

# Application Form

## Social Impact Investment for Sustainability Fund

Complete this Application Form to apply to invest in the Social Impact Investment for Sustainability Fund ("Fund"). This Application Form must not be circulated unless it is attached to, or accompanied by, a copy of the Information Memorandum dated 31 August 2016. You should read the Information Memorandum before completing this investment Application Form. Please write clearly and use **BLOCK LETTERS** to complete this form.

Social Investment Australia Ltd  
ACN 127 962 976 | AFS licence 339844  
35 Brookes Street  
Bowen Hills, Queensland 4006  
Phone: 07 3851 8050  
Email: [invest@foresters.org.au](mailto:invest@foresters.org.au)  
[www.foresters.org.au](http://www.foresters.org.au)

### PART 1

#### INVESTMENT AMOUNT

Investment amount: AUD \$  ,  ,  .  0  0

Minimum application amount is \$50,000 and thereafter in multiples of \$10,000

### PART 2

#### INVESTMENT TYPE

Please mark (X) the appropriate box to specify the appropriate investment option.

##### General Investment Authority

Allows the Trustee to select which Loans your funds will be applied to. By ticking this option you provide an authority to the Trustee without any recourse to the Trustee for the selection of the Loan(s) (Sub-fund(s)).

##### Specific Investment Authority

You wish to select which Loan(s) Sub-fund(s) your funds are applied to.

### PART 3

#### APPLICANT DETAILS

Please mark (X) the appropriate box to indicate the type of entity that is making the investment.

In completing Part 3 of this Application Form, you are only required to complete the Part 3 section indicated below.

Individual – Complete Part 3A

Joint investor (individual) – Complete Part 3B

Company – Complete Part 3C

Superannuation Fund – Complete Part 3D

Trust (e.g., family trust or unit trust) – Complete Part 3E

Other (e.g., partnership or executor of an estate) – Contact us for the required form

### PART 3A

#### INDIVIDUAL

##### Individual details

Title

Given name(s)

Surname

Date of birth (dd/mm/yyyy)

Tax File Number

TFN exemption (specify reason)

Country of residence for tax purposes

Are you a US Citizen or US tax resident?

Yes

No

Are you a Politically Exposed Person? Yes  No

Please identify the source of your investable assets or wealth:

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Gift or inheritance	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other <input type="text"/>

**Investor 1 Residential address (not a P.O. Box) and contact details**

Number and Street

City, Suburb or Town

State/Territory

Country (if not Australia)

Postcode

**PART 3B**

**JOINT INVESTOR (INDIVIDUAL)**

**Joint investor (individual) details**

Title Given name(s)

<input type="text"/>	<input type="text"/>
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Surname

Date of birth (dd/mm/yyyy)

Tax File Number

TFN exemption (specify reason)

Country of residence for tax purposes

Are you a US Citizen or US tax resident? Yes  No

Are you a Politically Exposed Person? Yes  No

Please identify the source of your investable assets or wealth:

<input type="checkbox"/> Gainful employment	<input type="checkbox"/> Gift or inheritance	<input type="checkbox"/> Financial investments
<input type="checkbox"/> Business activity	<input type="checkbox"/> Superannuation savings	<input type="checkbox"/> Other <input type="text"/>

**Investor 2 Residential address (not a P.O. Box) and contact details**

Number and Street

City, Suburb or Town

State/Territory

Country (if not Australia)

Postcode

**Identification documents**

Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of each individual investor:

<input type="checkbox"/> Drivers licence
<input type="checkbox"/> Passport containing photo identification

**PART 3C****COMPANY****Company details**

Name of entity

ABN / ARBN

Tax File Number

TFN exemption (specify reason)

Trustee name (if applicable)

Trustee ACN

Country of residence for tax purposes

Country of incorporation or creation

Contact person

Email

Please identify the source of your investable assets or wealth:

Gainful employment

Gift or inheritance

Financial investments

Business activity

Superannuation savings

Other

Nature of business

**Registered business address**

Number and Street

City, Suburb or Town

State/Territory

Country (if not Australia)

Postcode

**Directors**

Individuals signing this Application Form must confirm their names and PEP status below. If you are an Australian proprietary company or a foreign company please provide the names and PEP status of all directors

**Director 1** – Full name

Are you a US Citizen or US tax resident?

Yes No 

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes No **Director 2** – Full name

Are you a US Citizen or US tax resident?

Yes No 

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes No

**Director 3 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Director 4 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

### Beneficial owners

Provide the details of all individuals that own or control 25% or more of the company's issued capital.

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

### Identification documents

**Company:** Provide us with an original certified copy of the following to confirm the company's name, identification number and whether the company is a public or proprietary company:

Certificate of Registration/Incorporation

**Directors:** Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of at least ONE director:

Drivers licence

Passport containing photo identification

## Superannuation fund details

Name of superannuation fund

ABN / ARBN

Tax File Number

TFN exemption (specify reason)

Trustee name

Trustee ACN

Are you a complying superannuation fund, an exempt public sector superannuation scheme, an approved deposit fund or a pooled superannuation trust? Refer to [superfundlookup.gov.au](http://superfundlookup.gov.au) to confirm the status of your superannuation fund

Yes No 

Country of residence for tax purposes

Country of incorporation or creation

Contact person

Email

Please identify the source of your investable assets or wealth:

 Gainful employment Gift or inheritance Financial investments Business activity Superannuation savings Other

## Registered business address

Number and Street

City, Suburb or Town

State/Territory

Country (if not Australia)

Postcode

## Trustees (for individual trustees only)

Individuals signing this Application Form must confirm their names and PEP status below. If you are an Australian proprietary company or a foreign company please provide the names and PEP status of all directors

Trustee 1 – Full name

Are you a US Citizen or US tax resident?

Yes No 

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes No 

Trustee 2 – Full name

Are you a US Citizen or US tax resident?

Yes No 

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes No 

Trustee 3 – Full name

Are you a US Citizen or US tax resident?

Yes No 

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes No

**Trustee 4 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

### Directors (for corporate trustees only)

Individuals signing this Application Form must confirm their names and PEP status below. If you are an Australian proprietary company or a foreign company please provide the names and PEP status of all directors

**Director 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Director 2 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Director 3 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Director 4 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

### Identification documents

**Trust:** Provide us with an original certified copy of either of the following to verify the full name of the trust.

Trust deed or trust deed extract

Letter from a solicitor or qualified accountant that confirms the name of the trust

**Trustee (individual):** Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of at least one director:

Drivers licence

Passport containing photo identification

**Trustee (corporate):** Provide us with an original certified copy of the following to confirm the trustee company's name, identification number and whether the company is a public or proprietary company:

Certificate of Registration/Incorporation

Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of at least ONE director of the trustee company:

Drivers licence

Passport containing photo identification

## Trust details

Name of trust

ABN / ARBN

Tax File Number

TFN exemption (specify reason)

Trustee name

Trustee ACN

Country of residence for tax purposes

Country of incorporation or creation

Contact person

Email

Please identify the source of your investable assets or wealth:

Gainful employment

Gift or inheritance

Financial investments

Business activity

Superannuation savings

Other

## Registered business address

Number and Street

City, Suburb or Town

State/Territory

Country (if not Australia)

Postcode

## Directors (for corporate trustees only)

Individuals signing this Application Form must confirm their names and PEP status below. If you are an Australian proprietary company or a foreign company please provide the names and PEP status of all directors

Director 1 – Full name

Residential address

Are you a US Citizen or US tax resident?

Yes

No

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes

No

Director 2 – Full name

Residential address

Are you a US Citizen or US tax resident?

Yes

No

If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person?

Yes

No

**Director 3 – Full name**

Residential address

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Director 4 – Full name**

Residential address

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

### Beneficial owners

Provide the details of all individuals that own or control 25% or more of the company's issued capital.

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

**Beneficial Owner 1 – Full name**

Are you a US Citizen or US tax resident? Yes  No  If yes, provide your Taxpayer Identification Number (TIN)

Are you a Politically Exposed Person? Yes  No

### Settlor

Provide the details of all individuals that own or control 25% or more of the company's issued capital.

Is the settlor deceased? Yes  No  Don't know

Was the trust settled for less than \$10,000? Yes  No

If the trust was settled for \$10,000 or more and the settlor is alive, then provide the following information about the settlor:

**Settlor – Full name**

Residential address



## Identification documents

**Trust:** Provide us with an original certified copy of either of the following to verify the full name of the trust.

Trust deed or trust deed extract

Letter from a solicitor or qualified accountant that confirms the name of the trust

**Trustee (individual):** Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of at least one director:

Drivers licence

Passport containing photo identification

**Trustee (corporate):** Provide us with an original certified copy of the following to confirm the trustee company's name, identification number and whether the company is a public or proprietary company:

Certificate of Registration/Incorporation

Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of at least ONE director of the trustee company:

Drivers licence

Passport containing photo identification

**Settlor (if applicable):** Provide us with an original certified copy of either of the following that identify the full name and either date of birth and/or residential address of the settlor (if applicable):

Drivers licence

Passport containing photo identification

## PART 4

## CONTACT DETAILS

Please provide us with details of the contact person for this application in case we need to contact you in relation to your application.

Contact name

Phone (after hours)

Phone (business hours)

Mobile

Email address

## PART 5

## MAILING ADDRESS

Please provide us with the mailing address if it is different to the address details provide in Part 3. Please note, for joint investors, the mailing address will be the address recorded for the first individual investor, unless an alternative address is specified below.

Number and Street

City, Suburb or Town

State/Territory

Country (if not Australia)

Postcode

## PART 6

## DISTRIBUTION PAYMENTS

All distributions, including interest earned on the Cash Account and payments from any Sub-fund, will be automatically reinvested into the Cash Account. Simply lodge a withdrawal request to withdraw any funds from the Cash Account credited to you.

You must be named on the Australian financial institution account for a payment to be made into the nominated account.

Providing your nominated Australian financial institution account details means that you authorise the use of this information for all future payment transaction requests that you initiate.

Account holder name

Financial institution

BSB

Account number

## PART 7

## WHOLESALE CLIENT STATUS

An investment in the Fund is restricted to those persons that are considered 'wholesale clients' under the Corporations Act or to those persons to whom the regulated fund raising provisions of the Corporations Act do not apply. To invest in the Fund, you are generally required to satisfy one of the following:

- Invest at least \$500,000 into the Fund. Please note, this option does not apply to Application Money that is sourced from superannuation.
- Provide us with an Accountants Certificate that is no more than two years old confirming you (and/or any relevant entity you "control") have at least \$2.5 million in net assets or \$250,000 of gross income for the last two financial years.
- Confirm you are a "professional investor", as that term is defined in the Corporations Act.
- Provide a certificate from the holder of an AFS licence confirming you are a 'sophisticated investor'.

Please ensure you provide us with the required documentation in support of your application.

Contact us if you have any queries regarding satisfying any of the above requirements.

## PART 8

## DECLARATION

This Application Form forms part of the Information Memorandum for the Fund. Capitalised terms in the Application Form have the same meaning as in the Information Memorandum.

I/We hereby apply for registration in the Social Impact Investment for Sustainability Fund ('Fund'). I/We acknowledge that this application may be accepted or rejected in whole or in part. I/We declare that I/we have personally received and read the entire Information Memorandum and acknowledge that this Application Form was attached to the Information Memorandum. I/We agree to be bound by the Information Memorandum and the Constitution for the Fund (as amended from time to time). I/We declare that the offer was received and accepted in Australia and all information in this application is true and correct. I/We indemnify the Trustee against any liability whatsoever arising from acting on any information I/we provide in connection with this application. I/We acknowledge that neither the Trustee, nor any of its related entities (including its directors and employees) guarantees the performance of the Fund or any Sub-fund, the repayment of capital, any particular rate of return or any distribution. I/We declare I/we have legal power to invest in accordance with this application and have complied with all applicable laws in doing so. I/We declare that that the application is signed in accordance with my/our governing rules and/or constituent documents (except if the application is signed by an applicant as an individual). If this Application Form is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of their appointment. In the case of joint applications, the joint applicants agree that unless otherwise indicated on the Application Form, the interest in the Fund will be held as joint tenants and either investor is able to operate the account and bind the other investor for future transactions. If I/we have selected a General Investment Authority that I/we authorise the Trustee to make allocations on my/our behalf to particular Loan(s) (Sub-fund(s)) (at its discretion) and that I/we have no recourse against the Trustee for making that selection or decision. I/We agree that prior to settlement and following maturity of a Loan, my/our investment monies will be held in the Fund Cash Account for myself/ourselves. I/We declare that that all of the information provided in this Application Form is complete and accurate to the best of my/our ability/abilities, including information and documentation required under the AML/CTF Law for investor identification and verification purposes and to meet US Foreign Account Tax Compliance ('FATCA') Act requirements (where applicable). I/We agree to provide all necessary co-operation and assistance in order for me/us to comply with obligations under Australian legislation designed to give effect to the FATCA agreement between Australia and the United States. I/We declare that I/we have no reason to suspect that the monies used to fund this application, or any subsequent contributions into the Fund, is or will be derived from or related to any money laundering, terrorism financing or other illegal activities. I/We agree to provide any supporting or additional information which might be required in order to process this application, or subsequently, as a consequence of my/our holding an interest in the Fund. I/We consent to all correspondence and reports regarding the Fund (and any Sub-fund) being provided to me/us by email. I/We agree that my/our personal information will be collected, used and disclosed by the Trustee in accordance with its Privacy Policy (which I/we have read and understood) and in accordance with the law. I/We agree that, until I/we inform the Trustee otherwise, I/we will be taken to have consented to all uses of our personal information (including for marketing, promotional and sales purposes). The Trustee has not provided me/us with financial product advice regarding an investment in the Fund that has taken into account my/our objectives, financial situation or needs. I/we acknowledge that I/we have had the opportunity to seek independent professional advice regarding the legal, taxation and financial implications of investing in the Fund.

## PART 9

## EXECUTION

Signature

Date (dd/mm/yyyy)

Name

If a Company Officer or Trustee, you MUST specify your title:

Director

Sole Director

Trustee

Other

Signature

Date (dd/mm/yyyy)

Name

If a Company Officer or Trustee, you MUST specify your title:

Director

Company Secretary

Trustee

Other

How are you paying?

Cheque

Cheques must be made payable to "**Social Investment Australia Ltd — Social Impact Investment for Sustainability Fund**". Cheques must be made payable in Australian dollars and crossed "Not Negotiable". Cheques should be either Australian bank cheques or drawn on an Australian domiciled account in the name of the applicant.

EFT

EFT Reference:

To direct deposit funds by EFT, transfer your application money to:

Account name: **Sandhurst Trustee Limited as Custodian for Social Impact for Sustainability Fund**  
BSB: 082-001  
Account number: 564138347

When making an EFT payment, include a reference code to your payment, such as your surname. Insert the reference code in the space provided above so we can match the payment with your application.

### Where to send your application:

Completed Application Forms and supporting documents, including cheques, should be mailed or delivered to:

**Social Investment Australia Ltd**  
35 Brookes Street  
Bowen Hills, Queensland 4006

**Office Use Only**