANCIAL ADVISER USE ONLY

Please cross (X) the boxes below:

- if you would like to receive online access to view your client account(s).
- if you have a current agreement with ACP in relation to AML/CTF Act customer identification program and you have not attached the relevant identity verification documentation.¹⁰

Please select if you would like to receive data feeds into one of the following software:

- XPlan Coin Class Super Adviser Logic Platform Plus

Financial adviser name	
Dealer group	
Antares adviser number	
ABN (if registered in Australia)	AFSL No. (if registered in Australia)
Contact phone no.	
Financial adviser's address	
Email address	

Financial adviser signature	
Surname	
Given name(s)	Date <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

¹⁰ You declare that you have a current agreement with ACP in relation to the AML/CTF customer identification program. You declare you have sighted either the original or a certified copy of the original document(s). You declare that you have complied with your obligations under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. If you do not satisfy these requirements please contact Client Services by calling **1800 671 849**.

12. INTERESTED PARTIES

The following parties may receive information relating to this investment.

Name	Company
Email	Contact phone no.

- Please provide copies of all transactions and investor statements to the interested parties.

Please attach a schedule if more space is required.

13. CUSTOMER IDENTITY VERIFICATION

You must complete the FSC identification form(s) relevant to your investor type. If you are not lodging this application through a Financial Adviser you will be required to send the **certified copies** of the original identity verification documents (not faxed or scanned copies) as listed in the relevant FSC form(s), (ensuring each page is certified). Please refer to page 2 for instructions on '**Certified copy requirements**'. If you are unsure which form you should complete please contact Client Services on **1800 671 849**.

Documents that are written in a language that is not English must be accompanied by an English translation, prepared by an accredited translator.¹¹

13A. Person(s) named in 3A, 3B and individuals that have provided details on a separate sheet along with sole traders¹²

Please complete FSC identification form for **individuals and sole traders**, which is available on www.antarescapital.com.au/forms

13B. Australian companies¹²

Please complete FSC identification form for **Australian companies**, which is available on www.antarescapital.com.au/forms

13C. Australian regulated trusts (including SMSFs and individual and corporate trustees)¹²

Please complete FSC identification form for **Australian regulated trusts**, which is available on www.antarescapital.com.au/forms

13D. Unregulated Australian trusts and foreign trusts¹²

Please complete FSC identification form for **unregulated Australian trusts and foreign trusts**, which is available on www.antarescapital.com.au/forms

13E. Foreign companies¹²

Please complete the FSC identification form for **foreign companies**, which is available on www.antarescapital.com.au/forms

Please contact Client Services on **1800 671 849** to discuss your investment further.

13F. Associations

Please complete the FSC identification form for **associations**, which is available on www.antarescapital.com.au/forms

13G. Government bodies

Please complete the FSC identification form for **government bodies**, which is available on www.antarescapital.com.au/forms

13H. Registered co-operatives

Please complete the FSC identification form for **registered co-operatives**, which is available on www.antarescapital.com.au/forms

13I. Partnerships¹²

Please complete the FSC identification form for **partnerships and partners**, which is available on www.antarescapital.com.au/forms

¹¹ An accredited translator is a person currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd. (NAATI) at the level of Professional Translator, or above, to translate from a language other than English into English; or an overseas standard comparable to the Australian NAATI accreditation.

¹² See page 14 for FATCA definitions

14. DECLARATION

I/We declare that:

- All details in this Initial Investment Form, relevant FSC Identification Form(s) and all documents provided are true and correct and I/we agree to indemnify Antares Capital Partners Ltd (ACP) (ABN 85 066 081 114) (AFSL 234483) against any liabilities whatsoever arising out of it acting on any of these details or any future details provided by me/us in connection with this application.
- I/We have received a copy of the current PDS to which this investment relates and have read it and agree to the terms contained in it and to be bound by the provisions of the Constitution for the Direct SMA (as amended from time to time).
- I/We have legal power to invest in the Direct SMA and have complied with all applicable laws in making this investment.
- I/We am/are over the age of 18 years.
- I/We have read and understood the terms and conditions of the use of electronic communications to give instructions on my/our account in the PDS and agree to release and indemnify ACP against any liabilities whatsoever arising out of it acting on any communication received by email or fax.
- I/We acknowledge that I/we have read page 3 in the Initial Investment Form containing additional information about the direct debit service agreement (if applicable).
- I/We acknowledge that I/we have read page 4 of this investment form containing the information under the heading 'Privacy Notification' and the privacy policy at www.antarescapital.com.au/privacy-statement. I/We am/are aware that until I/we inform ACP otherwise, I/we will be taken to have consented to all the uses of my/our personal information (including marketing) and I/we have consented to the provision of and authorised (if applicable) my/our Financial Adviser to provide such further personal information to ACP as is required or reasonably deemed necessary by ACP under applicable law.
- I/We understand that if I/we fail to provide any information requested in this Initial Investment Form or do not agree to any of the possible exchanges or uses detailed above, my/our investment may not be accepted by ACP and I/we agree to release and indemnify ACP in respect of any loss or liability arising from its inability to accept my/our investment due to inadequate details having been provided.
- I/We acknowledge that an investment in the Direct SMA does not represent a deposit with, or liability of, National Australia Bank (NAB) or the NAB Group of companies (NAB Group) and is subject to investment risk, including possible delays in repayment and loss of income and capital invested, and agree that those risks are appropriate for a person in my/our circumstances and with my/our investment objectives.
- I/We acknowledge that no company in the NAB Group, nor Antares Capital Partners Ltd nor any other party, guarantees the capital value, payment of income or performance of my/our investment in the Direct SMA.
- I/We agree to pay my/our Financial Adviser an initial or ongoing adviser service fee as nominated in the Initial Investment Form (if applicable).
- I/We authorise ACP to withdraw from my/our Portfolio to pay this fee to my/our Financial Adviser (if applicable).
- If investing as trustee on behalf of a superannuation fund or trust, I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed. In the case of superannuation funds, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993.
- Unless an alternative authority for signature is notified to and accepted by ACP, the person/persons that signs/sign this form is/are able to operate the account on behalf of themselves/the relevant entity (as applicable) and bind themselves/the entity for future transactions, including additional deposits and withdrawals, including withdrawals by fax.
- If I/we have elected in section 4A of this Initial Investment Form to receive communications by email, I/we consent to receive all disclosures required to be made to me/us by ACP under the Corporations Act 2001 in electronic format.
- I/We have read and understood the terms and conditions of identity verification documents in the PDS and Initial Investment Form as required by Anti-Money Laundering and Counter-Terrorism Financing Act 2006, and agree to release and indemnify ACP against any liabilities whatsoever arising out of it withholding withdrawal requests due to incomplete identity documentation.

I/we acknowledge that by investing in the Antares Direct Separately Managed Accounts, I/we do not have access to some of the rights and entitlements that would otherwise be available to me/us as a retail investor if I/we invested in the underlying equities directly.

I/we understand that this includes not having the same rights as direct retail investors or not having access to: Cooling-off rights in some cases (see "Cooling-off right" section in the PDS); and

Voting rights (see the "Investor rights" and "Corporate actions" sections in the PDS).

15. SIGNATURES

If this form is signed under a Power of Attorney, the Attorney declares that he/she has not received notice of revocation of that power (a certified copy of the Power of Attorney should be submitted with this investment unless ACP has already sighted it).

<input type="checkbox"/> Investor <input type="checkbox"/> Individual trustee 1 <input type="checkbox"/> Sole director ¹³ <input type="checkbox"/> Director 1 ¹³ <input type="checkbox"/> Attorney 1 ¹⁴ <input type="checkbox"/> Partner 1 <input type="checkbox"/> Authorised signatory ¹⁵			
Signature		Full name	
Date		Date of birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Residential address			
Number		Street name	
Suburb/Town		State	Postcode
Country			

<input type="checkbox"/> Individual trustee 2 <input type="checkbox"/> Director 2 ¹³ <input type="checkbox"/> Secretary ¹³ <input type="checkbox"/> Attorney 2 ¹⁴ <input type="checkbox"/> Partner 2 <input type="checkbox"/> Authorised signatory ¹⁵			
Signature		Full name	
Date		Date of birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Residential address			
Number		Street name	
Suburb/Town		State	Postcode
Country			

¹³ Company investments must be signed by two directors, a director and secretary or the sole director of the company.

¹⁴ Attorney's signature(s) must be witnessed below.

¹⁵ A certified copy of the Authorised Signatory List must be submitted to Client Services.

For accounts with more than one signatory, please select account signing authority: withdrawal requests, additional investment, and change of details forms must be signed by:

Investor Refer to attached signatory list & instructions

Signature of witness to Attorney 1 signature (Witness must be third party, i.e. not investor or attorney) I declare I have witnessed the signature of the named attorney	Signature of witness to Attorney 2 signature (Witness must be third party, i.e. not investor or attorney) I declare I have witnessed the signature of the named attorney
Witness name (print)	Witness name (print)
Date	Date
<input type="text"/>	<input type="text"/>
Address	Address
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Important notes

The offer of the Direct SMA is made by Antares Capital Partners Ltd (ACP) (ABN 85 066 081 114) (AFSL 234483).

This Initial Investment Form must not be handed to any person unless accompanied by the current Product Disclosure Statement (PDS) for the Direct SMA. ACP may in its absolute discretion refuse any investment into the Direct SMA. Persons external to ACP who market ACP products act as independent financial advisers and are not agents of ACP. ACP will not be bound by representations or statements which are not contained in information disseminated by ACP. Investment monies paid by cheque from financial advisers will only be accepted if drawn from a trust account maintained in accordance with the Corporations Act.

FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)

FATCA is a US law that aims to improve tax information reporting on US persons to the United States Internal Revenue Service (IRS). Under the Act, financial institutions are required to undertake certain identification and due diligence procedures with respect to clients and to report annually to the IRS, via the local tax authority (Australian Tax Office (ATO) in Australia), on US persons who directly or indirectly own financial accounts. In certain cases, financial institutions are also required to withhold and pay to the IRS a percentage of certain categories of US source payments.

FATCA Definitions

US citizen or resident of the US for tax purposes

US citizen or resident of the US for tax purposes includes:

- Anyone born in the US (who hasn't renounced their citizenship)
- A US citizen (including persons with dual or multiple citizenships)
- A US lawful permanent resident (e.g. green card holders).

Note: if you have a US address, a US telephone number, a US passport, a US driver's licence or a US birth certificate, this would indicate that you are possibly a resident of the US for tax purposes. Where you present any of these US characteristics and claim not to be a resident of the US for tax purposes, then proof should be supplied to establish that you are not a resident of the US for tax purposes e.g. a loss of nationality certificate.

If you think you may be a resident of the US for tax purposes, but are not certain, it is advisable that you seek specialist tax advice.

If you identify yourself as a US citizen or resident for tax purposes we will have to report your information to the ATO which, may in turn, report you to the US tax authority..

US Taxpayer Identification Number (TIN)

The types of TIN include:

- Social Security Number (SSN) - for individuals
- Individual Taxpayer Identification Number (ITIN) - for individuals that are not eligible for an SSN
- Employer Identification Number (EIN) - for entities

The TIN should not be confused with an Australian Tax File Number. A US TIN is 9 digits long and should not be in ascending or descending order e.g. 123456789 or all of a single digit e.g. 111111111.

Financial Institution

A financial institution is an entity (e.g. company, partnership or trust) that engages in one of the following:

- accepts deposits in the ordinary course of a banking or similar business (depository institution);
- holds a substantial portion of its business (equals or exceeds 20 percent of the entity's gross income) in financial assets for the account of others (custodial institution);
- is an investment entity including entities that trade in financial assets or that are investing, administering, managing funds, money, or certain financial assets on behalf of other persons;
- is an insurance company that issues or is obligated to make payments with respect to a Cash Value Insurance Contract or an Annuity Contract; or
- is an entity that is a holding company or treasury centre that is a part of a group that includes one of the above.

Global Intermediary Identification Number (GIIN)

A Global Intermediary Identification Number (GIIN) is a unique ID number that non-US financial institutions receive from the IRS when they register as a financial institution for FATCA.

FATCA status

Where a financial institution does not have a GIIN they will need to provide their FATCA status. This status can ONLY be one of the following:

- Deemed compliant Financial Institution
- Excepted Financial Institution
- Exempt beneficial owner
- Non reporting IGA Financial Institution
- Non-participating Financial Institution
- Other e.g. 'GIIN applied for but not yet issued'

Entities that are financial institutions should be aware of their FATCA status and it is not your advisor's responsibility to determine this. If you are not aware then it may be possible that the entity is not actually a financial institution.