

# APPLICATION FORM

## Investor Signals Global Investment Fund Information Memorandum dated April 2021

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This Application Form relates to the Information Memorandum dated August 2019 ('IM') issued by Investor Signals Pty Ltd, ACN 143555453 ('Trustee' or 'Investors Signals'), and Corporate Authorised Representative No. 439411 of Advisor Plus Pty Ltd AFSL 474520, with respect to investments in the Investor Signals Global Investment Fund ('Fund'). Please read the IM in full before completing this Application Form. Unless otherwise specified, terms defined in the IM have the same meaning in this Application Form.

### **INDIVIDUALS, COMPANIES, TRUSTS & TRUSTEES**

*Please send your completed Application Form and Identification Documents to:*

**Investor Signals Pty Ltd  
Level 29 Chifley Tower  
2 Chifley Square  
Sydney NSW 2000**

**Or**

**E: [fund@investorsignals.com](mailto:fund@investorsignals.com)**

# PART A : INVESTOR & INVESTMENT DETAILS

## Investment class

Please select whether you wish to invest in Class A Units, Class B Units or both Classes.  
If no selection is made, you will be deemed to have selected Class A Units.

Class A Units.  Class B Units.

The minimum investment amount for each Class is \$50,000 and subsequently in increments of \$20,000 (unless agreed otherwise by the Trustee).

Is this an application from a new investor?

New investor – please provide the name of the holding (in a format that you want to appear on the unit holder register)

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New Investor Name

## Contact Details

Full given name(s)		Surname
Email address		
Telephone	Area code	Number

*You acknowledge that any personal information you provide to Investor Signals will be collected and handled in accordance with our privacy policy. A copy of our privacy policy can be found at [www.investorsignals.com](http://www.investorsignals.com).*

*In addition a copy may be posted/emailed to you if you contact Investor Signals on 1300 614 002 or [fund@investorsignals.com](mailto:fund@investorsignals.com). By providing Investor Signals with any form or any other paperwork relating to your investment you consent to your personal information being collected and handled by us in accordance with our privacy policy.*

## Investment Details

### Amount Class A

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### Amount Class B

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*Please note the minimum initial investment amount is \$50,000 per investor, unless approved by the Trustee.*

## Payment Details

Electronic Funds Transfer (EFT)

International Transfers  
(Additional Information)

**Bank:** Macquarie Bank

**SWIFT BIC Code:** MACQAU2SXXX

**For the Account of:** Investor Signals Pty Ltd ATF Investor Signals Global Investment Fund

**Branch Name:** Macquarie Bank Limited

**BSB:** 182-512

**Bank Address:** 1 Shelly Street  
Sydney NSW 2000  
Australia

**Account number:** 9664 95566

**Reference:** [Unitholder name]

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## Taxation Details

Are you a resident of Australia for taxation purposes? (Select one of the following options)

Yes - please complete the below

No – please provide country of residence:

Tax File Number (TFN)

Australian Business Number (ABN):

(TFN) Individual 1

(TFN) Individual 2

Exemption Number:

Please indicate to whom this TFN or ABN belongs:

Company  Trust/Super Fund  Individual 1  Individual 2  Other – please specify:

Please note: You are not obliged to provide either your TFN or ABN but if you do not provide either your TFN or ABN and unless you claim TFN exemption, the trustee will be required to deduct tax at the highest marginal tax rate (plus Medicare levy). By inserting the ABN and signing this Application Form, you declare that this investment is made in the course or furtherance of your enterprise. Collection of TFN information is authorised and its use and disclosure are strictly regulated by the tax laws and the Privacy Act 1988 (Cth).

## Distribution reinvestment

Distributions will be automatically reinvested in the Fund unless you indicate below:

Please pay my distributions to me by electronic transfer

## Distributions and redemption proceeds

### Your bank account details

Distributions and redemption proceeds can only be paid to the nominated bank account and cannot be paid by cheque. By completing this section you confirm that any distributions and redemption proceeds sent by EFT to a designated bank account are sent at your risk insofar as the onus to provide bank account details rests solely on you. Transfer charges will be levied.

Please pay distributions and redemption proceeds to the following bank account:

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Bank

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Branch Name

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BSB

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Account Number

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Account Name

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### Source of investment funds

Please select all options applicable for the source of funds you are investing in the Fund:

- Salary/Wages
  - Business income, earnings or profits
  - Investment income/earnings    Sale of asset
  - Inheritance/gift
  - Other (please specify):
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## PART B INVESTOR IDENTIFICATION

If you are a new investor, please complete PART A: Investor & Investment Details section (being the first two pages) and PART B: Investor Identification section of the Application Form, and send all documents to the Trustee at the address below. If your investor type does not fall into any of the three investor categories in sections 1-3 of this form please contact us to enquire about what information and documentation is required for identification purposes under Anti-Money Laundering/Counter Terrorism Financing legislation (AML/CTF Law). Please also complete section 5 and either option A or option B.

Our verification procedure and requirements (including certified identification evidence) is included for your reference.

If you are an existing investor making an additional investment, you may email your instruction to the Trustee at [fund@investorsignals.com](mailto:fund@investorsignals.com). Existing investors whose details have changed must also complete the Identification Documentation section and send all documents to the Trustee at the address below.

***Please send your completed Application Form and Identification Documents to:***

**Investor Signals Pty Ltd**

**Level 29 Chifley Tower**

**2 Chifley Square**

**Sydney NSW 2000**

**Or**

**E: [fund@investorsignals.com](mailto:fund@investorsignals.com)**

## SECTION 1 Investor Type: Individual(s)

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### 1:1 General Information Individual 1

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number

### 1:2 General Information Individual 2

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number

For all individuals please provide the following information in addition to completing this section:

- Certified copy of a Primary Photographic Identification Document (see below for definition); or
- Certified copy 1 of a Primary Non-Photographic Identification Document and a Secondary Identification Document (see below for definitions).

## SECTION 2 Investor Type : Australian & Foreign Company

Please note, if you are an Australian Company acting as Trustee of a fund, please also complete Section 3.

### 2:1 General Information

Full name as registered by ASIC or foreign registration body

Registration number

(select the following categories which apply to the company and provide the information requested)

ACN

ARBN

Foreign body registration number

Please provide name of the registration body below

Country of formation / incorporation / registration

#### Registered office address (PO Box is NOT acceptable)

Street

City/Suburb/Town, State, Postcode, Country

Telephone

Area code

Number

Facsimile

Area code

Number

#### Principal place of business (if any) (PO Box is NOT acceptable)

Street

City/Suburb/Town, State, Postcode, Country

Email

Telephone

Area code

Number

Facsimile

Area code

Number

## 2:2 Regulatory/ Listing Details

Select the following categories which apply to the company and provide the information requested

**Regulated company** (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence Number

**Australian listed company**

Name of market / exchange

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

Australian listed company name

Name of market or exchange

**Foreign listed public company**

Country of formation / incorporation / registration

Name of market or exchange

## 2:3 Company Type

Select only ONE of the following categories

Public *Section 2 now completed, continue to Section 5*

Proprietary/Private *Go to Section 2.4 and 2.5 below*

Other *Go to Section 2.4 and 2.5 below*

## 2.4 Directors

Only needs to be completed for proprietary, private and other companies.  
This section does NOT need to be completed for public and listed companies.

How many directors are there?

Provide full name of each director

Full Name	Surname

If there are more directors, please include an additional copy of this page in your Application Form.

## 2:5 Shareholders

Only needs to be completed for proprietary, private or other companies that are not regulated companies as selected in Section 2.2

Provide details of shareholders who own 25% or more of the company's issued capital.

### Shareholder 1

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number
Facsimile	Area code	Number

### Shareholder 2

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number
Facsimile	Area code	Number

### Shareholder 3

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number
Facsimile	Area code	Number

For all shareholders please provide the following information in addition to completing this section:

- Certified copy of a Primary Photographic Identification Document (see below for definition); or
- Certified copy 1 of a Primary Non-Photographic Identification Document and a Secondary Identification Document (see below for definitions).



## 2:6 Beneficial Holders

Provide details of **ALL individuals** who are the ultimate beneficial owners. If the individual shareholders described in Section 2.5 above are the beneficial holders, then you do not need to complete this section.

A beneficial owner is any individual who ultimately “owns” or “controls” (directly or indirectly) the applicant. “Control” includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, including exercising control through the capacity to determine decisions about financial and operating policies of the investor. “Owns” means ownership (either directly or indirectly) of 25% or more of the applicant.

### Beneficial 1

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number
Facsimile	Area code	Number

### Beneficial 2

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number
Facsimile	Area code	Number

### Beneficial 3

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential Address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email		
Telephone	Area code	Number
Facsimile	Area code	Number

If there are more beneficial holders, please include an additional copy of this page in your Application Form.

For all beneficial holders please provide the following information in addition to completing this section:

- Certified copy of a Primary Photographic Identification Document (see below for definition); or
- Certified copy 1 of a Primary Non-Photographic Identification Document and a Secondary Identification Document (see below for definitions).

**If the company is a Foreign company please also attach certified copy of the certification of registration issued by the relevant foreign registration body.**

*If the company is an Australian company or Foreign company registered with ASIC, and not acting in a trustee capacity, this form is now Complete. If the company is an Australian company or Foreign company registered with ASIC and is acting in a trustee capacity section 3 must also be completed.*

## SECTION 3 Investor Type : All Trusts (Including Superannuation Funds)

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### 3:1 General Information

Full name of trust

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Full name of the Trustee of the trust Country where trust established

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### 3:2 Type of Trust

*Select only one of the following trust types and provide the information requested)*

**Registered managed investment scheme**

Provide Australian Registered Scheme Number (ARSN) Licence Number

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**Regulated trust (e.g. an SMSF)**

Provide name of the regulator (e.g. ASIC, APRA, ATO) • Provide certified trust deed

- Provide the trust's ABN or registration / licensing details
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**Government superannuation fund**

Provide name of the legislation establishing the fund

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**Other trust type**

Trust description (e.g. unregistered, fixed, family, unit)

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For **other trust types** please complete the following additional sections:

- If you are completing this form as an **Individual Trustee** please complete 'Section 1 - Investor Type: Individual' in addition to sections 3.3 and 3.4.
- If you are completing this form as a **Corporate Trustee** please complete 'Section 2 - Investor Type: Company' in addition to sections 3.3 and 3.4.
- If you are completing this form both as **Individual and Corporate Trustee** please complete 'Section 1 -Investor Type: Individual' and 'Section 2 - Investor Type: Company' in addition to sections 3.3 and 3.4.

In addition to completing sections 3.3 and 3.4, for other **trust types** please provide the following documentation:

- **Certified copy1 or certified extract of the trust deed; or**
- **Notice of assessment or certified copy 1 of assessment issued by the ATO in the last 12 months.**

<sup>1</sup> For the definition of certified copy and list of people that can certify documents refer to Section 5 of Part B.

### 3:3 Beneficiary Details

**Only complete if “Other trust type” is selected in section 3.2 on left page**

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (e.g. SMSF) or government superannuation fund.

Do the terms of the trust identify the beneficiaries by reference to membership of a class?

**Yes.** Provide details of the membership class/es, e.g. unitholders, family members of named person, charitable purpose

**No.**

Provide full name of each substantial trust beneficiary below. i.e. those specified in the trust deed as having an entitlement to 25% or more of trust income or assets

Full given name(s)	Surname

For all beneficial holders/ shareholders please provide the following information in addition to completing this section:

- Certified copy of a Primary Photographic Identification Document (see below for definition); or
- Certified copy 1 of a Primary Non-Photographic Identification Document and a Secondary Identification Document (see below for definitions).

*If there are more beneficiaries, please include an additional copy of this page in your Application Form*

### 3:4 Trustee Details

**Only complete if “Other trust type” is selected in section 3.2 on left page**

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (e.g. SMSF) or government superannuation fund.

How many Trustees are there? \_\_\_\_\_

**Trustee 1**

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential address if an individual Trustee or company registered office address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email address		
Telephone	Area code	Number
Facsimile	Area code	Number

**Trustee 2**

Full given name(s)		Surname
Date of Birth (dd/mm/yyyy)		
Residential address if an individual Trustee or company registered office address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email address		
Telephone	Area code	Number
Facsimile	Area code	Number

*If there are more trustees, please include an additional copy of this page in your Application Form.*

For all trustees please provide the following information in addition to completing this section:

- Certified copy of a Primary Photographic Identification Document (see below for definition); or
- Certified copy 1 of a Primary Non-Photographic Identification Document and a Secondary Identification Document (see below for definitions).

*If the company is a foreign company please also attach certified copy of the certification of registration issued by the relevant foreign registration body.*

### 3.5 Settlor Details

Do any of the following apply? *Tick as appropriate*

- The material asset contribution to the trust by the settlor at the time the trust is established is less than AU\$10,000*
- The settlor is deceased*
- The trust is a managed investment scheme registered by ASIC; or is a managed investment scheme that is not registered by ASIC and that only has wholesale clients and does not make small scale offerings; or is a trust subject to the regulatory oversight of an Australian statutory regulator; or is a government superannuation fund*

If not, provide the following details of the settlor:

Full given name(s) or Company name	Surname
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## What are the Identification Documents?

### Primary Photographic Identification Documents;

1. Licence or permit issued by State or Territory of Australia or equivalent authority of a foreign country for the purpose of driving a vehicle that contains a photograph of the person in whose name the document is issued.
2. Passport issued by Commonwealth of Australia.
3. Passport issued for purpose of international travel that is issued by a foreign government and contains a photograph and the signature of a person in whose name the document is issued (accompanied by a written translation prepared by accredited translator where required).
4. Card issued by a State or Territory of Australia for the purpose of proving a person's age that contains a photograph of the person in whose name the document is issued.
5. National Identity Card issued by a foreign government, for the purpose of identification that contains a photograph of the person in whose name the document is issued (accompanied by a written translation prepared by accredited translator where required).

### Primary Non-Photographic Identification Documents;

1. Birth Certificate or Birth Extract issued by a State or Territory of Australia.
2. Citizenship Certificate issued by Commonwealth of Australia.
3. Citizenship Certificate issued by a foreign Government (accompanied by a written translation prepared by accredited translator where required).
4. Birth certificate issued by a foreign government (accompanied by a written translation prepared by accredited translator where required).
5. Concession card issued by Centrelink that entitles financial benefits to the person in whose name the card is issued.

### Secondary Identification Documents;

1. A notice that was issued to an individual by the Commonwealth, a State or Territory of Australia within the preceding 12 months that contains the name of the individual and his or her residential address and records the provision of financial benefits to the individual under a law of the Commonwealth, State or Territory.
2. A notice that was issued by the Australian Taxation office within the preceding 12 months that contains the name of the individual and his or her residential address and records a debt payable to or by the individual by or to (respectively) the Commonwealth under a Commonwealth law relating to taxation.
3. A notice that was issued to an individual by a local government or utilities provider in Australia within the preceding 3 months that contains the name of the individual and his or her residential address and records the provision of services by that local government body or utilities provider to that address or to that person.

**Please note that primary Identification Documents must be current (other than a passport, which may be used if it expired within the preceding two years).**

## SECTION 4 FATCA and CRS

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Australia participates in Automatic Exchange of Information (AEOI) regimes concerning the automatic exchange of financial account information with a number of foreign jurisdictions. These regimes are known as the Foreign Account Tax Compliance Act (FATCA) in the case of exchange of Australia with the United States of America and the Common Reporting Standard (CRS or Standard) in the case of exchange by Australia with other countries that have implemented the Standard.

CRS and FATCA obligations are imposed on Australian financial institutions (AFIs) through the operation of the Taxation Administration Act 1953. A requirement of the legislation implementing FATCA and CRS is that AFIs must collect and report specified information to the Australian Taxation Office (ATO).

The Fund is expected to be subject to the FATCA and CRS obligations. This section sets out the information required to be collected by us and all applicable applicants must provide responses to the questions in this section as appropriate. If you do not provide the information requested, we will not be able to process your application.

We are not able to provide tax advice and cannot determine the impact or compliance obligations of FATCA or CRS on investors. We strongly encourage investors to seek the advice of an experienced tax adviser to determine what actions, if any, investors need to consider.

Please complete section 4.1. below if you are investing as an individual or sole trader. Please complete section 4.2 below if you are investing as a company, trust (including a SMSF) or partnership.

### 4.1 Individual 1 - US

Are you a US citizen or resident for tax purposes?

- Yes - provide your Tax Identification Number (TIN): \_\_\_\_\_
- No - go to section 3.3

### 4.2 Companies and trusts - US

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#### US Entities

Are you a US trust, US Company or US Partnership?

- Yes - provide your Tax Identification Number (TIN): \_\_\_\_\_
- No – complete the Non-US Entities section below.

Are you exempt for US tax purposes?

- Yes  No (US citizen or resident for tax purposes)
- 

#### Non-US Entities

Are you a (please tick ONE box from the list below):

- |   |   |
|---|---|
| <input type="checkbox"/> Regulated superannuation fund (self managed super fund, APRA regulated super fund, government super fund or pooled superannuation trust) | <input type="checkbox"/> Financial institution or trust with a trustee that is a financial institution.                         |
| <input type="checkbox"/> Government entity  | <input type="checkbox"/> Global Intermediary Identification Number (GIIN), if applicable  |
| <input type="checkbox"/> Registered corporation   | _____   |
| <input type="checkbox"/> Association  | If no GIIN is available provide FATCA status <sup>1</sup>   |
| <input type="checkbox"/> Non financial public company (public companies that are not financial institutions)  | <input type="checkbox"/> Non financial proprietary company  |
| <input type="checkbox"/> Charity  | <input type="checkbox"/> Partnership  |
|   | <input type="checkbox"/> Trust (including testamentary trust) other than a trust with a trustee that is a financial institution |

<sup>1</sup> For example, deemed compliant foreign financial institution (FFI), exempt beneficial owner, non participating FFI, excepted FFI.

### 4.3 Other foreign countries

Please complete this section if an individual or beneficial owner\* that are party to this application has an overseas tax status in a country outside of Australia, other than the United States of America.

If the individual or entity is a tax resident of any other country outside of Australia or the United States of America, please indicate the country(ies) in which they are a resident for tax purposes and each country's associated Tax Identification Number (TIN). If a TIN is not available, please tick the appropriate reasons.

Please attach a separate piece of paper listing all individuals or beneficial owners if there are more than two (2).

Full given name(s)	Surname
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Country

TIN

Reason if no TIN provided (please tick one):

- Foreign TIN not issued by this country
- Individual is under age
- Foreign TIN pending issue by country's tax authority

Full given name(s)	Surname
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Country

TIN

Reason if no TIN provided (please tick one):

- Foreign TIN not issued by this country
- Individual is under age
- Foreign TIN pending issue by country's tax authority

Note: \*Beneficial owner means an individual who ultimately owns or controls (directly or indirectly) the investor. In the case of a company, trust, partnership and association this is any individual who owns through one or more shareholdings, unitholdings or interest more than 25% of the issued capital, equity or voting rights.

*For additional information, please contact:*

Investor Signals Pty. Ltd.

Level 29 Chifley Tower

2 Chifley Square

Sydney, NSW 2000

T: 1300 614 002

E: fund@investorsignals.com

For further instructions, please contact your tax adviser  
or visit [www.irs.gov](http://www.irs.gov)

## SECTION 5 Certified Copy of an Original Document

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**Certified copy** means a document that has been certified as a true copy of an original document.

**Certified extract** means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described in the sub-paragraphs below.

People who can certify documents or extracts include:

- a **lawyer** - a person who is enrolled on the roll of the Supreme Court of a State or Territory, or 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 Peace**;
- a **notary public** (for the purposes of the Statutory Declaration Regulations 1993);
- a **police officer**;
- a **postal agent** - an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- the **post office** - 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 1993);
- 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 1993);
- 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; and
- an **accountant** - 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.

The eligible certifier must include the following information:

- Their full name
- Address
- Telephone number
- The date of certifying
- Capacity in which they are eligible to certify, and
- An official stamp/seal if applicable

The certified copy must include the statement, "I certify this is a true copy of the original document".

For photographic documents, the certified copy must include the statement, "I certify this is a true copy of the original document and the photograph is a true likeness".

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



## Declaration and Signature

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I/we (an investor) acknowledge declare and agree that by signing this Application Form:

- I have received and read the IM to which this Application Form applies and have received and accepted the offer to invest in Australia.
- I am in compliance with the legal requirements applicable to me in the legal jurisdiction in which I am resident/ established, relating to the acquisition, holding and disposition by me of any investment in the Fund, and Units in the Fund have not been offered or promoted to me in violation of any securities laws applicable to me.
- I confirm that the acquisition of Units will not result in me holding a prohibited interest at law, or any person (including the Trustee) contravening, requiring approval of or needing to effect any filing under the provisions of the Competition and Consumer Act 2010 (Cth) or the Foreign Acquisitions and Takeovers Act 1975 (Cth).
- Unless agreed otherwise with the Trustee, I am a wholesale client as defined in section 761G or a sophisticated investor section 761GA of the Corporations Act.
- If I have received the IM from the internet or other electronic means that I received it personally or a print out of it, accompanied by this Application Form.
- All details provided by me in this Application Form are true and correct and I understand that the Trustee will rely on the information in this Application Form.
- I will be bound by the provisions of the current IM and the Constitution, as amended from time to time, and I will become a Unitholder on and subject to the terms of the Constitution (which terms will prevail over this IM to the extent of any inconsistency).
- The Trustee is authorised to apply or use the TFN or ABN provided above for all future applications for Units, unless I notify the Trustee otherwise.
- None of the Trustee or its related bodies corporate guarantees the repayment of capital invested in the Fund, the performance of the Fund or any particular return from the Fund.
- I understand the risks involved in investing in the Fund.
- I/we have read and understood the privacy section in the IM.
- The Trustee may be required to pass on information about me or my investment to the relevant regulatory authority in compliance with the AML/CTF Law. I will provide such information and assistance that may be requested by the Trustee to comply with its obligations under the AML/CTF Law and I indemnify it against any loss caused by my failure to provide such information or assistance.
- The monies used to fund my investment in the Fund are not derived from or related to any money laundering, terrorism financing or other illegal activities, whether prohibited under Australian law, international law or convention ('illegal activity') and the proceeds of my investment in the Fund will not be used to finance any illegal activities.
- I am not a 'politically exposed' person or organisation for the purpose of any AML/CTF Law and will notify the Trustee if I become a 'politically exposed' person or organisation for the purposes of the AML/CTF Law.
- I consent to details about my application and holdings being disclosed in accordance with the "Privacy Policy" section of the IM.
- If acting as a trustee on behalf of a superannuation fund or other trust, I am acting in accordance with my designated powers and authority under the fund's trust deed and applicable legislation and I am the sole trustee (unless otherwise expressly stated), and in the case of a superannuation fund, I also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993.
- I am not a U.S. Person and are not subscribing for the Units on behalf of, or for the benefit of, a U.S. Person nor do I intend on selling or transferring any Units which I may subscribe for to any person who is a U.S. Person and I was not in the United States of America at the time that any Units were offered to me or at the time I completed and submitted this Application Form. I will promptly notify the Trustee at any time when I become a U.S. Person, and agree that in such event the Fund will be entitled to (but will not be obliged to) require me to redeem my Units at a price equal to the prevailing redemption price per Unit as at the date of the sale or as at the date of any unauthorized transfer giving rise to such sale.
- The Trustee may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. The term "U.S. Person" shall mean any person that is a United States person within the meaning of Regulation S under the United States Securities Act of 1933 or as defined by the U.S. Commodity Futures Trading Commission for this purpose, as the definition of such term may be changed from time to time by legislation, rules, regulations or judicial or administrative agency interpretations.

- Investor Signals issues the Information Memorandum solely in its capacity as trustee of the Fund, and (without limiting its rights under the Constitution) Investor Signals' liability is limited to the amount which Investor Signals is actually indemnified for out of the assets of the Fund in respect of such liability.
- Investor Signals' reserves the right to reject any application.
- If requested by Investor Signals, the investor agrees, and it is a condition of the issue of the Units, to provide certain information required by it or any custodian or administrator of the Fund in order to comply with any application law, including the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS)
- if the investor is a body corporate, the investor is duly incorporated and validly existing under the laws of the investor's place of incorporation;
- The investor has the experience necessary to evaluate and understands the financial, investment and other risks involved in an investment in the Fund;
- The investor has sought advice from its advisers as to the legal, tax, financial and other implications of an investment in the Fund and has relied solely on such advice and investigations made by the investor and its advisers in satisfying itself that an investment is a suitable, appropriate and desirable investment for the investor;
- Each investor acknowledges and agrees that to the best of its knowledge, the offer to issue Units will not on its own result in Investor Signals:
  - a. being required to provide the investor with a product disclosure statement or other offer document (however named);
  - b. being required to obtain a licence or other authorisation from, or effect any filing or notification with any regulatory authority or body, other than an Australian regulatory authority or body; and
  - c. breaching any law or policy of, or being liable to pay any amount or penalty under the relevant home jurisdiction of the investor.
- investor acknowledges and agrees that to the best of its actual knowledge:
  - a. in order to comply with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 and related rules and regulations (AML/CTF Law), Investor Signals will be required to collect and verify certain identification information regarding prospective investors and the investor agrees to provide Investor Signals and its agent with any information they require in order for the recipient to satisfy its or their obligations under the AML/CTF Law, including completing such documents, forms or any other procedure notified to the investor;
  - b. Investor Signals or its agent reserves the right to request such information as is necessary to meet this obligation and that in some circumstances, may be required to re-verify this information or obtain additional information, such as when Units are transferred or redeemed;
  - c. Investor Signals may (acting reasonably) decide to delay or refuse any request or transaction (including by suspending the issue of Units or withholding a distribution), if it is concerned that the request or transaction may breach any obligation of, or cause any person to commit or participate in an offence under, any AML/CTF Law, and Investor Signals will incur no liability to the investor if it does so;
  - d. any application amount contributed to the Fund:
    - I. is from legitimate sources in connection with regular business activities;
    - II. do not constitute the proceeds of crime as contemplated by the Proceeds of Crime Act 1987 or 2002 (Cth);
    - III. would not constitute a breach of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth); and
    - IV. do not breach any applicable laws in any jurisdiction relating to anti-money laundering or foreign exchange control restrictions;
  - e. and in certain circumstances:
    - I. Investor Signals may be obliged to freeze or block an account where it is used in connection with illegal activities or suspected illegal activities, including any freeze or block which may arise as a result of the account monitoring that is required by AML/CTF Laws; and
    - II. pursuant to the AML/CTF Laws, Investor Signals will not be liable to the investor for any consequences or losses suffered as a result of the freezing or blocking of the investor's account in accordance with AML/CTF Laws.
- Each investor acknowledges, agrees and consents to Investor Signals and any agent collecting, holding and using its personal information for:

- a. providing or marketing products and services to the investor;
  - b. administration purposes, including monitoring, auditing and evaluating the products and services;
  - c. determining future product and business strategies and to develop services, including the modelling of data and data testing;
  - d. ensuring compliance with all applicable regulatory or legal requirements including the requirements of the Australian Securities & Investments Commission, the Australian Taxation Office, the Australian Transaction Reports and Analysis Centre, Australian Government Department of Immigration and Border Protection, QLD Office of Fair Trading and any other Government Agency, regulatory bodies or relevant exchanges; and
  - e. communicating with the investor in relation to its holding of Units in the Fund and all transactions relating to the holding of Units in the Fund.
- Each investor acknowledges that in connection with the services provided to the Fund that their personal data may be transferred and/or stored in various jurisdictions in which Investor Signals and/or its affiliates have a presence, including to jurisdictions that may not offer a level of personal data protection equivalent to the investor country of residence. Each investor will also be required to acknowledge in the Application Form that the Fund and/or the Trustee may disclose the subscriber's personal data to each other, to any affiliate, to any other service provider to the Fund or to any regulatory body in any applicable jurisdiction to which any of the Fund and/or the Trustee is or may be subject. This includes copies of the investor's Application Form and any information concerning the investor in their respective possession, whether provided by the investor to the Fund and/or the Trustee or otherwise, including details of that investor's holdings in the Fund, historical and pending transactions in the Fund's Units and the values thereof, and any such disclosure, use, storage or transfer shall not be treated as a breach of any restriction upon the disclosure, use, storage or transfer of information imposed on any such person by law or otherwise."
  - Each investor agrees to notify Investor Signals in writing as soon as practicable if any representation or warranty under this Application Form becomes untrue, inaccurate, misleading or deceptive.

## Account operating instructions

*If no selection is made, all individuals to sign will be assumed)*

- Any individual to sign
- Any two individuals to sign All
- individuals to sign
- Other (please specify):

Signature	Name and title (block letters please)	Date
Signature	Name and title (block letters please)	Date
Signature	Name and title (block letters please)	Date
Signature	Name and title (block letters please)	Date

## Wholesale Client Certificate

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To: **Investor Signals Pty Ltd**

If you are investing less than \$500,000 and have not been advised otherwise by Investor Signals, please:

- Complete **Section 1**
- Complete **Section 2** – either complete Option B and have your accountant sign it OR complete
- Option A Sign and Date **Section 3**

### SECTION 1 Investor Details

Full given name(s) or Company Name		Surname
Residential address if an investor or company registered office address (PO Box is NOT acceptable)		
Street		
City/Suburb/Town, State, Postcode, Country		
Email address		
Telephone	Area code	Number
Facsimile	Area code	Number

### SECTION 2 Certification

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#### OPTION A: Wholesale Client Category

I certify that I am a “wholesale client” as defined in the Corporations Act 2001.

Details of the Managed Fund or Superannuation Fund/Trust/Scheme (if applicable) (block letters please)

Name		
Address		
Street		
City/Suburb/Town, State, Postcode, Country		
Country Email		
Telephone	Area code	Number
Facsimile	Area code	Number

## NOTES:

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a. Investor Signals may require independent verification of your wholesale client status.

### OPTION B: Qualified Accountant's\* Certification

Details of the Qualified Accountant\* (block letters please):

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Accountant's Name

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Name of firm

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Address

---

Street

---

City/Suburb/Town, State, Postcode

---

Email

---

Telephone	Area code	Number
Facsimile	Area code	Number

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I certify that the following is true and correct in every particular:

- a. I am a qualified accountant\* within the meaning of section 9 of the Corporations Act 2001;
- b. This certificate is given at the request of the investor described in Section 1 of this certificate ("Investor");
- c. This certificate is given for the purpose of section 761G(7)(c) of the Corporations Act 2001; and
- d. The Investor has:
  - Net assets of at least \$2,500,000 (including the net assets of any company or trust controlled by the Investor); or
  - A gross income for each of the last 2 financial years of at least \$250,000 a year (including the gross income of any company or trust controlled by the Investor).

Signature	Name and title (block letters please)	Date
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\* “Qualified accountant” means a member of a professional body that is approved by ASIC in writing for the purpose of the definition. ASIC has indicated that it will approve any member of:

- a. CPA Australia (“CPA”), who is entitled to use the post-nominals “CPA” or “FCPA”, and is subject to and complies with the CPA’s continuing professional development requirements;
- a. The Institute of Chartered Accountants of Australia and New Zealand (“the CA ANZ”), who is entitled to use the post-nominals of “CA”, “ACA” or “FCA”, and is subject to and complies with the CA ANZ’s continuing professional education requirements; or
- a. The Institute of Public Accountants (“the IPA”), who is entitled to use the post-nominals “AIPA”, “MIPA” or “FIPA”, and it subject to and complies with IPA’s continuing professional education requirements.

### SECTION 3 Investor’s Signature

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I declare that I have read and understood this form, and that the information set out is true and correct. Please sign below:

Signature	Name and title (block letters please)	Date

## Post This Form

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Please return the completed certificate to the postal address provided below:

Investor Signals Pty. Ltd.  
Level 29 Chifley Tower  
2 Chifley Square  
Sydney, NSW 2000

Or

EI: [fund@investorsignals.com](mailto:fund@investorsignals.com)