

Identification Form D

Trust investors

Guide to completing this form

- In accordance with client identification requirements introduced under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act), we require you to complete an Identification Form in addition to your application form and return the relevant documents to us.
- This form applies to non-regulated trusts, eg. family, unit, charitable, estate.
- Complete the following:
 - Section 1A – Trust details
 - Section 1B – Documents you need to provide for verification (trust)
 - Section 3 – Signatures
- If you are an **individual trustee**, complete the following additional section:
 - Section 1C – Documents you need to provide for verification (individual trustee). Select **either** Part I **or** Part II **or** Part III.
 - Note: In the case of multiple trustees, documentation needs to be provided for ONE trustee only.
- If you are an **Australian company trustee**, complete the following additional section:
 - Section 2 – Australian company details
- If you are an **adviser**, ensure you conduct the applicable client identification and verification in addition to returning a copy of the supporting client identification document(s). Complete the following:
 - Section 1D – Trust verification
 - Section 1E – Individual trustee verification (if applicable)
 - Section 1F – Adviser details
- If you are applying to invest directly with us, ie. you do not have a financial adviser, ensure you attach an **original** or **originally certified copy** of the selected document(s). A list of people who may certify documents or extracts is provided below.
- Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.
- **Mail to**
 - Attention: Investor Relations
 - Credit Suisse Investments (Australia) Limited
 - PO Box R758
 - Royal Exchange
 - NSW 1225
 - Australia
- Please call us if you have any questions about this form
 - Investor Relations **1300 366 860 or +612 8205 4489 (if calling from outside Australia)**

*People who may certify documents or extracts are

1. (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);
2. a judge of a court;
3. a magistrate;
4. a chief executive officer of a Commonwealth court;
5. a registrar or deputy registrar of a court;
6. a Justice of the Peace;
7. a notary public (for the purposes of the Statutory Declaration Regulations 1993);
8. a police officer;
9. (a postal agent) an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
10. (the post office) a permanent employee of The Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public;
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955);
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);
13. a finance company officer with two or more continuous years of service with one or more financial companies (for the purposes of the Statutory Declaration Regulations 1993);
14. an officer with, or authorised representative of, a holder of an Australian Financial Services Licence, having two or more continuous years of service with one or more licensees; and
15. (an accountant) a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.

Investor name

Investor number (if known)

Section 1A: Trust details

1.1 General information

Full name of trust

Full business name (if any)

Country where trust established

1.2 Type of trust

Trust description (eg. family, unit, charitable, estate)

1.3 Beneficiary details

Do the terms of the trust identify the beneficiaries by reference to membership of a class?
 Yes Provide details of the membership class/es (eg. investors, family members of named person, charitable purpose)
Go to Section 1.4 – Trustee details

No How many beneficiaries are there?

Provide full name of each beneficiary below

Full given name(s)	Surname
1 <input type="text"/>	<input type="text"/>
2 <input type="text"/>	<input type="text"/>
3 <input type="text"/>	<input type="text"/>
4 <input type="text"/>	<input type="text"/>

If there are more beneficiaries, provide details on an additional form.
Go to Section 1.4 – Trustee details

1.4 Trustee details

How many trustees are there? Provide full name and address of each trustee below

Trustee 1

Full given name(s) or company name <input type="text"/>	Surname <input type="text"/>
Date of birth (dd/mm/yy) (individuals only) <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>	Occupation (individuals only) <input type="text"/>
Residential address if an individual trustee or company registered office address (PO Box is not acceptable)	
Street <input type="text"/>	
Suburb <input type="text"/>	State <input type="text"/>
Postcode <input type="text"/>	Country <input type="text"/>

Trustee 2

Full given name(s)

Surname

Date of birth (dd/mm/yy)

 / /

Occupation

Residential address (PO Box is **not** acceptable)

Street

Suburb

State

Postcode

Country

If there are more trustees, provide details on an additional form.

Section 1B: Documents you need to provide for verification (trust)

In order for us to verify the full name of the trust, please complete and provide the selected document from one of the options below

Tick ✓ Select ONE valid option

- A notice issued by the Australian Taxation Office within the last 12 months (eg. a Notice of Assessment). Please note that the TFN will be blocked out before scanning, copying or storing this document.
- A letter from a solicitor or qualified accountant that confirms the name of the trust
- An original or originally certified copy or certified extract of the trust deed

Section 1C: Documents you need to provide for verification (individual trustee)

From details provided in Section 1.4, nominate only **ONE** trustee to be verified. In order for us to verify the nominated Trustee's full name; and **either** their date of birth **or** residential address, please complete and provide the selected document(s) from **either** Part I **or** Part II **or** Part III

Part I – Acceptable Primary ID documents

Tick ✓ Select ONE valid option from this section

- Australian State/Territory driver's licence containing a photograph of the person
- Australian passport (a passport that has expired within the preceding two years is acceptable)
- Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
- Foreign passport or similar travel document containing a photograph and signature of the person

Part II – Acceptable Secondary ID documents – should only be completed if the individual does not own a document from Part I

Tick ✓ Select ONE valid option from this section

- Australian birth certificate
- Australian citizenship certificate
- Pension card issued by Centrelink
- Health card issued by Centrelink
- A citizenship certificate issued by a foreign government
- A birth certificate issued by a foreign government, the United Nations or an agency of the United Nations

Tick ✓ AND ONE valid option from this section

- A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
- A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Please note that the TFN will be blocked out before scanning, copying or storing this document.
- A document issued by a local government body or utilities provider within the preceding three months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)

Part III – Acceptable Foreign ID documents – should only be completed if the individual does not own a document from Part I

Tick ✓ BOTH documents from this section must be provided

- Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth
- National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued

Go to Section 3 – Signatures

Adviser Use Only

Section 1D: Trust verification

Important – Attach a legible copy of the ID documentation used to verify the Trust (and any required translation) as selected from Section 1B above

ID document details

Verified from	<input type="checkbox"/> Original	<input type="checkbox"/> Originally certified copy	<input type="checkbox"/> Performed search
Document issuer/website	<input type="text"/>		
Issue date/search date	<input type="text"/>		
Accredited English translation	<input type="checkbox"/> N/A	<input type="checkbox"/> Sighted	

Section 1E: Individual trustee verification

Important – Attach a legible copy of the ID documentation used to verify the individual (and any required translation) as selected from Section 1C above

ID document details

	Document 1	Document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Originally certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Originally certified copy
Document issuer	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/>	<input type="text"/>
Expiry date	<input type="text"/>	<input type="text"/>
Document number (if applicable)	<input type="text"/>	<input type="text"/>
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

Section 1F: Adviser details – identification and verification conducted by:

Adviser's name	<input type="text"/>	Telephone no	<input type="text"/>
AFS Licensee name	<input type="text"/>	AFSL no	<input type="text"/>
Adviser signature	<input type="text"/>	Date verified	<input type="text"/> / <input type="text"/> / <input type="text"/>

Section 2: Australian company details

2.1 General information

Full name as registered by ASIC

ACN

Registered office address

Street (PO Box is **not** acceptable)

Suburb State Postcode Country

Principal place of business (if any)

Street (PO Box is **not** acceptable)

Suburb State Postcode Country

Business activity (eg. bakery, dry-cleaning)

2.2 Company type (select ONE of the following categories)

- Public** Complete Section 3 – Signatures
- Proprietary** Complete Section 2.4 – Directors, Section 2.5 – Shareholders AND Section 3 – Signatures

2.3 Regulatory/listing details

Complete if the company is a regulated company. Select the following categories which apply to the company and provide the information requested

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

Name of regulator

Licence details
 (eg. AFSL number, RSE Licence number, etc.)

- Australian listed company**

Name of market/exchange

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

Australian listed company name

Name of market/exchange

2.4 Directors

How many directors are there? Provide full name of each director below

	Full given name(s)	Surname
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

If there are more directors, provide details on an additional form.

2.5 Shareholders (only to be completed for proprietary companies that are not regulated companies)

Provide details of **ALL individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

Shareholder 1

Full given name(s)		Surname	
<input type="text"/>		<input type="text"/>	
Residential address – Street (PO Box is not acceptable)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Shareholder 2

Full given name(s)		Surname	
<input type="text"/>		<input type="text"/>	
Residential address – Street (PO Box is not acceptable)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Shareholder 3

Full given name(s)		Surname	
<input type="text"/>		<input type="text"/>	
Residential address – Street (PO Box is not acceptable)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Shareholder 4

Full given name(s)		Surname	
<input type="text"/>		<input type="text"/>	
Residential address – Street (PO Box is not acceptable)			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more shareholders, provide details on an additional form.

Go to Section 3 – Signatures

Section 3: Signatures

Important – You must read the following acknowledgements

Credit Suisse Investments (Australia) Limited (Credit Suisse) is bound by laws relating to the prevention of money laundering and the financing of terrorism, including the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF laws). By completing this form:

- I/We declare that I am/we are not commonly known by any other names different from those disclosed in this form.
- I/We declare that any monies used by me/us to invest in the Fund is not derived from or related to any criminal activities.
- I/We declare that any proceeds of my/our investment will not be used in relation to any criminal activities.
- I/We declare that any documents or information whatsoever used for verification purposes in support of my/our application is/are complete and correct.
- I/We agree to provide additional information you may require for the purposes of AML/CTF laws.
- I/We acknowledge that it may be a criminal offence to knowingly provide false, forged, altered or falsified documents or misleading information or documents when completing this form.
- I/We acknowledge that where a transaction is delayed, blocked, frozen or refused, Credit Suisse will not be liable for any loss (including consequential loss) as a result of its compliance with the AML/CTF laws.

Name

Date / /

Director Sole Director

(Important: Corporate Trustees must cross here)

Signature

Name

Date / /

Director Company Secretary

(Important: Corporate Trustees must cross here)

Signature

Signatures

If the nominated trustee is an **individual** (as provided in Section 1C), the individual must sign here.

If the nominated trustee is a **company** (as provided in Section 2), the company must sign here.

Companies may sign by one of the following methods

- Under seal, with the signatures of two directors or one director and the company secretary
- By signatures of two directors or one director and the company secretary
- For companies where a sole director is permitted, by signature of the sole director or
- Under Power of Attorney. If signed under an attorney, the attorney confirms that no notice of revocation of that power has been received. A copy of the originally certified copy of the Power of Attorney must be lodged with this form.

Persons appointed under a Power of Attorney will be required to complete the Identification Form on page 51.

Common Seal (if applicable)

Office Use Only

Complete either section 4A and 4B OR ONLY Section 4C

Section 4A: Individual verification

Verify the following:

- The individual trustee's full name **and** either
- Their date of birth **or**
- Their residential address

Important – Ensure a legible copy of the ID documentation used to verify the individual trustee (and any required translation) is attached

ID document details

	Document 1	Document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Originally certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Originally certified copy
Document issuer	<input type="text"/>	<input type="text"/>
Issue date	<input type="text"/>	<input type="text"/>
Expiry date	<input type="text"/>	<input type="text"/>
Document number (if applicable)	<input type="text"/>	<input type="text"/>
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

Section 4B: Australian company verification

4.1 Standard verification

Verify the following:

- The full name of the trustee company registered by ASIC
- Whether the trustee company is registered as a proprietary or a public company
- The ACN issued to the trustee company

Tick ✓ Verification

- Perform a search of the relevant ASIC database (eg. 'National Names Index' at www.asic.gov.au)

4.2 Additional verification

Verify the following:

- That the trustee company is an Australian listed company (if applicable)
- That the trustee company is a majority owned subsidiary of an Australian listed company (if applicable)
- That the trustee company is a regulated company ie. licensed by an Australian Commonwealth, State or Territory statutory regulator (if applicable)

Tick ✓ Verification options – Select ONE of the following options used to verify the company

- Perform a search of the relevant market/exchange
- Perform a search of the relevant ASIC database
- Perform a search of the Licence or other records of the relevant Commonwealth, State or Territory statutory regulator
- A public document issued by the relevant company

Important – Attach a legible copy of the ID documentation used to verify the Australian company trustee

ID document details

Verified from

Performed search Other

Document issuer/website

Public document type

Issue date/search date

Section 4C: Validation of adviser use only sections

Sections 1D, 1E and 1F correctly completed with supporting documentation attached (if applicable)

Verifier details – identification and verification conducted by:

Name and initial

Date verified

 / /