

# Application | Individual

UBS Asset Management (Australia) Ltd

## WHO SHOULD COMPLETE THIS FORM?

This application form is for individuals or sole traders, investing on their own behalf.

## HOW TO COMPLETE THIS FORM

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**Step 1** Before submitting this form, please read the Product Disclosure Statement (PDS) available here <https://www.ubs.com/au/en/asset-management/existing-investors/funds-and-prices/pds-and-reports.html> or if you are unable to access the link or print the document, contact us on 1800 572 018.

Units in a fund will only be issued following acceptance of an application form issued with the relevant PDS, with all required documents attached.

**Online applications:** Please complete online and then print to sign using a black pen.

**Manual applications:** Please print, use black pen and write in BLOCK letters. If you make an error do not use correction fluid, instead, cross out your error and initial your changes.

**Note:** Please ensure all fields are completed including those in **sections A and B**.

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**Step 2** **Tell us your foreign tax status**

Please complete the **Global Tax Reporting (FATCA/CRS)** information in **section 10**.

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**Step 3** **Sign and send your documents to the below address.**

Please ensure you sign **section 12** of the form in accordance with the instructions provided.

You can return your forms by post to:

UBS Asset Management (Australia) Ltd  
GPO Box 804  
Melbourne VIC 3001

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**Step 4** **Make your payment**

Please refer to **section 4** of the application form and follow the instructions on how to pay the application amount.

Your application cannot be processed until all relevant identification documents and cleared funds are received.

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## IMPORTANT INFORMATION

- Please ensure all relevant fields are completed. If you do not complete all relevant sections your application may be rejected and returned to you for completion, resulting in a delay in processing your application.
- If you have any questions as you complete this form, please refer to the FAQs of this form, or contact us on 1800 572 018.

## Section A: Your investment objectives

In line with the Design and Distribution Obligations (DDO) under the Corporations Act, we require the below information.

### Consumer Attributes

#### A. What is your primary investment objective? (select only one option)

**Capital growth** (increased value of your investment over time)

**Capital preservation** (preserving the value of your investment and preventing loss)

**Capital guaranteed** (shielding your investment from any losses)

**Income distribution** (receiving regular income from your investment)

#### B. What is the intended use of this fund in your investment portfolio? (select only one option)

**Solution / standalone** (your primary investment - 75% - 100% of portfolio)

**Core component** (a large proportion of your investment - 25% - 75% of portfolio)

**Satellite / small allocation** (a small part of your investment - less than 25% of portfolio)

#### C. What is the intended investment timeframe? (select only one option)

Short term (less than 2 years)       Medium term (more than 2 years)       Long term (more than 8 years)

#### D. What is your tolerance for risk / return? (select only one option)

(How much of a loss you are willing to tolerate within your portfolio when assessed against the possibility of greater returns).

Low       Medium       High       Very high

#### E. What is your anticipated frequency of withdrawals? (select only one option)

Daily       Weekly       Monthly       Quarterly       Annually or longer

#### F. Have you received advice prior to applying to invest in this fund(s)? (select only one option)

**Yes** - I/We have received personal advice in relation to my investment in this fund (financial product advice provided to you by a person who has considered one or more of your investment objectives).

**No** - I/We have not received personal advice in relation to my investment in this fund.

**Note:** Acceptance of your application should not be taken as a representation or confirmation that an investment in the fund is, or is likely to be, consistent with your intentions, objectives and needs as indicated in your responses to these questions.

## Section B: Investor details

What is the full legal name of the entity that will hold title to the units?

Full name of account designation

If you are an existing investor, please provide your account number

I/We confirm there are no changes to our identification documents previously provided and that these remain current and valid.

I/We confirm there are no changes to the information in our previous application provided and that it remains current and valid.

## Section C: Are you investing using funds borrowed under a margin loan?

No - go to **section 1**       Yes - please complete the details below

Name of margin lender

Name of borrower

Borrower's TFN

Loan number

If the person who will hold legal title to the units will be the borrower granting Power of Attorney to the margin lender or its nominee, please complete this form as an individual.

## 1. INVESTOR DETAILS

Complete all details below in respect of the individual(s) or sole trader(s) that will hold legal title to the units.

### Investor 1

Title       Given name(s)       Surname

Business name (if sole trader)

ABN (if any, for sole trader)

Date of birth (DD/MM/YYYY)   /   /          Occupation

**Residential address** (or, if you are a sole trader, principal place of business) - (A PO Box/RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

Unit       Street number       Street name

Suburb       State       Postcode       Country

**Postal address** (if different to residential address) - (A PO Box/RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

**Contact details**

Home number (including country and area code)  Mobile number (including country code)

Email (default address for all correspondence)

**Tax details - Australian residents**

If you are an Australian resident for tax purposes, please provide your tax file number (TFN) or a reason for exemption. If you are an Australian resident and do not provide your TFN, or a reason for exemption, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN  Reason for exemption (see FAQs section for list of reasons)

**Investor 2**

Title  Given name(s)  Surname

Business name (if sole trader)

ABN (if any, for sole trader)

Date of birth (DD/MM/YYYY)  /  /  Occupation

**Residential address** (or, if you are a sole trader, principal place of business) - (A PO Box/RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

**Postal address** (if different to residential address) - (A PO Box/RMB/Locked Bag is not acceptable)

Property/building name (if applicable)

Unit  Street number  Street name

Suburb  State  Postcode  Country

## Contact details

Home number (including country and area code)

Mobile number (including country code)

Email

All correspondence will be sent to the email address provided by **Investor 1**.

## Tax details - Australian residents

If you are an Australian resident for tax purposes, please provide your tax file number (TFN) or a reason for exemption. If you are an Australian resident and do not provide your TFN, or a reason for exemption, you will be taxed at the highest marginal tax rate plus the Medicare levy.

TFN

Reason for exemption (see FAQs section for list of reasons)

If there are more than two individuals, please complete a separate application form signed by each additional applicant and submit it together with this form.

If clarification is required please contact us on 1800 572 018 or [ubs@unitregistry.com.au](mailto:ubs@unitregistry.com.au).

## 2. VERIFICATION PROCEDURE

If you cannot meet the requirements of **option A**, please follow the instructions in **option B**.

### OPTION A

Provide a certified copy\* of one of the following:

Current Australian Driver's Licence containing a photo of the person (scan the front and back)

Current Australian Passport or an Australian Passport that has expired within the preceding 2 years

Current Australian State or Territory Government Identity Card showing the person's date of birth, photo and signature

Current Foreign Government Identity Card showing the person's date of birth, photo and signature\*\*

Current Foreign Driver's Licence showing the person's date of birth, photo and signature\*\*

Current Foreign Passport showing the person's date of birth, photo and signature\*\*

### OPTION B

If you can't provide any document from option A, then please provide a certified copy\* of one document from group 1 and one document from group 2.

#### GROUP 1

Birth Certificate or Birth Extract issued by an Australian State or Territory

Australian Government issued Citizenship Certificate

Current Concession or Health Care Card issued by Centrelink (scan the front and back)

#### GROUP 2

Commonwealth, State or Territory Government Notice within the preceding 12 months and recording the provision of financial benefits

Australian Taxation Office Notice within the preceding 12 months and recording the debt payable to or by the individual by or to (respectively) the ATO

Local Government or Utilities Provider Statement within the preceding 3 months and recording the provision of services

If the investor is below the age of 18, please contact us on 1800 572 018.

\*Please see the FAQs at the end of this form for the meaning of certified copy.

\*\*If the document is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.

### 3. INVESTMENT & DISTRIBUTION INSTRUCTIONS

Fund name	APIR	Fund Minimum AUD\$	Investment amount AUD\$	Distribution option (indicate (X) one option per fund)	
				Pay to my bank a/c	Reinvest
UBS Australian Share Fund	SBC0817AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Australian Small Companies Fund	UBS0004AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Australian Small Companies SIV Fund (Significant Investor Visa)	UBS0063AU	\$500,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Emerging Markets Equity Fund	UBS8018AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Microcap Fund	UBS0057AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS International Share Fund	SBC0822AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Future Leaders Global Small Companies Fund	UBS6028AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Property securities and infrastructure</b>					
UBS CBRE Global Infrastructure Securities Fund	UBS0064AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS CBRE Global Property Securities Fund	HML0016AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS CBRE Property Securities Fund	SBC0816AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fixed income and cash</b>					
UBS Australian Bond Fund	SBC0813AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Cash Fund	SBC0811AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Short-Term Fixed Income Fund	SBC0812AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Diversified Fixed Income Fund	SBC0007AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Global Dynamic Bond Fund	UBS7109AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Income Solution Fund	UBS0003AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS International Bond Fund	SBC0819AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Multi-asset</b>					
UBS Balanced Investment Fund	SBC0815AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
UBS Defensive Investment Fund	SBC0814AU	\$50,000	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note:** The minimum investment is usually \$50,000 per fund. However, we may waive or vary the investment minimums. Please nominate one distribution option for each fund you are investing in. If no selection is made, distributions will be automatically re-invested.

Please indicate the source & origin of funds being invested.

Savings	<input type="checkbox"/>
Superannuation contributions	<input type="checkbox"/>
Income from employment - regular and/or bonus	<input type="checkbox"/>
Normal course of business	<input type="checkbox"/>
Investment	<input type="checkbox"/>
Donation/gift	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>
Sale of assets (e.g. shares, property)	<input type="checkbox"/>
Other <input type="text"/>	<input type="checkbox"/>

Please indicate your source of wealth

\*Please see the FAQs at the back of this form for the meaning of source and origin of funds and source of wealth.

#### 4. PAYMENT OF APPLICATION AMOUNT

Select your payment method and complete the relevant section if applicable. All payments must be made in AUD.

EFT                       Direct debit                       BPAY®                       Cheque

EFT	Electronic Funds Transfer
Account name:	National Nominees Ltd OCA, UBS Application Account
BSB:	083-043
Account number:	860406676
Your reference:	Please use the name of the investor

#### Direct debit authority - Australian bank accounts only

You can allow us to deduct your application amount directly from your nominated financial institution account by completing the direct debit request (DDR) services agreement at the end of the application form. This debit will be made through the Bulk Electronic Clearing System (BECS) from your account held at the financial institution you have nominated. The DDR Service Agreement with National Australia Bank Limited (NAB). This agreement is designed to explain what your obligations are when undertaking a Direct Debit arrangement with us. It also details what our obligations are to you as your Direct Debit provider.

Financial institution name	Branch name
<input type="text"/>	<input type="text"/>
Account name	
<input type="text"/>	
BSB number	Account number
<input type="text"/>	<input type="text"/>

I/We request and authorise OneVue Fund Services Pty Ltd ABN 18 107 333 308 (User ID 411595) to arrange, through its own financial institution, a debit to the nominated account as deemed payable by our administrator.

Signature of primary account holder

Please print full name

Date (DD/MM/YYYY)

/  / 

Signature of joint account holder (if applicable)

Please print full name

Date (DD/MM/YYYY)

/  / 

### BPAY® - Telephone & Internet Banking

You can make your payment using telephone or internet banking.

You will need to quote the Fund biller code and your investor number when making your payment. Biller codes are listed below.

If this is a new investment, we will notify you of your account number once this is available. Please make your payment within 14 days of this notification.

Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account.

More info: [www.bpay.com.au](http://www.bpay.com.au)

®Registered to BPAY Pty Ltd ABN 69 079 137 518

Fund name	BPAY® details
UBS Australian Bond Fund	Biller code 269340 Reference number: your investor number
UBS Australian Share Fund	Biller code 270058 Reference number: your investor number
UBS Australian Small Companies Fund	Biller code 269407 Reference number: your investor number
UBS Balanced Investment Fund	Biller code 269332 Reference number: your investor number
UBS Cash Fund	Biller code 269415 Reference number: your investor number
UBS CBRE Global Infrastructure Securities Fund	Biller code 269357 Reference number: your investor number
UBS CBRE Global Property Securities Fund	Biller code 269365 Reference number: your investor number
UBS CBRE Property Securities Fund	Biller code 269423 Reference number: your investor number
UBS Defensive Investment Fund	Biller code 270033 Reference number: your investor number
UBS Diversified Fixed Income Fund	Biller code 270017 Reference number: your investor number
UBS Emerging Markets Equity Fund	Biller code 290304 Reference number: your investor number



Fund name	BPAY® details
UBS Future Leaders Global Small Companies Fund	Biller code 399147 Reference number: your investor number
UBS Global Dynamic Bond Fund	Biller code 407445 Reference number: your investor number
UBS Income Solution Fund	Biller code 269126 Reference number: your investor number
UBS International Bond Fund	Biller code 269456 Reference number: your investor number
UBS International Share Fund	Biller code 269449 Reference number: your investor number
UBS Microcap Fund	Biller code 269431 Reference number: your investor number
UBS Short-Term Fixed Income Fund	Biller code 269357 Reference number: your investor number

### Cheque

Please make your cheque payable to National Nominees Limited ANF UBS Asset Management (Australia) Ltd. Attach the cheque with your original application forms when posting. Please cross and write 'non-negotiable' on Australian cheques only.

## 5. FINANCIAL INSTITUTION ACCOUNT DETAILS

### Australian bank account details

Please provide your bank account details if you have selected to take your distribution in cash or wish to provide these details for future redemptions. We will only pay cash proceeds to a bank account in the name(s) of the investor(s). We will not make any payments into third party bank accounts.

Financial institution name

Branch name

Name of account holder(s)

BSB number

Account number

### Foreign bank account details

Financial institution name

Financial institution address

Account number

Account name

SWIFT/BIC

ABA/FED (US)

IBAN (Europe)

## 6. REGULAR SAVINGS PLAN

I/We would like to establish a regular savings plan

Monthly investment amount AUD\$  (minimum \$1000 per month).

Please complete the direct debit request in **section 4** above (Payment of application amount).

## 7. COMMUNICATION

### Automatic online account access

Online access enables you to view details of your investments (account balance, investment details and account statements). We will send you the necessary registration details by post once your application is processed.

**Note:** You may receive marketing material (e.g. market commentary, event invitations) from us, from time to time. Please indicate if you do not wish to receive these communications.

### Annual & semi-annual report options

The annual and any semi-annual financial statements of the fund are available free on our website. If you would like to receive a copy by post or email, please indicate below. (This refers to annual and semi-annual reports only. This will not affect communication instructions regarding general correspondence for your fund).

By email  By post

### Marketing material

You may receive information from us via mail, telephone, email or other electronic messaging service relating to market commentary, services or information that may be of interest to you. By providing us with your contact details you consent to being contacted by these methods for these purposes. Please indicate if you do not wish to receive marketing information from us or any companies within our group.

## 8. FINANCIAL ADVISER DETAILS

Use this section to tell us about your financial adviser. If you change your financial adviser, it's important to let us know in a timely way. If you would like your financial adviser to receive copies of your statements by email, please enter their email address below.

Adviser email address

### Operating your account

Do you want your financial adviser to be able to operate your account?

No

Yes - Please complete **section 9** (Authorised representative of investor).

In general, an appointed financial adviser can do everything you can do with your investment, except appoint another person to operate your account. It is important to tell us promptly if you no longer wish your financial adviser to operate your account, or if your financial adviser changes - Iress and OneVue will keep accepting their instructions until you or your adviser inform us in writing that the appointment has terminated.

We may suspend or terminate their appointment for any reason considered reasonable, and may change the terms on which they operate your account.

You indemnify us from any loss you or we suffer as a result of the actions of your appointed financial adviser, and agree to ratify their actions if we ask.

**Notice to financial adviser:** by completing this section of the application form, you are confirming that you hold a current Australian Financial Services Licence (AFSL), or are otherwise authorised to advise on and arrange this product.

**Details**

AFSL holder name  AFSL number

Adviser name

Adviser code or Authorised representative number  ABN

Property/building name

Unit  Street number  Street name

Suburb  State  Postcode  Country

Phone  Mobile

**Performance of investor identification & verification procedures**

Please indicate below whether client identification and verification procedures have been performed.

- No - I have not performed the applicable customer identification procedure on this investor.
- Yes - I have completed the applicable customer identification procedure on this investor.

**Financial adviser declaration**

**Notice to financial adviser:** please note that reliance on the KYC performed by the financial advisor is only acceptable if all the criteria below is met.

- I hold an AFSL in my own name or have been appointed as an authorised representative by the licensee.
- I am a reporting entity for AML/CTF purposes.
- The issuer has reasonable grounds to believe that it is appropriate to rely on the KYC procedure I have undertaken.
- I have attached the KYC documents to this form.

AFSL full legal entity name  AFSL number

Please print full name

Signature

## 9. AUTHORISED REPRESENTATIVE OF INVESTOR

Please complete this section if you wish to appoint an individual or individuals to act on your behalf in relation to your investment in the fund. If you have appointed an entity as your authorised representative, please contact us on 1800 572 018 to obtain the relevant KYC form.

### 9.1 Authorised representative details

#### Authorised representative 1

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Authorised representative's phone number

Email

Authorised representative's signature

#### Authorised representative 2

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Authorised representative's phone number

Email

Authorised representative's signature

If you wish to appoint more than two authorised representatives, please complete the details on a separate sheet and attach to this application form.

### 9.2 How authorised representatives may act in relation to the account?

#### Tick applicable

Each authorised representative listed above may provide instructions in relation to the investment individually without the consent of the other

All authorised representatives must act jointly to provide instructions in relation to the investment

Other arrangement - please provide details

### 9.3 Verification procedure for authorised representatives who are individuals

For each authorised representative, please provide verification documents in accordance with the verification procedure in **section 2**. In addition, please provide evidence of each authorised representative's authority to act on behalf of the investor. Please tick the document(s) you have provided.

#### Verification documents - mandatory

A certified copy of ID as per **section 2**

#### Authorised representative's authority - one of the following (not required for a Financial Adviser listed in **Section 8**)

Certified copy of the authorising document (e.g. POA); or

A certified copy of a guardianship order; or

Other arrangement - please provide details

I confirm that the document authorising each authorised representative is still valid and has not been revoked.

## 10. GLOBAL TAX REPORTING REQUIREMENTS (FATCA/CRS)

### Why you need to complete this section?

The Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and a number of other foreign Governments have an agreement which requires us to obtain certain information from investors, including taxation information. You may be liable to a penalty if you provide information that is false or misleading that is material. We may decide not to open an account without first receiving the required information. For more information, visit [www.ato.gov.au](http://www.ato.gov.au).

If you are unsure of any of the answers, please contact a legal or accounting professional.

### 10.1 Tax Residence - Individual/Sole Trader

#### HELP

#### Tell me about tax residence

You can be a resident of more than one country for tax purposes. Whether you are tax resident of a particular country for tax purposes is often based on the amount of time you spend in a country and the location of your residence and/or place of work. If you pay tax or have a tax liability somewhere, you are probably a tax resident there. Dual citizenship often brings dual tax residency. It depends on the country. For the US, tax residency can be as a result of citizenship or residency for tax purposes.

If you're unsure, ask someone who knows, usually your accountant.

#### 10.1.1 Individual - Investor 1

#### Are you a US resident for tax purposes?

No

Yes - please tell us your TIN.

**HELP**

**What is a TIN?**

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

**Are you a resident of any other country for tax purposes?**

Other than the US or Australia

No

Yes - please tell us which ones, using the following table.

**HELP**

**No TIN? Reasons we accept are:**

Reason A: The country of tax residency does not issue TINs to its tax residents

Reason B: The entity/individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

Reason D: I have asked for a TIN, but have not yet been given one - please be aware that TIN must be submitted within 30 days

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See above HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

**10.1.2 Individual - Investor 2**

**Are you a US resident for tax purposes?**

No

Yes - please tell us your TIN.

**HELP**

**What is a TIN?**

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

**Are you a resident of any other country for tax purposes?**

Other than the US or Australia

No

Yes - please tell us which ones, using the following table.

**HELP**

**No TIN? Reasons we accept are:**

Reason A: The country of tax residency does not issue TINs to its tax residents

Reason B: The entity/individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

Reason D: I have asked for a TIN, but have not yet been given one - please be aware that TIN must be submitted within 30 days

	Country or jurisdiction of tax residency	TIN	No TIN? Which reason? If Reason B has been selected please provide an explanation. See above HELP box.
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

## 11. DECLARATIONS & ACKNOWLEDGMENTS

Please read the declarations below before signing this form. The required signature(s) are detailed at the bottom of this form.

When you apply to invest, you (the applicant) are telling us:

- to the best of your knowledge, all details in this application (including all related documents provided) are true, correct and complete
- you have received, read and understood the current PDS. You agree to be bound by the constitution of the fund, the PDS as supplemented, replaced or re-issued from time to time
- you are not bankrupt or a minor, and are authorised to sign this form
- you have received and accepted this offer in Australia
- you have read and understood the information relating to privacy in the PDS
- I consent to the issuer disclosing my personal information to any issuer's service providers, in relation to any identification and verification that the issuer is required to undertake on me, as required under the AML/CTF Act. This shall include any information:
  - required by any third party document verification service provider, and/or
  - provided to any third party document verification service provider.

By applying to invest you also acknowledge that:

- monies deposited are not associated with crime, money laundering and/or financing terrorism. We may decide to delay or refuse any request or transaction, including by suspending the issue or redemption of units. If we are concerned that the request or transaction may breach any obligation of, or cause us to commit or participate in an offence under any AML/CTF and Sanctions Law and FATCA/CRS obligations, we will incur no liability to you if we do so
- we may take other action we reasonably believe is necessary to comply with AML/CTF and Sanctions Law and FATCA/CRS obligations, including disclosing any information held about you to any of our related bodies corporate or service providers whether in Australia or outside Australia, or to any relevant Australian or foreign regulator, and
- we collect additional information about you from time to time, from you or from third parties, for the purposes of satisfying AML/CTF and Sanctions Law and FATCA/CRS obligations, and that any such information may be used and disclosed as described in the UBS Asset Management (Australia) Ltd available online at <https://www.ubs.com/au/en/asset-management/privacy-policy.html> or by contacting us.

### Important information

- nothing in this form is advice and 'help' is general guidance only. Seek professional advice to be sure of your answers
- it is a condition of investing that you keep your details (including tax detail) with us, up to date. We recommend that you review this tax information form at the end of the financial year and update your details if required. You must contact us when you learn new things about the matters in this form. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form and emailing, faxing or posting it to our Administrator.

By completing and signing this form:

- you represent having read and understood this form
- you represent this form is complete and accurate
- if you have applied for but not received your TIN, you undertake to inform us within 30 days of receiving it
- you undertake that if information in this form changes, you will tell us within 30 days
- you declare that to the best of your knowledge and belief the information provided in the Global Tax Reporting section is true and correct
- you agree to notify UBS Asset Management (Australia) of any changes to your tax residency

### Please Note:

If you are a tax resident in a country other than Australia or a US citizen, you acknowledge that information regarding your investments (including the value of those investments together with any income or redemption proceeds paid in respect of these investments) may be reported to the Australian Tax Office and may be exchanged with the Tax Authorities of the country where you are a tax resident and or to the US if you are a US citizen.



## 12. SIGNATURE(S)

All applicants must sign.

### Signature 1

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Investor 1

Authorised Representative

### Signature 2

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Investor 2

Authorised Representative

### Signature 3

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Investor 3

Authorised Representative

### Signature 4

Signature

Date (DD/MM/YY)   /   /

Full name

#### Capacity

Investor 4

Authorised Representative

<b>Translating documents by an accredited translator</b>	<p>In Australia an accredited translator means a professional translator accredited by the National Accreditation Authority for Translators and Interpreters at or above professional level.</p> <ul style="list-style-type: none"> <li>• NAATI (<a href="https://www.naati.com.au/">https://www.naati.com.au/</a>)</li> </ul> <p>In an overseas country, an accredited translator is a professional translator accredited by a NAATI equivalent authority. For these, escalate to the AML Compliance Officer for assistance.</p>
<b>Getting your copies certified</b>	<p>Any document(s) requiring to be certified for verification purposes must be certified by an eligible person to be a true copy of the original document. Documents must be either certified on all pages or certified on the front page with a clear reference to the number of subsequent pages that are included.</p>
<b>Example of certification</b>	<p>I certify that this is a true and correct copy of the original document</p> <p>Signature of Certifier</p> <p>Name of Certifier</p> <p>Capacity of certifier - e.g. Justice of the Peace</p> <p>Date of certification (DD/MM/YYYY)</p>
<b>Source and Origin of Funds</b>	<p>Refers to how and where you obtained the funds for this specific investment</p>
<b>Source of Wealth</b>	<p>Refers to where your entire body of wealth and assets came from - not just what is involved in this specific investment. It describes the economic, business, or commercial activities that generated, or significantly contributed to, your overall net worth.</p>
<b>List of TFN Exemption Reasons</b>	<ul style="list-style-type: none"> <li>• Entity not required to lodge an income tax return</li> <li>• Investor is a pensioner</li> <li>• Investor is a recipient of other benefit</li> <li>• Investor is under 16 years of age</li> <li>• Investor is in the business of providing finance</li> <li>• Investor is not an Australian resident</li> <li>• Investor is a Norfolk Island resident</li> </ul>
<b>List of occupations that can certify (from the Statutory Declaration Regulations 2018)</b>	<ul style="list-style-type: none"> <li>• Architect</li> <li>• Chiropractor</li> <li>• Dentist</li> <li>• Financial adviser or financial planner</li> <li>• Legal practitioner</li> <li>• Medical practitioner</li> <li>• Midwife</li> <li>• Migration authorised representative registered under Division 3 of Part 3 of the Migration Act 1958</li> <li>• Nurse</li> <li>• Occupational therapist</li> <li>• Optometrist</li> <li>• Patent attorney</li> <li>• Pharmacist</li> <li>• Physiotherapist</li> <li>• Psychologist</li> <li>• Trade marks attorney</li> <li>• Veterinary surgeon.</li> </ul>

**List of persons who can certify**

- 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)
- a judge of a court
- a magistrate
- a chief executive officer of a Commonwealth court
- a registrar or deputy registrar of a court
- a Justice of the Peace
- a notary public (for the purposes of the Statutory Declaration Regulations 2018)
- a police officer
- an authorised representative of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- a permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public
- an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955)
- an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 2018)
- a finance company officer with 2 or more continuous years of service with one or more financial companies (for the purposes of the Statutory Declaration Regulations 2018)
- an officer with, or authorised representative of, a holder of an Australian financial services licence, having 2 or more continuous years of service with one or more licensees
- a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.