

# Contrarius Australia Equity Fund

CONTRARIUS AUSTRALIA EQUITY FUND – CLASS B

ARSN 664 226 331 APIR ETL4996AU

## Product Disclosure Statement 19 February 2025

Issued by Equity Trustees Limited Ph: +61 3 8623 5000

ABN 46 004 031 298, AFSL 240975

### About this PDS

This Product Disclosure Statement ("PDS") has been prepared and issued by Equity Trustees Limited ("Equity Trustees", "we" or "Responsible Entity") and is a summary of the significant information relating to an investment in the Class B units ("Class") of the Contrarius Australia Equity Fund (the "Fund"). It contains a number of references to important information (including a glossary of terms), contained in the Contrarius Australia Equity Fund Reference Guide ("Reference Guide"), each of which forms part of this PDS. You should carefully read and consider both the information in this PDS, and the information in the Reference Guide, before making a decision about investing in the Fund.

The information provided in this PDS is general information only and does not take account of your personal objectives, financial situation or needs. You should obtain financial and taxation advice tailored to your personal circumstances and consider whether investing in the Fund is appropriate for you in light of those circumstances.

The offer to which this PDS relates is only available to persons receiving this PDS (electronically or otherwise) in Australia.

This PDS does not constitute a direct or indirect offer of securities in the US or to any US Person as defined in Regulation S under the Securities Act of 1933 as amended ("US Securities Act"). Equity Trustees may vary this position and offers may be accepted on merit at Equity Trustees' discretion. The units in the Fund have not been, and will not be, registered under the US Securities Act unless otherwise approved by Equity Trustees and may not be offered or sold in the US to, or for, the account of any US Person (as defined in the Reference Guide) except in a transaction that is exempt from the registration requirements of the US Securities Act and applicable US state securities laws.

### Updated information

Information in this PDS is subject to change. We will notify you of any changes that have a material adverse impact on you or other significant events that affect the information contained in this PDS. Any information that is not materially adverse is subject to change from time to time and may be obtained by visiting [www.contrarius.com.au](http://www.contrarius.com.au), [www.eqt.com.au/insto](http://www.eqt.com.au/insto) or calling +61 3 8623 5000. A paper copy of the updated information will be provided free of charge on request.

### The Reference Guide

Throughout the PDS, there are references to additional information contained in the Reference Guide. You can obtain a copy of the PDS and Reference Guide, free of charge, by visiting [www.contrarius.com.au](http://www.contrarius.com.au) or [www.eqt.com.au/insto](http://www.eqt.com.au/insto) or by calling the Responsible Entity. The information contained in the Reference Guide may change between the day you receive this PDS and the day you acquire the product. You must therefore ensure that you have read the Reference Guide current at the date of your application.

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Investor services	
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## 1. About Equity Trustees Limited

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### The Responsible Entity

Equity Trustees Limited (ABN 46 004 031 298, AFSL 240975), a subsidiary of EQT Holdings Limited (ABN 22 607 797 615), which is a public company listed on the Australian Securities Exchange (ASX: EQT), is the Fund's responsible entity and issuer of this PDS. Established as a trustee and executorial service provider by a special Act of the Victorian Parliament in 1888, today Equity Trustees is a dynamic financial services institution which continues to grow the breadth and quality of products and services on offer.

Equity Trustees' responsibilities and obligations as the Fund's responsible entity are governed by the Fund's constitution ("Constitution"), the Corporations Act and general trust law. Equity Trustees has appointed Contrarius Investment Advisory Pty Limited as the investment manager of the Fund. Equity Trustees has appointed a custodian to hold the assets of the Fund. The custodian has no supervisory role in relation to the operation of the Fund and is not responsible for protecting your interests.

### The Investment Manager

The Responsible Entity has appointed Contrarius Investment Advisory Pty Limited ("Contrarius Australia" or the "Investment Manager"), an Australian-incorporated proprietary company licensed by the Australian Securities and Investments Commission (AFSL 506315), as Investment Manager of the Fund, to invest and manage the Fund's assets under an Investment Management Services Agreement and according to the investment guidelines in this PDS.

Contrarius Australia is part of the Contrarius Group. The Contrarius Group has offices in Jersey (Channel Islands), Bermuda, United Kingdom, Australia and South Africa, and manages assets of approximately \$2.8 billion as at the end of June 2024. More information about the Contrarius Group is available at [www.contrarius.com.au](http://www.contrarius.com.au).

## 2. How the Contrarius Australia Equity Fund works

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The Fund is a registered managed investment scheme governed by the Constitution. The Fund comprises assets which are acquired in accordance with the Fund's investment strategy. Direct investors receive units in the Fund when they invest. In general, each unit represents an equal interest in the assets of the Fund referable to the Class subject to liabilities; however, it does not give investors an interest in any particular asset of the Fund.

If you invest in the Fund through an IDPS (as defined in the Reference Guide) you will not become an investor in the Fund. The operator or custodian of the IDPS will be the investor entered in the Fund's register and will be the only person who is able to exercise the rights and receive the benefits of a direct investor. Your investment in the Fund through the IDPS will be governed by the terms of your IDPS. Please direct any queries and requests relating to your investment to your IDPS Operator. Unless otherwise stated, the information in the PDS applies to direct investors.

### Units and unit prices

The price at which units are acquired is determined in accordance with the Constitution ("Application Price"). The Application Price on a Business Day (as defined in the Reference Guide) is, in general terms, equal to the Net Asset Value ("NAV") of the Class, divided by the number of units on issue in the Class and adjusted for transaction costs ("Buy Spread"). At the date of this PDS, the Buy Spread is 0.20%. The Application Price will vary as the market value of assets in the Fund rises or falls.

The price at which units are withdrawn is determined in accordance with the Constitution ("Withdrawal Price"). The Withdrawal Price on a Business Day is, in general terms, equal to the NAV of the Class, divided by the number of units on issue in the Class and adjusted for transaction costs ("Sell Spread").

At the date of this PDS, the Sell Spread is 0.20%. The Withdrawal Price will vary as the market value of assets in the Fund rises or falls.

Equity Trustees has developed a formal written policy in relation to the guidelines and relevant factors taken into account when exercising any discretion in calculating unit prices (including determining the value of the assets and liabilities). A copy of the policy and, where applicable and to the extent required, any other relevant documents in relation to the policy will be made available free of charge on request.

### Investing in the Fund

You can acquire units in the Fund by sending us a correctly completed Application Form together with the required supporting identification documentation. The minimum initial investment amount for the Class is \$10,000. The minimum additional investment in the Class is \$1,000. All amounts are in Australian dollars unless otherwise specified. Refer to section 8 'How to apply' for more information on investing in the Fund.

### Distributions

An investor's share of any distributable income is calculated in accordance with the Constitution and is generally based on the number of units held by the investor at the end of the distribution period. The Fund usually distributes income annually at the end of June. Distributions are calculated effective the last day of the accounting period and are normally paid to investors as soon as practicable after the distribution calculation date. Investors in the Fund can indicate a preference to have their distribution reinvested back into the Fund; or directly credited to their Australian domiciled bank account. Investors who do not indicate a preference will have their distributions automatically reinvested.

Applications for reinvestment will be taken to be received prior to the next Business Day after the relevant distribution period. There is no Buy Spread on distributions that are reinvested. In some circumstances, where an investor makes a large withdrawal request (i.e. the withdrawal request is in respect of 5% or more of the total units on issue), their withdrawal proceeds may be taken to include a component of distributable income.

Indirect Investors should review their IDPS Guide for information on how and when they receive any income distribution before investing in the Fund.

### Withdrawing your investment in the Fund

You can generally redeem some or all of your investment at any time, as long as the withdrawal request is for at least \$1,000. To do this, please send to us a completed Redemption Request Form. You can request a specified dollar amount to be withdrawn, a specified number of units to be withdrawn, or a full withdrawal of your investment in the Class. If your withdrawal request results in your remaining investment in the Class falling below \$10,000, we may require you to withdraw your entire balance.

Equity Trustees will generally allow an investor to receive payment within 7 Business Days of acceptance of a withdrawal request by transferring the withdrawal proceeds to such investors' nominated bank account. However, the Constitution allows Equity Trustees to reject withdrawal requests and also to make payment up to 21 days after acceptance of a request (which may be extended in certain circumstances) as outlined in the Constitution and Reference Guide.

Equity Trustees can deny or suspend a withdrawal request in certain circumstances, including where accepting the request is not in the best interests of investors in the Fund or where the Fund is not liquid (as defined in the Corporations Act). When the Fund is not liquid, an investor can only withdraw when Equity Trustees makes a withdrawal offer to investors in accordance with the Corporations Act. Equity Trustees is not obliged to make such offers.

If you are an Indirect Investor, you need to provide your withdrawal request directly to your IDPS Operator. The time to process a withdrawal request will depend on the particular IDPS Operator and the terms of the IDPS.

### Minimum investment and withdrawal amounts and the cut-off times for processing transactions

Initial investment	Minimum of \$10,000. See section 8 'How to apply'.
Additional investments	Minimum of \$1,000. See section 8 'How to apply'.
Withdrawal	Minimum of \$1,000. We normally pay withdrawal proceeds within 7 Business Days after receipt and acceptance of a valid withdrawal request. Under some circumstances, such as if there is a freeze on withdrawals, you may not be able to redeem from the Fund when you wish to.
Processing applications or withdrawals (cut-off times)	If we receive all applicable application or withdrawal documents before 2pm Sydney time on a Business Day, we will generally process the transaction using that day's application or withdrawal price. Requests received at or after 2pm Sydney time on a Business Day or non-Business day will generally be treated as having been received before the cut-off time on the next Business Day.  A day will not be a Business Day if it is a Saturday, Sunday or a public holiday in Sydney, unless otherwise determined by Equity Trustees. See section 8 'How to apply'.

**Further reading** You should read the important information in the Reference Guide about: application cut-off times, application terms, authorised signatures, reports, withdrawal cut-off times, withdrawal terms, and withdrawal restrictions, under "Investing and withdrawing" and "Keeping track of your investment" before making an investment decision. Go to the Reference Guide which is available at [www.contrarius.com.au](http://www.contrarius.com.au) or [www.eqt.com.au/insto](http://www.eqt.com.au/insto). The material relating to these matters may change between the time you read this PDS and the day when you acquire the product.

## 3. Benefits of investing in the Contrarius Australia Equity Fund

Please consider whether the expected Fund characteristics detailed below suit your investment needs and if you are comfortable with the risks of investing in the Fund. If you are in any doubt, please seek professional advice before investing.

### Significant features of the Fund

The Fund aims to achieve long-term returns that are higher than the Benchmark. The following are significant features of the Fund:

- **Fully Invested:** The Fund aims to be substantially invested in Australian shares and equity-related securities at all times.
- **Contrarian investment philosophy:** The Fund adopts a contrarian investment approach which remains focused on considering the underlying intrinsic value of a company, irrespective of current market sentiment. Contrarius Australia seeks to buy shares trading below their underlying intrinsic value and which are considered to be attractive relative to other available opportunities. These shares may be out of favour with the market as a result of short-term negative sentiment. Shares are sold when the market recognizes the underlying intrinsic value of the business and the share reprices. As a result of this contrarian approach, the Fund's investments may be expected to typically look very different from those of the broad market and those of its peers. It is believed that the patient and consistent application of this contrarian investment approach over the long-term is essential in achieving the Fund's objective of delivering returns in excess of the market.
- **Proprietary fundamental research:** Securities are selected using proprietary fundamental investment research that seeks to assess the fair value of equity securities and their relative attractiveness versus other opportunities in the broad market. This in-depth fundamental research includes detailed financial forecasts, assessment of the quality of management, competitive industry dynamics, and relevant Environmental, Social and Governance ("ESG") factors.
- **Benchmark-unaware and high conviction:** The Fund does not seek to replicate the Benchmark. The Fund is actively managed and its holdings may differ materially from the Benchmark in order to achieve its objective. Contrarius Australia will not buy a security simply because it is a constituent of the Benchmark and may own shares that are not included within the Benchmark. The Fund's investment guidelines offer considerable flexibility to allow it to be managed with high conviction and comprise only those shares assessed to offer the highest value from a broad universe of Australian shares.

## Significant benefits

Investing in the Fund offers investors a range of benefits, including:

- Access to a consistent investment approach: Contrarius Group has more than fifteen years of proven experience in consistently applying its contrarian, long-term, valuation based investment philosophy.
- Access to investment management expertise: The Contrarius Australia investment team undertake their own proprietary fundamental research into each company to uncover investment opportunities. The team's expertise is supported by advice on Australian shares from the Contrarius Group.
- Access to an actively managed product: The Fund is actively managed, investing in only those shares assessed to offer attractive value. The Fund's active management is expected to improve the opportunity for earning higher returns than the market, while reducing the risk of permanent capital loss by avoiding those shares assessed to be overvalued.

## 4. Risks of managed investment schemes

**All investments carry risks.** Different investment strategies may carry different levels of risk, depending on the assets acquired under the strategy. Assets with the highest long-term returns may also carry the highest level of short-term risk. The significant risks below should be considered in light of your risk profile when deciding whether to invest in the Fund. Your risk profile will vary depending on a range of factors, including your age, the investment time frame (how long you wish to invest for), your other investments or assets and your risk tolerance.

The Responsible Entity and the Investment Manager do not guarantee the liquidity of the Fund's investments, repayment of capital or any rate of return or the Fund's investment performance. The value of the Fund's investments will vary. Returns are not guaranteed and you may lose money by investing in the Fund. The level of returns will vary and future returns may differ from past returns. Laws affecting managed investment schemes may change in the future. The structure and administration of the Fund is also subject to change.

In addition, we do not offer advice that takes into account your personal financial situation, including advice about whether the Fund is suitable for your circumstances. If you require personal financial or taxation advice, you should contact a licensed financial adviser and/or taxation adviser.

The significant risks for the Fund are:

**Company specific risk:** Investments by the Fund in a company's securities will be subject to many of the risks to which that particular company is itself exposed. These risks may impact the value of the securities of that company. These risks include factors such as changes in management, actions of competitors and regulators, changes in technology and market trends.

**Concentration risk:** As the Fund will hold a concentrated portfolio of investments, returns of the Fund may be dependent upon the performance of individual companies. The concentrated exposure may lead to increased volatility in the Fund's unit price, and increased risk of poor performance.

**Counterparty risk:** The Fund may have credit exposure to counterparties by virtue of investment positions in options, repurchase transactions and other contracts held by the Fund. To the extent that a counterparty defaults on its obligation and the Fund is delayed or prevented from exercising its rights with respect to the investments in its portfolio, it may experience a decline in the value of its position, lose income and incur costs associated with asserting its rights.

**Fund risk:** Fund risk refers to specific risks associated with the Fund, such as termination and changes to fees and expenses. The performance of the Fund or the security of an investor's capital is not guaranteed. There is no guarantee that the investment strategy of the Fund will be managed successfully, or will meet its objectives. Failure to do so could negatively impact the performance of the Fund. An investment in the Fund is governed by the terms of the Fund's Constitution and this PDS, each as amended from time to time. Equity Trustees may elect, in accordance with the Fund's Constitution and the Corporations Act 2001, to terminate the Fund for any reason.

**Key personnel risk:** The skill and performance of Contrarius Australia as investment manager can have a significant impact (both directly and indirectly) on the investment returns of the Fund. Changes in key personnel and resources of Contrarius Australia may also have a material impact on investment returns on the Fund.

**Liquidity of investments risk:** Whilst the Fund is primarily exposed to listed securities which are generally considered to be liquid investments, under extreme market conditions there is a risk that such investments cannot be readily converted into cash or at an appropriate price. In such circumstances, the Fund may be unable to liquidate sufficient assets to meet its obligations, including payment of withdrawals, within required timeframes or it may be required to sell assets at a substantial loss in order to do so. Neither Equity Trustees nor the Investment Manager guarantees the liquidity of the Fund's investments.

**Market risk:** There is a risk that the market price of the Fund's assets will fluctuate. This may be as a result of factors such as economic conditions, government regulations, market sentiment, local and international political events, pandemic outbreaks, environmental and technological issues.

**Further reading** You should read the important information in the Reference Guide under "Risks of managed investment schemes" before making an investment decision. Go to the Reference Guide which is available at [www.contrarius.com.au](http://www.contrarius.com.au) or [www.eqt.com.au/insto](http://www.eqt.com.au/insto). The material relating to risks may change between the time you read this PDS and the day when you acquire the product.

## 5. How we invest your money

**Warning** Before choosing to invest in the Fund you should consider the likely investment returns, the risks of investing in the Fund and your investment time frame.

Fund investment profile	
Investment objective	The Fund aims to achieve long term returns that are higher than the Benchmark.
Benchmark	S&P/ASX 300 Accumulation Index
Investment style and approach	<p>The Fund employs Contrarius' valuation-based, contrarian investment philosophy to identify Australian investments, based on defined investment guidelines.</p> <p><u>Valuation based:</u> We seek to buy shares that we believe are trading below their underlying intrinsic value.</p> <p><u>Contrarian:</u> We are often attracted to shares that are disliked by others, but only if we believe the company offers value as an investment.</p> <p><u>Long-term:</u> We focus on understanding a company's intrinsic value, rather than trying to forecast the next share price move.</p> <p><u>Fundamental:</u> We concentrate on 'bottom-up' research to determine the underlying intrinsic value of an investment.</p>
Fund prices and performance	The Fund is priced in Australian dollars. For up-to-date information on the performance of the Fund, including daily unit prices and performance history, please visit <a href="http://www.contrarius.com.au">www.contrarius.com.au</a> .
Fund investment guidelines	
Weights	The Fund's weight for a specific share shall not exceed that share's weight in the Benchmark by more than 10 percentage points.
Holdings	The Fund will not hold more than 10% of a company's issued voting shares.
Listed securities	No more than 10% of the Fund's net asset value may be invested in securities which are not traded on or under the rules of a Regulated Market, and only where there is an expectation that those securities will be listed or convertible into listed securities within 12 months of acquisition.
Exposure	Contrarius may not actively reduce the effective share exposure to below 90% of the Fund's net asset value.
No Leverage	The effective share exposure shall not exceed 100% of the Fund's net asset value.
Borrowing	The Fund may not borrow other than to meet withdrawals. Such borrowing is limited to 10% of the Fund's net asset value and must be repaid within 90 days.
Investment grade	Any investment by the Fund in interest-bearing non-equity linked securities is restricted to investment grade securities.
Labour standards and environmental, social and ethical considerations	<p>ESG considerations are taken into account to the extent that they may have a material impact on the long-term financial value of an investment. Securities may not typically be automatically excluded from our investable universe purely as a result of ESG factors and the Fund may invest in securities with a potentially higher exposure to ESG risks where it is believed the potential return outweighs the risks identified.</p> <p>More information on Contrarius Australia's investment process and its approach to responsible investing is available at <a href="http://www.contrarius.com.au">www.contrarius.com.au</a>.</p>
Changing the investment guidelines	<p>Contrarius Australia is allowed to make an investment which is not consistent with the investment guidelines if Equity Trustees and Contrarius Australia agree that the investment is not a material departure from the investment guidelines.</p> <p>The guidelines are measured at the time of investment. It is not necessary for Contrarius Australia to make changes to the Fund's investments to adjust for subsequent market fluctuations or other subsequent events in order to remain within these guidelines.</p>
Investor profile	
Investor suitability	<p>An investment in the Fund is intended for investors who are seeking a portfolio that is substantially invested in and exposed to Australian shares at all times, who are seeking a contrarian investment style, able to take a long-term view and can accept performance fluctuations.</p> <p>Refer to the Fund's Target Market Determination available at <a href="http://www.contrarius.com.au">www.contrarius.com.au</a> for further information about the classes of investors whose objectives, financial situation and needs are likely to align with the Fund's key attributes.</p>
Risk level of the Fund	High – Very High
Investment duration	The minimum suggested time frame for investment in the Fund is more than 5 years.



## 6. Fees and costs

### DID YOU KNOW?

Small differences in both investment performance and fees and costs can have a substantial impact on your long-term returns.

For example, total annual fees and costs of 2% of your investment balance rather than 1% could reduce your final return by up to 20% over a 30-year period (for example, reduce it from \$100,000 to \$80,000).

You should consider whether features such as superior investment performance or the provision of better member services justify higher fees and costs.

You may be able to negotiate to pay lower fees. Ask the fund or your financial adviser.

### TO FIND OUT MORE.

If you would like to find out more, or see the impact of the fees based on your own circumstances, the **Australian Securities and Investments Commission ("ASIC")** Moneysmart website ([www.moneysmart.gov.au](http://www.moneysmart.gov.au)) has a managed funds fee calculator to help you check out different fee options.

### Fees and other costs

This section shows fees and costs that you may be charged. These fees and costs may be deducted from your money, from the returns on your investment or from the assets of the managed investment scheme as a whole.

Taxes are set out in Section 7 of this PDS. You should read all the information about fees and costs because it is important to understand their impact on your investment.

### Fees and costs summary

<b>Contrarius Australia Equity Fund – Class B</b>		
Type of fee or cost	Amount	How and when paid
<b>Ongoing annual fees and costs<sup>1</sup></b>		
<b>Management fees and costs<sup>2,3</sup></b> The fees and costs for managing your investment	0.21% of the NAV of the Class comprised of: <ul style="list-style-type: none"> <li>• A Nil fixed (base) fee.</li> <li>• Management costs (expenses) of 0.21% of the NAV of the Class p.a., relating to Fund expenses such as responsible entity fees, custody fees, registry and administration fees, and customary professional fees (for example audit, tax and legal fees) incurred by the Fund.</li> </ul>	The management fees component of management fees and costs is accrued daily and paid from the Class monthly in arrears and reflected in the unit price of the Class. The costs component of management fees and costs is variable and accrued daily, paid from the Class as those costs are incurred and is reflected in the unit price of the Class.
<b>Performance fees<sup>4</sup></b> Amounts deducted from your investment in relation to the performance of the product	0.93% of the NAV of the Class The performance fee is 35.88% of the extent to which the Class outperforms its benchmark (after deduction of management fees and costs).	Performance fees are calculated and accrued daily, paid monthly in arrears from the Class and reflected in the unit price of the Class.
<b>Transaction costs<sup>3</sup></b> The costs incurred by the scheme when buying or selling assets	0.07% of the NAV of the Class	Transaction costs are variable and deducted as they are incurred and reflected in the unit price of the Class. They are disclosed net of amounts recovered by the Buy/Sell Spread.
<b>Member activity related to fees and costs (fees for services or when your money moves in or out of the scheme)</b>		
<b>Establishment fee</b> The fee to open your investment	Nil	Not applicable
<b>Contribution fee</b> The fee on each amount contributed to your investment	Nil	Not applicable
<b>Buy/Sell spread</b> An amount deducted from your investment representing costs incurred in transactions by the scheme	0.20% upon entry and 0.20% upon exit	These costs are an additional cost to the investor but are incorporated into the unit price and arise when investing application monies and funding withdrawals from the Class and are not separately charged to the investor. The Buy Spread is paid into the Class as part of an application and the Sell Spread is left in the Class as part of a withdrawal.
<b>Withdrawal fee</b> The fee on each amount you take out of your investment	Nil	Not applicable
<b>Exit fee</b> The fee to close your investment	Nil	Not applicable
<b>Switching fee</b> <i>The fee for changing investment options</i>	Nil	Not applicable

<sup>1</sup> All fees quoted above are inclusive of Goods and Services Tax (GST) and net of any Reduced Input Tax Credits (RITC).

<sup>2</sup> The management fees component of management fees and costs can be negotiated. Please see "Differential fees" in the Reference Guide for further information.

<sup>3</sup> The costs component of management fees and costs and transaction costs are based on the relevant costs of Class A units of the Fund incurred during the financial year ended 30 June 2024. Please see "Management fees and costs" in the "Additional explanation of fees and costs" section of the Reference Guide for further information.

<sup>4</sup> The performance fees in respect of the Class are based on a reasonable estimate of the performance fees after applying the relevant management fees and costs, and performance fee percentage, to the actual gross performance of Class A units of the Fund over the previous two financial years ending 30 June 2024. See "Performance fees" in the "Additional explanation of fees and costs" section of the Reference Guide for further information.

### Can the fees change?

Yes, all fees can change without investor consent, subject to the maximum fee amounts specified in the Constitution. We will generally give you at least 30 days' prior notice of any proposal to increase the investment management fees component of management fees and costs.

### Additional fees

Any financial adviser you consult may charge you additional fees. Please refer to the adviser's statement of advice.

### Example of annual fees and costs for an investment option

This table gives an example of how the ongoing annual fees and costs for the investment option for this product can affect your investment over a 1-year period. You should use this table to compare this product with other products offered by managed investment schemes.

Example – Contrarius Australia Equity Fund – Class B		Balance of \$50,000 with a contribution of \$5,000 during the year
Contribution fees	Nil	For every additional \$5,000 you put in, you will be charged \$0.
<u>plus</u> Management fees and costs	0.21% p.a.	And for every \$50,000 you have in the Fund you will be charged \$105 each year.
<u>plus</u> Performance fees	0.93% p.a.	And, you will be charged or have deducted from your investment \$465 in performance fees each year.
<u>plus</u> Transaction costs	0.07% p.a.	And, you will be charged or have deducted from your investment \$35 in transaction costs.
<u>equals</u> Cost of investment option	1.21% p.a.	If you had an investment of \$50,000 at the beginning of the year and you put in an additional \$5,000 during that year, you would be charged fees from \$605. <sup>†</sup> <b>What it costs you will depend on the investment option you choose and the fees you negotiate.</b>

<sup>†</sup> Additional fees may apply. Please note that this example does not capture all the fees and costs that may apply to you such as the Buy/Sell Spread. This example assumes the \$5,000 additional contribution occurs on the last Business Day of that year and that the value of the investment is otherwise consistent, and therefore management fees and costs are calculated on the \$50,000 investment.

**Warning** If you have consulted a financial adviser, you may pay additional fees. You should refer to the Statement of Advice or Financial Services Guide provided by your financial adviser in which details of the fees are set out.

ASIC provides a fee calculator on [www.moneysmart.gov.au](http://www.moneysmart.gov.au), which you may use to calculate the effects of fees and costs on account balances. The performance fees stated in this table are calculated by reference to a reasonable estimate of the performance fee for the current financial year to date, adjusted to reflect a 12 month period. The performance of the Fund or Class for this financial year, and the performance fees, may be higher or lower or not payable in the future. It is not a forecast of the performance of the Fund or Class or the amount of the performance fees in the future.

The other expenses component of management fees and costs and transaction costs may also be based on estimates. As a result, the total fees and costs that you are charged may differ from the figures shown in the table.

**Further reading** You should read the important information in the Reference Guide under "Additional information on fees and costs" about the fees and costs associated with investing in the Fund before making an investment decision. Go to the Reference Guide which is available at [www.contrarius.com.au](http://www.contrarius.com.au) or by visiting Equity Trustees at [www.eqt.com.au/insto](http://www.eqt.com.au/insto). The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

## 7. How managed investment schemes are taxed

**Warning** Investing in a registered managed investment scheme (such as the Fund) is likely to have tax consequences. You are strongly advised to seek your own professional tax advice about the applicable Australian tax (including income tax, GST and duty) consequences and, if appropriate, foreign tax consequences which may apply to you based on your particular circumstances before investing in the Fund.

The Fund is an Australian resident for tax purposes and does not generally pay tax on behalf of its investors. Australian resident investors are assessed for tax on any income and capital gains generated by the Fund to which they become presently entitled or, where the Fund has made a choice to be an Attribution Managed Investment Trust ("AMIT") and the choice is effective for the income year, are attributed to them.

**Further reading.** You should read the important information in the Reference Guide about Taxation under the "Important information" section before making a decision. Go to the Reference Guide which is available at [www.contrarius.com.au](http://www.contrarius.com.au) or [www.eqt.com.au/insto](http://www.eqt.com.au/insto). The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.

## 8. How to apply

Before completing the Application Form please ensure you have read this PDS together with the Reference Guide available from [www.contrarius.com.au](http://www.contrarius.com.au).

### How to make an initial investment

1. Complete all relevant sections of the Application Form as well as the Identification Form and Tax Information Form, available from [www.contrarius.com.au](http://www.contrarius.com.au).
2. Post the completed Application Form together with supporting identification documents to:  
Contrarius Funds Unit Registry  
GPO Box 804, Melbourne VIC 3001, Australia.
3. Transfer the application money electronically to the Fund. The Fund only accepts money in Australian dollars.

### How to make an additional investment

If you already hold an investment in the Fund, you do not need to complete the Application Form or provide further copies of supporting identification documents. Instead, you should:

1. Complete the Additional Investment Form available from [www.contrarius.com.au](http://www.contrarius.com.au), ensuring that you include your account number.
2. Email a copy of your Additional Investment Form to [contrarius.forms@unitregistry.com.au](mailto:contrarius.forms@unitregistry.com.au).
3. Transfer the additional investment money electronically to the Fund. The Fund only accepts money in Australian dollars.

### Who can invest?

Eligible persons (as detailed in the 'About this PDS' section) can invest, however individual investors must be 18 years of age or over. Investors investing through an IDPS should use the application form provided by their IDPS Operator.

### Cooling-off period

If you are a Retail Client who has invested directly in the Fund, you may have a right to a 'cooling off' period in relation to your investment in the Fund for 14 days from the earlier of: confirmation of the investment being received; and the end of the fifth business day after the units are issued.

A Retail Client may exercise this right by notifying Equity Trustees in writing. A Retail Client is entitled to a refund of their investment adjusted for any increase or decrease in the relevant Application Price between the time we process your application and the time we receive the notification from you, as well as any other tax and other reasonable administrative expenses and transaction costs associated with the acquisition and termination of the investment.

The right of a Retail Client to cool off does not apply in certain limited situations, such as if the issue is made under a distribution reinvestment plan, switching facility or represents additional contributions required under an existing agreement. Also, the right to cool off does not apply to you if you choose to exercise your rights or powers as a unit holder in the Fund during the 14 day period. This could include selling part of your investment or switching it to another product.

Indirect Investors should seek advice from their IDPS Operator as to whether cooling off rights apply to an investment in the Fund by the IDPS. The right to cool off in relation to the Fund is not directly available to an Indirect Investor.

### Complaints resolution

If you have any questions regarding the management of the Fund, you can contact the Investment Manager through [investorservices@contrarius.com.au](mailto:investorservices@contrarius.com.au).

Equity Trustees has an established complaints handling process and is committed to properly considering and resolving all complaints. If you have a complaint about your investment, please contact us on 1300 133 472 or [compliance@eqt.com.au](mailto:compliance@eqt.com.au) or GPO Box 2307, Melbourne, VIC 3001. We will acknowledge receipt of your complaint within 1 Business Day or as soon as possible after receiving the complaint. We will seek to resolve your complaint as soon as practicable but not more than 30 calendar days after receiving the complaint.

If you are not satisfied with our response to your complaint, you may be able to lodge a complaint with the Australian Financial Complaints Authority ("AFCA") by visiting [www.afca.org.au](http://www.afca.org.au) or contacting them at 1800 931 678 or [info@afca.org.au](mailto:info@afca.org.au), or GPO Box 3, Melbourne, VIC 3001. The external dispute resolution body is established to assist you in resolving your complaint where you have been unable to do so with us. However, it's important that you contact us first.

## 9. Other information

### Further reading

Before making a decision to invest, you should read the important information in the Reference Guide "Important information" section about: your privacy, the Constitution, Anti-Money Laundering and Counter-Terrorism Financing laws ("AML/CTF"), Common Reporting Standards ("CRS"), Foreign Account Tax Compliance Act ("FATCA"), indirect investors, information on underlying investments and disclosure of material information, and valuation of the Fund and Class

Go to the Reference Guide which is available at [www.contrarius.com.au](http://www.contrarius.com.au) or [www.eqt.com.au/insto](http://www.eqt.com.au/insto). The material relating to these matters may change between the time when you read this PDS and the day when you acquire the product.



**Phone**

Within Australia: 1300 050 207

International: +61 2 8022 7495

**Email**

contrarius@unitregistry.com.au

# Application Form

Contrarius Australia Equity Fund – Class A  
 Contrarius Australia Equity Fund – Class B  
 Contrarius Australia Balanced Fund – Class A

Please use this form if you are a new investor and wish to invest in this fund by making an initial application.

1. Read and ensure you understand the Product Disclosure Statement (PDS) and the Target Market Determination (TMD) for the Fund(s) that you wish to invest in.

The PDS and TMD are available at [www.contrarius.com.au/investwithus/documentation](http://www.contrarius.com.au/investwithus/documentation) or from your financial adviser. The law prohibits any person passing this Application Form on to another person unless it is accompanied by a complete PDS. We will provide on request and without charge a paper or electronic copy of the current PDS and its incorporated documents.

2. Complete all relevant sections of this Application Form

Please write in BLOCK letters, using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

Investor	Section 1	Section 2	Section 3	Section 4	Section 5 onwards
Individuals and sole traders	✓	✓			✓
Companies	✓		✓		✓
Trusts/Superannuation funds					
- with individual as trustee	✓	✓		✓	✓
- with a company as trustee	✓		✓	✓	✓
Custodians on behalf of underlying clients	✓		✓	✓	✓

3. Collect and certify the documents needed to identify and verify who you are.

Please refer to section 9 'Identification and verification' and complete the relevant Identification Form attached to this Application Form.

4. Tell us your tax status.

Please complete the Tax Information Form attached to this Application Form.

5. Send your documents to our Administrator.

Please post your original signed Application Form and Identification Form, together with original certified copies of the relevant identification documents to us.

Contrarius Funds Unit Registry  
 GPO Box 804  
 Melbourne VIC 3001

6. Transfer your application money to us.

Please refer to section 6 'Payment of application amount'.

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

**Legal Notices**

Equity Trustees Limited (ABN 46 004 031 298, AFSL No. 240975) (EQT) is the issuer of units in Contrarius Australia Equity Fund and Contrarius Australia Balanced Fund.

Your privacy is important to us. Personal information is collected on this form by EQT and its delegates for the purposes of maintaining the register of unitholders, facilitating distribution payments and other unit holder communications required or permitted by the Corporations Act 2001 or other legislation. We will treat all personal information in accordance with Equity Trustees' Privacy Policy, a copy of which is available at [www.eqt.com.au](http://www.eqt.com.au).

## 1a Your consumer attributes

To assist the Responsible Entity in meeting the Design and Distribution Obligations (DDO), you are required to indicate the purpose of your investment by responding to each of the questions set out below. Your responses should reflect your objectives and needs for this investment. Please tick **only 1 box** for each question below.

The below only needs to be answered where you are a **direct retail investor** (i.e., does not apply to indirect or intermediated investments such as those made by platforms, custodians, etc.). **If you are not a retail investor you may be required to provide a wholesale certificate to support your application.**

Further information in relation to these questions can be found in the Target Market Determination (TMD) for the relevant Fund, which is available at [www.contrarius.com.au/investwithus/documentation](http://www.contrarius.com.au/investwithus/documentation).

1. Have you received personal advice prior to applying to invest in this Fund?

- ☐ I/We have received personal advice in relation to my investment in this Fund
- ☐ I/We have not received personal advice in relation to my investment in this Fund

2. What is your primary investment objective?

- ☐ Capital growth *(increased value of your investment over time)*
- ☐ Capital preservation *(preserving the value of your investment and preventing loss)*
- ☐ Income distribution *(receiving regular income from your investment)*

3. What percentage of your total investable assets are you directing to this Fund?

- ☐ Solution/standalone *(up to 100%)*
- ☐ Core component *(up to 50%)*
- ☐ Satellite/small allocation *(up to 10%)*
- ☐ Major allocation *(up to 75%)*
- ☐ Minor allocation *(up to 25%)*

4. Please select your intended investment timeframe.

- ☐ Short term *(up to and including 2 years)*
- ☐ Medium term *(more than 2 years but less than 5 years)*
- ☐ Medium to long term *(equal to 5 years but less than 7 years)*
- ☐ Long term *(7 years or more)*

5. What is your tolerance for risk?

- ☐ Low risk and return – *I/we can tolerate up to 1 period of negative returns over 20 years and a low target return from this investment.*
- ☐ High risk and return – *I/we can tolerate up to 6 periods of negative returns over 20 years in order to achieve higher returns from this investment.*
- ☐ Extremely high risk and return – *I/we can tolerate significant volatility and losses as I/we are seeking to obtain accelerated returns.*
- ☐ Medium risk and return – *I/we can tolerate up to 4 periods of negative returns over 20 years and a moderate target return from this investment.*
- ☐ Very high risk and return – *I/we can tolerate more than 6 periods of negative returns over 20 years (very high volatility and potential losses) in order to maximise returns from this investment.*

6. Under normal circumstances, within what period do you expect to be able to access your funds for this investment?

- ☐ Within one week
- ☐ Within one month
- ☐ Within three months
- ☐ Within one year
- ☐ Within five years
- ☐ Within ten years
- ☐ More than ten years
- ☐ At the Issuer's discretion

**Please Note:**

1. Failure to complete the above questions may result in your application not being accepted.
2. 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.
3. For further information on the suitability of this product, please refer to your financial adviser and/or the TMD.

## 1b Are you an existing investor?

☐ No, complete section 2 onwards.

☐ Yes, the account number is  Complete from section 5 onwards.

## 2 Individuals and sole traders

Please complete if you are investing individually, jointly or you are an individual or joint trustee.

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.

**Note:** You are required to complete the Identification Form – Individuals, attached to this Application Form.

### Investor 1

#### Personal details

Title  Full given names

Surname

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

Business name (if sole trader)

Australian Business Number (ABN) (if sole trader)

Residential address (or principal place of business if sole trader)  
(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 acceptable)

Property/Building name (if applicable)

Unit  Street number

Street name

Suburb  State

Postcode  Country

#### Contact details (please provide at least one contact number)

Home number (include country and area code)

Business number (include country and area code)

Mobile number (include country code)

Email address

This email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material).

#### Tax details — Australian residents

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

Tax File Number (TFN)

Reason for exemption (if applicable)

#### Tax details — Non Australian residents

If you are not an Australian resident for tax purposes, please indicate your country of residence for tax purposes.

### Investor 2

#### Personal details

Title  Full given names

Surname

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

Business name (if sole trader)

Australian Business Number (ABN) (if sole trader)

**Residential address (or principal place of business if sole trader)**

(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 acceptable)

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Contact details (please provide at least one contact number)**

Home number (include country and area code)

Business number (include country and area code)

Mobile number (include country code)

Email address

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

**Tax details — Australian residents**

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

Tax File Number (TFN)

Reason for exemption (if applicable)

**Tax details — Non Australian residents**

If you are not an Australian resident for tax purposes, please indicate your country of residence for tax purposes.

### 3 Companies

Please complete if you are investing as a company or as a trust with a corporate trustee.

**Note:** You are also required to complete the Identification Form – Australian and Foreign Companies, attached to this Application Form.

**Company details**

Full name of company (as registered by ASIC)

ACN or ABN (for foreign companies, provide your Australian Registered Body Number (ARBN) if you have one)

Australian Tax File Number (TFN)

Country of residency (if a foreign company)

**Registered office address**

(A PO Box/RMB/Locked Bag is not acceptable)

If you are a foreign company, write the address of your Australian registered agent (if you have one) or else write your principal place of business.

Name of Australian registered agent (if applicable)

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Postal address (if different to above)**

(A PO Box/RMB/Locked Bag is acceptable)

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode	Country	Mobile number (include country code)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Contact person at company (mandatory)		Email address
Name		<input type="text"/>
<input type="text"/>		This email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material).
Home number (include country and area code)		
<input type="text"/>		
Business number (include country and area code)		
<input type="text"/>		

#### 4 Trusts or superannuation funds

Please complete if you are investing as a trust or superannuation fund.

**Note:** You are also required to complete the Identification Form – Trusts and Trustees, attached to this Application Form.

##### Trust or superannuation fund details

Full name of trust or superannuation fund

Full name of business (if any)

Country where established

Australian Business Number (ABN)

(applicable if you are a trust or a self-managed superannuation fund registered with the Australian Tax Office)

Australian Tax File Number (TFN)

Australian Registered Scheme Number (ARSN)  
(applicable if your trust is registered with ASIC)

##### Trustee details

How many trustees are there?

**Note:** Trustees must also complete the following relevant sections of this form:

- ☐ Individual or non-corporate trustee(s) – complete section 2
- ☐ Corporate trustee(s) – complete section 3
- ☐ Combination of individual and corporate trustees – complete sections 2 and 3

#### 5 Investment details and distribution instructions

##### Specify your initial application amount.

Please indicate your investment selection(s) by entering the amount(s) you wish to invest.

Note there is a minimum investment amount of AUD 10,000 for each Fund/Class.

Indicate your distribution choice. If you do not make an election, distributions will be reinvested.

Fund Name	APIR Code	Investment Amount (AUD)	Distribution Option (indicate preference with an X)	
			Reinvest	Pay to my Bank a/c
Australia Equity				
Contrarius Australia Equity Fund – Class A	ETL 5508 AU		<input type="checkbox"/>	<input type="checkbox"/>
Contrarius Australia Equity Fund – Class B	ETL 4996 AU		<input type="checkbox"/>	<input type="checkbox"/>
Australia Asset Allocation				
Contrarius Australia Balanced Fund – Class A	ETL 5055 AU		<input type="checkbox"/>	<input type="checkbox"/>

##### Source and origin of funds to being invested:

<input type="checkbox"/> Savings	<input type="checkbox"/> Investment	<input type="checkbox"/> Superannuation contributions	<input type="checkbox"/> Commission
<input type="checkbox"/> Donation/gift	<input type="checkbox"/> Inheritance	<input type="checkbox"/> Normal course of business	<input type="checkbox"/> Asset sale
<input type="checkbox"/> Other (please specify): <input type="text"/>			



## 6 Payment of application amount

### Electronic Funds Transfer

Please ensure that initial application amount(s) are sent to the appropriate bank account for your relevant investment(s).

**Note:** All payments must be made in AUD.

All payments must include a reference:

- 'Investor Name' for *new* investors
- 'Account Number' for *existing* investors.

Bank account details for the Contrarius Australia Equity Fund and Contrarius Australia Balanced Fund

Beneficiary bank account name	CONTRARIUS APPLICATIONS TRUST
Beneficiary bank name	NATIONAL AUSTRALIA BANK
Beneficiary bank address	500 Bourke Street, Melbourne, Victoria, Australia 3000
Beneficiary bank BSB	083-001
Beneficiary bank SWIFT code	NATAAU3303M
Beneficiary bank account number	189893489
Payment reference	[Name on Application Form for new investors, or account number for existing investors]

## 7 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

BSB number

Account number

Account name

## 8 Communication

### 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 email once your application is processed.

### Annual and 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 the latest updates and views on the Contrarius Australia Funds and other general communication via email from time to time. Please indicate if you do not wish to receive these communications.

☐ I do not wish to receive Contrarius Australia updates and information.

## 9 Identification and verification

### Please tick one box only:

- ☐ By ticking this box I/we declare that I/we have not previously invested in any Contrarius Australia Fund and will complete the relevant Identification Form(s) located at the end of this Application Form.
- ☐ By ticking this box I/we declare that I am/we are an existing investor in a Contrarius Australia Fund and am/are not required to complete the Identification Form(s) located at the end of this Application Form. By ticking this box I/we confirm that:
1. There are no changes to my/our identification documents previously provided and that these remain current and valid; and,
  2. There have been no changes to my/our FATCA/CRS status and the information provided in my/our previous application remains current and valid.

We can put in place arrangements with dealer groups that means that we can rely on the investor identification undertaken by your financial adviser who should contact us for details.

## 10 Financial adviser details (optional)

Use this section if you wish to appoint a 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** – if no, continue to **section 11**.
- ☒ **Yes** – if yes, your financial adviser must complete all details in this section. Please also complete **section 11** (authorised signatory of investor).

**Note:** Your financial adviser must also complete the relevant Identification Form(s), attached to this Application Form.

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.

## Financial adviser details

This section should be completed by your financial adviser.

**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.

AFSL holder name

AFSL number

ABN

Adviser name

Adviser code or Authorised representative number (if any)

### Contact details

Business number (include country and area code)

Mobile number (include country code)

Email address

### Address

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

## Financial adviser declaration

This section should be completed by your financial adviser.

- ☒ I/we hereby declare that I/we are not a US Person as defined in the PDS.
- ☒ I/we hereby declare that the investor is not a US Person as defined in the PDS.
- ☒ I/we have attached the relevant Customer Identification Procedure documents.

Financial adviser's signature

Date (DD/MM/YYYY)

## 11. Authorised signatory of investor (optional)

Please complete this section if you wish to appoint an individual or individuals to act on your behalf in relation to your investment(s) with Contrarius.

If you wish to appoint an entity as your authorised signatory, please contact us at [contrarius@unitregistry.com.au](mailto:contrarius@unitregistry.com.au) to obtain the appropriate Authorised Signatory Form for entities and associated KYC form.

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

**Note:** A person appointed as your authorised signatory is authorised by you to: apply for units in the Fund(s) and sign all documents necessary for this purpose; make requests to redeem all or some of your units in Contrarius Australia Funds; and make requests for information regarding your units. Please refer to the terms in the "Authorised signatories" section of the relevant Fund's Product Disclosure Statement (PDS).

### Authorised signatory 1

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>
Date of birth (DD/MM/YYYY)	
<input type="text"/>	<input type="text"/>
Residential address (A PO Box/RMB/Locked Bag is not acceptable)	
Property/Building name (if applicable)	
<input type="text"/>	
Unit	Street number
<input type="text"/>	<input type="text"/>
Street name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>
Authorised signatory's phone number	
<input type="text"/>	
Authorised signatory's email address	
<input type="text"/>	
Authorised signatory's signature	
<input type="text"/>	

### Authorised signatory 2

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>
Date of birth (DD/MM/YYYY)	
<input type="text"/>	<input type="text"/>
Residential address (A PO Box/RMB/Locked Bag is not acceptable)	
Property/Building name (if applicable)	
<input type="text"/>	
Unit	Street number
<input type="text"/>	<input type="text"/>
Street name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>
Authorised signatory's phone number	
<input type="text"/>	
Authorised signatory's email address	
<input type="text"/>	
Authorised signatory's signature	
<input type="text"/>	

### How authorised signatories may act in relation to the account?

#### Tick applicable

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

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

Other arrangement – please provide details

☐

## Verification procedure for authorised signatories who are individuals

For each authorised signatory, please complete the relevant Identification Form, attached to this Application Form.

In addition, please provide evidence of each authorised signatory's authority to act on behalf of the investor. Please tick the document(s) you will provide together with this Application Form.

<b>Verification documents – mandatory:</b>	
A completed original Identification Form and certified copies of required identification documents.	<input type="checkbox"/>
<b>Authorised signatory's authority – one of the following (not required for a Financial Adviser listed in section 10)</b>	
A certified copy of the authorising document (e.g. POA); or	<input type="checkbox"/>
A certified copy of a guardianship order; or	<input type="checkbox"/>
Other arrangement – please provide details	<input type="checkbox"/>

☒ I confirm that the document authorizing each authorised signatory is still valid and has not been revoked.

## 12 Declarations and acknowledgments

**IMPORTANT** – you must read the following statements and sign this Application Form to confirm your acknowledgment.

I/We:

- confirm all details in the Application Form are true and correct and am/are at least 18 years of age if I/we am/are an individual(s)
- acknowledge that I/we have read and understand the Target Market Determination (TMD) for the relevant Fund and consider the level of risk associated with holding an investment in the Fund is appropriate for my/our individual risk and return profile
- have personally received, read and understood the current Product Disclosure Statement (PDS) for the Contrarius Australia Equity Fund including the accompanying Reference Guide (RG), or the Contrarius Australia Balanced Fund (as applicable), and agree to appoint Equity Trustees to submit a Redemption Form on my behalf if I/we have provided misleading information or are ineligible to hold units in the relevant Fund
- have taken all actions that are necessary to authorise the application and agree to be bound by the terms and conditions of the Fund's Product Disclosure Statement and the relevant Constitution pursuant to which the relevant Fund was established as supplemented, replaced or re-issued from time to time
- authorise Equity Trustees, Contrarius Australia and their respective officers or agents, to do anything on my/our behalf necessary for units to be issued to me/us including without limitation to sign any documents necessary for units to be issued to me/us
- agree to inform Contrarius Australia Investor Services of any changes that affects the tax residence status of the Account Holder identified above or causes the information contained in this Application Form and all associated documentation to become incorrect or incomplete (including any changes to the information on Controlling Persons identified above) within 30 days
- confirm that I/we am/are tax resident only in the jurisdiction(s) I/we have listed in this Application Form and in no other jurisdiction
- in making an investment in the relevant Fund, have not relied in any way whatsoever on any statements by Equity Trustees, Contrarius Australia or any of their related entities or their servants, agents, employees or representatives and acknowledge that Equity Trustees and Contrarius Australia have not made any representations to me/us regarding the suitability or appropriateness of the relevant Fund.
- agree to indemnify Equity Trustees, Contrarius Australia and any other entity involved in this offering against any loss, liability, damage, claim, cost or expense incurred as a result of any information, representation, declaration, statement, acknowledgement or confirmation in this Application Form being untrue or incorrect
- acknowledge Equity Trustees, Contrarius Australia or any of their related entities or their servants, agents, employees or representatives are not responsible for any delays in receipt of this Application Form caused by the postal/courier service of receipt of the application money caused by my/our bank
- acknowledge that Equity Trustees and Contrarius Australia do not guarantee the performance of any Contrarius Australia Fund or its assets, or the repayment of the capital invested in any Contrarius Australia Fund
- declare that any documents or information whatsoever used for verification purposes in support of my/our application is/are complete and correct
- declare that monies deposited are not associated with crime, terrorism, money laundering or terrorism financing, nor will monies received from my/our account have any such association
- agree to provide any information that may be requested for the purposes of Anti-Money Laundering and Counter-Terrorism Financing laws ("AML/CTF Laws")
- have received or accepted this offer in Australia and am/are not bankrupt, and
- acknowledge that joint applicants or signatories who allow either investors or signatories to give instructions in relation to an investment the Fund will bind other investors or signatories for all transactions in connection with the investment, including changes to account details



**Privacy Consent** – Personal information collected and/or held in Australia is subject to and will be managed in accordance with the Australian Privacy Principles. Your personal information may be disclosed to other entities connected to the Fund(s), including entities located overseas. Information shared with entities located overseas is managed in accordance with the respective entity's privacy policy, which may differ from the Australian Privacy Principles. We are required to obtain your consent to the disclosure of your personal information in this manner in order to process your application.

**By signing this form, you consent to the disclosure of your personal information to entities that are connected to the Fund(s), including entities located overseas, and consent to any information shared with entities located overseas being managed in accordance with the respective entity's privacy policy. Please contact us if you require further information about this consent.**

**FATCA and CRS** – We are required by law under FATCA (US Foreign Account Tax Compliance Act) and CRS (Common Reporting Standard) to collect information about your tax status in jurisdictions other than Australia.

**I/We:**

- confirm that all the details disclosed in the Tax Information Form are true and correct
- agree to inform Equity Trustees, Contrarius Australia and their delegates as soon as any information in this form is no longer true or correct within 30 days of any change in circumstances, and
- acknowledge and agree that Equity Trustees, Contrarius Australia and their delegates may be required by law to pass on the information contained in this form to relevant taxation authorities including the US Internal Revenue Service, HMRC and the Australian Tax Office.

## 13 Signatures

### Signing instructions

**Individual/Sole Trader** – where the investment is in one name, the sole investor must sign.

**Joint Holding** – where the investment is in more than one name, all investors must sign. If more than two signatures are required, please attach an additional page with the full names of each account holder, their signatures, and date.

**Companies** – where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

**Trust** – the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney** – if signing under a Power of Attorney and you have not already lodged the Power of Attorney document, please attach a certified copy of the Power of Attorney annotated with the following: I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of investor 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Sole director and company secretary
- ☐ Authorised signatory

Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Company secretary
- ☐ Authorised signatory

If you are investing jointly or are a joint trustee, please indicate whether a single investor can operate your account.

☐ Yes ☐ No

**Phone**

Within Australia: 1300 050 207  
International: +61 2 8022 7495

**Email**

contrarius@unitregistry.com.au

## Instructions: Identification Forms

<b>Which form?</b>	<p>There are three forms that follow: one each for individuals, companies and trustees.</p> <p>Choose the form that is applicable to you.</p> <p>If you are a partnership, an association, a co-operative or a government body, then contact us and we will send a more appropriate form to you.</p> <p>If you are an individual authorised signatory, please complete the Identification Form for Individuals. If you are a corporate authorised signatory, please complete the Identification Form for Australian and Foreign Companies. All authorised signatories must also provide a certified copy of their authority to act for the investor (e.g. the POA, guardianship order, Executor or Administrator of a deceased estate, authority granted to a bankruptcy trustee, authority granted to the State or Public Trustee etc.).</p>
<b>Copies or originals?</b>	<p>This Identification Form asks you to send us certain documents. Please send us certified copies, not originals. We will keep what you send to us.</p>
<b>Certifying copies</b>	<p>You must have someone certify the copies you send to us. The following people can be the certifier:</p> <ul style="list-style-type: none"><li>• a Justice of the Peace</li><li>• a Notary Public (for the purposes of the Statutory Declaration Regulations 1993)</li><li>• an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public</li><li>• 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</li><li>• 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</li><li>• 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)</li><li>• a finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993)</li><li>• 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</li><li>• 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)</li><li>• a Judge of a court</li><li>• a magistrate</li><li>• a chief executive officer of a Commonwealth court</li><li>• a registrar or deputy registrar of a court</li><li>• a Police officer</li><li>• an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).</li></ul>
<b>What should the person certifying write?</b>	<p>"I [name] of [address] being [capacity e.g. Justice of the Peace] certify this and the following [x] pages as a true copy of the original document." Each page should be initialed by the person certifying your documents.</p>
<b>Not in English?</b>	<p>Documents not in English must be accompanied by an English translation prepared by an accredited translator.</p> <p>In Australia, translations should be done by translators accredited by the National Accreditation Authority of Translators and Interpreters ('NAATI'). You can find an accredited translator by looking up or contacting NAATI.</p>

**Phone**

Within Australia: 1300 050 207

International: +61 2 8022 7495

**Email**

contrarius@unitregistry.com.au

## Identification Form – Individuals

Complete this form if you have not previously invested in a Contrarius Australia Fund. A separate form is required for each investor in the case of joint holdings.

If you are a trustee, do NOT complete this form. Complete the Identification Form – Trusts and Trustees instead.

1. Please complete this Identification Form in BLOCK letters and using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.
2. Make copies of your ID document(s) and arrange for them **to be certified**. Please refer to the 'Instructions' on page 12 for more information on getting your documents certified.
3. Include this Identification Form and certified copies of your ID documents with your initial Application Form when you send it to us.

### Legal Notices

Equity Trustees Limited (ABN 46 004 031 298, AFSL No. 240975) (EQT) is the issuer of units in Contrarius Australia Equity Fund and Contrarius Australia Balanced Fund.

Your privacy is important to us. Personal information is collected on this form by EQT and its delegates for the purposes of maintaining the register of unitholders, facilitating distribution payments and other unit holder communications required or permitted by the Corporations Act 2001 or other legislation. We will treat all personal information in accordance with Equity Trustees' Privacy Policy, a copy of which is available at [www.eqt.com.au](http://www.eqt.com.au).

## 1 Personal details

Title Full given names

Surname

Date of birth (DD/MM/YYYY)

Usual occupation

Please indicate the source and origin of funds being invested:

- ☐ savings
- ☐ investment
- ☐ superannuation contributions
- ☐ commission
- ☐ donation/gift
- ☐ inheritance
- ☐ normal course of business
- ☐ asset sale
- ☐ other – write the source and origin of funds below

## 2 Verification procedure – individual investor

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant. Refer to the 'Instructions' on page 10 for a list of acceptable certifiers.

### Group 1

Provide a certified copy of one of these:

- ☐ **Australian driver's licence**  
showing your photo, and please copy the front and back
- ☐ **foreign driver's licence**  
showing your date of birth, signature and photo
- ☐ **Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- ☐ **foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- ☐ **Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- ☐ **foreign Government issued ID card**  
showing your date of birth, signature and photo.

### Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- ☐ **Australian or foreign government issued birth certificate**
- ☐ **Australian or foreign government issued citizenship certificate**
- ☐ **Centrelink pension or health card**  
please copy the front and back.

**PLUS** provide a certified copy of one of the following:

- ☐ **a Government issued notice**  
one which shows your name and residential address, not more than 12 months old
- ☐ **a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months old
- ☐ **ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

## 3 Signature

Signature

Please print full name

Date (DD/MM/YYYY)

**Investor Services contact details****Phone**

Within Australia: 1300 050 207

International: +61 2 8022 7495

**Email**

contrarius@unitregistry.com.au

## Identification Form – Australian and Foreign companies

Complete this form if you are a company investing for the first time with a Contrarius Australia Fund.

If you are a trustee, do NOT complete this form. Complete the Identification Form – Trusts and Trustees instead.

**1. Please complete the following sections of this Identification Form in BLOCK letters and using a black pen.**

If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

- **Australian or foreign listed public company:**

- Complete company details in section 1
- Confirm you are a public company in section 2.1
- Complete section 3 for regulated/listed companies
- Sign the form in section 5 and attach original certified copies of the required identification document(s).

- **Australian unlisted public company:**

- Complete company details in section 1
- Confirm you are a public company in section 2.1
- Complete section 3 for regulated/listed companies
- Sign the form in section 5 and attach original certified copies of the required identification document(s).

- **Australian private company**

- Complete company details in section 1
- Confirm you are a private company in section 2.2 and complete the director details section
- Complete section 3 for regulated/listed companies and section 4 for non-regulated/non-listed companies, where applicable
- Sign the form in section 5 and attach original certified copies of the required identification document(s).

- **Foreign private company and foreign unlisted public company:**

- Complete company details in section 1
- Complete the relevant items in sections 2, 3 and 4
- Sign the form in section 5 and attach original certified copies of the required identification document(s).

**2. Make copies of your identification document(s) and arrange for them to be certified.**

Please refer to the 'Instructions' on page 12 for more information on getting your documents certified.

**3. Include this Identification Form and certified copies of your identification document(s) with your initial Application Form when you send it to us.**

**Legal Notices**

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## 1 Company details

### 1.1 General information

Full name of company

Nature of business

### 1.2 Australian companies

Principal place of business (if different to registered office address).

A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

Please provide us with certified copies of:

☐ an ASIC search

### 1.3 Foreign companies

Country of formation

Registered in Australia?

☐ No ☐ Yes – what is the ARBN

Registered in country of formation?

☐ No ☐ Yes – name of regulator/exchange

Identification number issued by foreign registration body

If you are a foreign company registered in Australia write your principal place of business in Australia or the full name and address of your Australian agent.

If you are a foreign company not registered in Australia write your registered business address in country of formation or principal place of business if there is not a registered address.

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country (if not Australia)

Please provide us with certified copies of one of the following:

☐ an ASIC or foreign regulator search

☐ an ASIC or foreign regulator certificate of registration.

## 2 Company type

Please complete the section below for public companies (section 2.1) or private companies (section 2.2) as applicable.

### 2.1 Public company

Are you a public company?

☐ No ☐ Yes

If yes, please proceed to section 3.

### 2.2 Private company

Are you a private company?

☐ No ☐ Yes

If yes, please complete the director details section below if you are a private Australian company or a private foreign company. Do not complete for public companies.

#### Director details

How many directors are there?

Provide the full name of each director.

#### Director 1

Title

Full given names

Surname

#### Director 2

Title

Full given names

Surname

#### Director 3

Title

Full given names

Surname

**Director 4**

Title Full given names

Surname

If there are more directors, please provide their name on a separate sheet and attach to this form.

**3 Regulated/Listed companies****Are you an Australian listed company?**☐ No ☐ Yes – please provide name of market/exchange

Market/exchange

**Are you a majority-owned subsidiary of an Australian listed company?**☐ No ☐ Yes – please provide name of listed company and market/exchange

Company

Market/Exchange

**Are you a regulated company?**

One that which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

☐ No ☐ Yes – please provide details of the regulator and licence number

Regulator

Licence number

If you answered yes to any of these questions, please provide us with a certified copy of one of the following and sign the form at the end. For you, this form is then complete.

- ☐ an ASIC search
- ☐ a search of the licence or other records of the relevant regulator
- ☐ a public document issued by the company
- ☐ a search of the relevant market/exchange

**4 Non-regulated/non-listed companies**

If you answered no to all the questions in section 3, please fill in the sections 4.1, 4.2 and 4.3 below.

**4.1 Beneficial owner details**

Provide details of all beneficial owners who are individuals who, through one or more shareholdings, ultimately own 25% or more of the company's issued share capital or who control (whether directly or indirectly) the company, and provide either the date of birth or full residential address of each beneficial owner.

**HELP**

**Control:** includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating policies.

**Beneficial owner 1**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**  
(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 2**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

**Beneficial owner 3**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

**Beneficial owner 4**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

**4.2 Voting rights**

If there are any other individuals, who have not been listed above in section 4.1, and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please provide their name, date of birth, and residential address on a separate sheet and attach to this form.

**4.3 Senior Managing Official details**

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

Title Full given names

Surname

Date of birth (DD/MM/YYYY)

Company title

**Residential address/Registered office address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

**HELP**

**Senior managing official:** an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

## Verification procedure - beneficial owners

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant. Refer to the 'Instructions' on page 12 for a list of acceptable certifiers.

### Group 1

Provide a certified copy of one of these:

- ☐ **Australian driver's licence**  
showing your photo, and please copy the front and back
- ☐ **foreign driver's licence**  
showing your date of birth, signature and photo
- ☐ **Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- ☐ **foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- ☐ **Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- ☐ **foreign Government issued ID card**  
showing your date of birth, signature and photo.

### Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- ☐ **Australian or foreign government issued birth certificate**
- ☐ **Australian or foreign government issued citizenship certificate**
- ☐ **Centrelink pension or health card**  
please copy the front and back.

**PLUS** provide a certified copy of one of the following:

- ☐ **a Government issued notice**  
one which shows your name and residential address, not more than 12 months old
- ☐ **a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months old
- ☐ **ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

- ☐ a completed Identification Form – Australian and Foreign Companies, plus any relevant identification documents.

## Verification procedure – senior managing official details

If you are unable to provide details of the beneficial owners in section 4.1 above, please provide documentation showing the name of the senior managing official, as provided in section 4.3.

## 5 Signatures

### Signing instructions

Where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Signature of director 1

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Sole director and company secretary

Signature of director 2/company secretary

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Company secretary

**Phone**

Within Australia: 1300 050 207

International: +61 2 8022 7495

**Email**

contrarius@unitregistry.com.au

## Identification Form – Trusts and Trustees

Complete this form if you have not previously invested in a Contrarius Australia Fund.

**1. Please complete the following sections of this Identification Form in BLOCK letters and using a black pen.**

If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

- Section 1 – provide the trust details
- Section 2 – indicate if the trust is regulated or unregulated and complete the relevant details
- Section 3 – provide the trust's trustee details and attach original certified copies of required identification document(s)
- Section 4 – if you are a company completing this Application Form on behalf of an individual, another company, a trust or other entity, in a Custodial capacity, please complete section 4.
- Section 5 – sign the form

**2. Make copies of your identification document(s) and arrange for them to be certified.**

Please refer to the 'Instructions' on page 12 for more information on getting your documents certified.

**3. Include this Identification Form and certified copies of your identification document(s) with your initial Application Form when you send it to us.**

### Legal Notices

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## 1 Trust details

Full name of trust

Business name (if any)

Country in that the trust was established

## 2 Type of trust

### 2.1 Regulated trusts

This includes complying superannuation funds and SMSFs

**Superannuation fund** - or another type of trust registered and regulated by an Australian Commonwealth statutory regulator

☐ No ☐ Yes

If yes, please tell us:

The trust's ABN

The regulator if not APRA or the ATO

Any licence number

**Registered managed investment scheme**

☐ No ☐ Yes

If yes, please tell us the ARSN

**Government superannuation fund**

☐ No ☐ Yes

If yes, please tell us the name of the Act that regulates the trust

If you answered **YES** to any of these questions, then please provide a certified copy of one of the following:

- ☐ **superannuation funds**  
go to [www.abn.business.gov.au](http://www.abn.business.gov.au), select the 'Super Fund Lookup' option and print out the results for your super fund
- ☐ **registered managed investment schemes**  
an ASIC search of the scheme
- ☐ **Government superannuation funds**  
an extract of the establishing legislation.

### 2.2 Non-regulated trusts

Including family discretionary trusts, family and other unit trusts, deceased estates and charitable trusts (but not including self-managed super funds)

Is the trust a non-regulated trust?

☐ No ☐ Yes

If yes, please specify the type of trust

Please provide full name, address and date of birth of all beneficial owners who are individuals who own 25% or more of the trust income or assets or who control (whether directly or indirectly) the trust and provide either the date of birth or full residential address of each beneficial owner:

#### HELP

**Control:** includes control as a result of, or by means of, trusts, agreements, arrangements, understandings and practices, whether or not having legal or equitable force and whether or not based on legal or equitable rights, and includes exercising control through the capacity to determine decisions about financial and operating policies.

#### Beneficial owner 1

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

#### 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

**Beneficial owner 2**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname/Company name	
<input type="text"/>	
Date of birth (DD/MM/YYYY)	
<input type="text"/>	<input type="text"/>
Usual occupation/Nature of business	
<input type="text"/>	

**Residential address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)	
<input type="text"/>	
Unit	Street number
<input type="text"/>	<input type="text"/>
Street name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>

**Beneficial owner 3**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname/Company name	
<input type="text"/>	
Date of birth (DD/MM/YYYY)	
<input type="text"/>	<input type="text"/>
Usual occupation/Nature of business	
<input type="text"/>	

**Residential address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)	
<input type="text"/>	
Unit	Street number
<input type="text"/>	<input type="text"/>
Street name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>

**Beneficial owner 4**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname/Company name	
<input type="text"/>	
Date of birth (DD/MM/YYYY)	
<input type="text"/>	<input type="text"/>
Usual occupation/Nature of business	
<input type="text"/>	

**Residential address**

(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)	
<input type="text"/>	
Unit	Street number
<input type="text"/>	<input type="text"/>
Street name	
<input type="text"/>	
Suburb	State
<input type="text"/>	<input type="text"/>
Postcode	Country
<input type="text"/>	<input type="text"/>

**Please provide the name of all beneficiaries that are not beneficial owners.**

If the trust deed describes the beneficiaries by reference to member of a class please provide details of, the class to which the beneficiaries belong e.g. family members, unit holders, un-named charities on a separate sheet and attach to this form.

**Beneficiary 1**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

**Beneficiary 2**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

**Beneficiary 3**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

**Beneficiary 4**

Title	Full given names
<input type="text"/>	<input type="text"/>
Surname	
<input type="text"/>	

Please provide the name of the **appointor** of the trust, if applicable

#### HELP

**Appointor:** the appointor has the power to appoint or remove the trustees of the trust. Not all trusts have an **appointor**.

Name of trust **settlor**

#### HELP

**Settlor:** this is the person that creates the trust. The settlor may be, for example, your accountant or solicitor.

Note: you do not need to provide the name of the trust settlor if they are deceased, or the material asset at the time the trust was established was less than \$10,000.

If you are a non-regulated trust, please provide us with certified copies of one of the following:

- ☐ **Trust deed**  
or an extract of the trust deed showing the full name of the trust and any named trust settlor
- ☐ **Other documentation**  
confirming the full name of the trust and the name of the trust settlor

### 3 Trustee details

#### 3.1 Verification procedure – individual trustee

Title Full given names

Surname

Date of birth (DD/MM/YYYY)

Usual occupation

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

##### Group 1

Provide a certified copy of one of these:

- ☐ **Australian driver's licence**  
showing your photo, and please copy the front and back
- ☐ **foreign driver's licence**  
showing your date of birth, signature and photo
- ☐ **Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- ☐ **foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- ☐ **Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- ☐ **foreign Government issued ID card**  
showing your date of birth, signature and photo.

##### Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- ☐ **Australian or foreign government issued birth certificate**
- ☐ **Australian or foreign government issued citizenship certificate**
- ☐ **Centrelink pension or health card**  
please copy the front and back.

**PLUS** provide a certified copy of one of the following:

- ☐ **a Government issued notice**  
one which shows your name and residential address, not more than 12 months old
- ☐ **a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months old
- ☐ **ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

**For each corporate beneficial owner please provide:**

- ☐ a completed Identification Form – Australian and Foreign companies, plus any relevant identification.

#### 3.2 Verification procedure – company trustees

##### 3.2.1. General information

Full name of company trustee

Nature of business

ACN

### 3.2.2. Australian company trustee

Place of business (if different to registered office address)  
(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

### 3.2.3 Foreign company trustee

Country of formation

Registered in Australia?

☐ No ☐ Yes

If yes, please provide the ARBN

Registered in that country?

☐ No ☐ Yes

If yes, please provide the name of regulator/exchange

Identification number issued by foreign registration body

Registered business address in country of formation  
(A PO Box/RMB/Locked Bag is not acceptable)

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country (if not Australia)

Please provide us with certified copies of one of the following:

- ☐ an ASIC or foreign regulator search  
☐ an ASIC or foreign regulator certificate of registration.

### 3.2.4 Company type

Please complete the section below for public companies (3.2.4 (a)) or private companies (section 3.2.4 (b)) as applicable.

#### 3.2.4 (a) Public company

Are you a public company?

☐ No ☐ Yes

If yes, please proceed to section 3.2.5

#### 3.2.4 (b) Private company

Are you a private company?

☐ No ☐ Yes

If yes, please complete the director details section below if you are a private Australian company or a private foreign company. Do not complete for public companies.

#### Director details

How many directors are there?

Provide the full name of each director:

##### Director 1

Title Full given names

Surname

##### Director 2

Title Full given names

Surname

##### Director 3

Title Full given names

Surname

##### Director 4

Title Full given names

Surname

If there are more directors, please provide their name on a separate sheet and attach to this form.

### 3.2.5 Regulated/Listed companies

Are you an Australian listed company?

☐ No ☐ Yes – please provide name of market/exchange

Market/Exchange

Are you a majority-owned subsidiary of an Australian listed company?

☐ No ☐ Yes – please provide name of listed company and market/exchange

Company

Market/Exchange

Are you a regulated company?

One which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

☐ No ☐ Yes – please provide details of the regulator and licence number

Regulator

Licence number

If you answered yes to any of these questions, please provide us with a certified copy of one of the following and sign the form at the end. For you, this form is then complete.

- ☐ an ASIC search
- ☐ a search of the licence or other records of the relevant regulator
- ☐ a public document issued by the company
- ☐ a search of the relevant market/exchange

### 3.2.6 Non-regulated/non-listed companies

If you answered no to all the questions in section 3.2.5, please fill in the sections 3.2.6 (a), (b) and (c) below.

#### 3.2.6 (a) Beneficial owner details

Provide details of all beneficial owners (i.e. company shareholders) who, through one of more shareholdings, own 25% or more of the company's issued share capital.

##### Beneficial owner 1

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

##### 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

##### Beneficial owner 2

Title

Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

##### 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

##### Beneficial owner 3

Title

Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

##### 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

#### Beneficial owner 4

Title  Full given names

Surname/Company name

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

Usual occupation/Nature of business

**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

#### Verification procedure - beneficial owners

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

##### Group 1

Provide a certified copy of one of these:

- ☐ **Australian driver's licence**  
showing your photo, and please copy the front and back
- ☐ **foreign driver's licence**  
showing your date of birth, signature and photo
- ☐ **Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- ☐ **foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- ☐ **Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- ☐ **foreign Government issued ID card**  
showing your date of birth, signature and photo.

##### Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- ☐ **Australian or foreign government issued birth certificate**
- ☐ **Australian or foreign government issued citizenship certificate**

- ☐ **Centrelink pension or health card**  
please copy the front and back.

**PLUS** provide a certified copy of one of the following:

- ☐ **a Government issued notice**  
one which shows your name and residential address, not more than 12 months old
- ☐ **a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months old
- ☐ **ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

**For each corporate beneficial owner please provide:**

- ☐ a completed Identification Form – Australian and Foreign Companies, plus any relevant identification.

#### 3.2.6 (b) Voting rights

If there are any other individuals, who have not been listed above in section 3.2.6 (a), and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please write down their full names on a piece of paper and attach to this form.

#### 3.2.6 (c) Senior Managing Official details

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

#### HELP

**Senior managing official:** an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

Title  Full given names/Full company name

Surname

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

Nature of business

Company title

**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

## Verification procedure - senior managing official details

If you are unable to provide details of beneficial owners in 3.2.6 (a) above, please provide documentation showing the name of the senior managing official, as provided in this section 3.2.6 (c)

## 4 Custodian attestation: Chapter 4, Parts 4.4.18 and 4.4.19 of the AML/ATF Rules

If you are a Company completing this Application Form on behalf of an individual, another company, a trust or other entity, in a Custodial capacity, please complete this section.

In accordance with Chapter 4, part 4.4.19 (1)(a) to (d) of the AML/CTF Rules, does the Custodian meet the definition (see 'Section 10 – Glossary') of a Custodian?

☐ No ☐ Yes –

In accordance with Chapter 4, part 4.4.19 (e) of the AML/CTF Rules, do you, in your capacity as Custodian attest that prior to requesting this designated service from Equity Trustees, it has carried out and will continue to carry out, all applicable customer identification procedures on the underlying account holder named or to be named in the Fund's register, including conducting ongoing customer due diligence requirements in accordance with Chapter 15 of the AML/CTF Rules?

☐ No ☐ Yes –

If you answered YES to all of the above questions, then Equity Trustees is able to apply the Chapter 4, part 4.4 Custodian rules to this account and will rely upon the customer due diligence conducted by the Custodian on the underlying account holder named or to be named in the Fund's register.

If requested to do so at any time after the provision of this designated service, the Custodian agrees to honour any reasonable request made by Equity Trustees for information or evidence about the underlying account holder in order to allow Equity Trustees to meet its obligations under the AML/CTF Act.

☐ No ☐ Yes –

Excepting the below circumstances where the custodian answered NO or did not complete any of the above questions, no other information about the underlying account holder is required to be collected. However, further information about you as the Custodian and as a company is required to be collected and verified as required by the AML/CTF rules. Please complete the rest of this form for the Custodian.

**Excepting circumstances: If you answered NO or did not complete any of the above questions, then we are unable to apply the Chapter 4, part 4.4 Custodian rules to this application. We are therefore obligated to conduct full Know Your Client procedures on the underlying account holder named or to be named in the Fund's register including any named nominee, as well as the trustees, beneficial owners and controlling persons of the underlying named account in addition to the Custodian. Therefore, please complete the relevant forms and provide identity documents for all parties connected to this account.**

## 5 Signatures

### Signing instructions

**Individual trustee:** where the investment has one individual trustee, the trustee must sign.

**Multiple trustees:** where the investment has more than one individual trustee, all trustees must sign.

**Corporate trustee:** where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Signature of trustee 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- ☐ Director  
☐ Sole director and company secretary  
☐ Authorised signatory

**Trust:** the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney:** if signing under a Power of Attorney and you have not already lodged the Power of Attorney with us, please attach a certified copy of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of trustee 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

Company officer (please indicate company capacity)

- ☐ Director  
☐ Company secretary  
☐ Authorised signatory



**Phone**

Within Australia: 1300 050 207

International: +61 2 8022 7495

**Email**

contrarius@unitregistry.com.au

## Tax Information Form

Please complete this FATCA and CRS Self-Certification Form in BLOCK letters and using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

### 1. Why do you need to complete this form?

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 in a material particular. We may decide not to open an account without first receiving the required information. For more information, visit [ato.gov.au](http://ato.gov.au).

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

### 2. What if more than one person is applying?

Each individual will need to complete a separate copy of this form.

### 3. Which sections of the form should you complete?

Superannuation funds, testamentary trusts, registered charities – **Section 1**

Individuals – **Section 2**

Companies and other trusts – **Section 3**

- Corporate trustee – **Section 3**
- Individual trustee – **Section 2**

#### Legal Notices

Equity Trustees Limited (ABN 46 004 031 298, AFSL No. 240975) (EQT) is the issuer of units in Contrarius Australia Equity Fund and Contrarius Australia Balanced Fund.

Your privacy is important to us. Personal information is collected on this form by EQT and its delegates for the purposes of maintaining the register of unitholders, facilitating distribution payments and other unit holder communications required or permitted by the Corporations Act 2001 or other legislation. We will treat all personal information in accordance with Equity Trustees' Privacy Policy, a copy of which is available at [www.eqt.com.au](http://www.eqt.com.au).

## 1 Superannuation funds and other special trusts

### 1. Are you a superannuation or other special type of trust?

- ☐ I am the trustee of a **regulated superannuation fund**, or  
(this includes a self-managed superannuation fund)
- ☐ I am a trustee of a **testamentary trust**, or
- ☐ I am a trustee of a **registered charity**

#### HELP

**Regulated superannuation fund:** means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled super trusts.

**Testamentary trust:** this is a trustee of a trust set up in a deceased's will.

#### Where to now?

I ticked a box ► go to **Section 4 Signatures**

I did not tick a box ► go to **Section 2** if you are an individual, or **Section 3** if you are a company or another type of trust

## 2 Individuals

Do not complete **Section 2** if you are a non-superannuation trustee or you are a company ► complete **Section 3** instead.

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

- ☐ No ► go to **Section 2.2**
- ☐ Yes – please tell us your TIN ► go to **Section 2.3**

US TIN:

#### 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. (incl. Green Card holders and residency under the substantial presence test).

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

#### 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.

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

Other than the US or Australia.

- ☐ No ► go to **Section 4 Signatures**
- ☐ Yes – please state your tax residence(s) and the associated TINs using the following table. If a TIN is unavailable, please provide the appropriate reason (see HELP box). ► then go to **Section 4 Signatures**

Country	TIN	No TIN? Which reason? See HELP box below
1.		
2.		
3.		
4.		

#### HELP

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

1. This country does not issue TINs
2. I have asked for a TIN, but have not yet been given one – **you must tell us when received**
3. The laws of this country do not require me to disclose my TIN
4. I have an exemption under the laws of this country from holding a TIN – **write a code or give us details**

### 3 Entities (other than superannuation trusts)

#### 3.1 Is the entity resident for tax purposes in the US?

- ☐ No ► go to **Section 3.2**
- ☐ Yes – **please tell us your TIN** ► then go to **Section 3.2**

US TIN:

#### HELP

##### What is a TIN?

See HELP box on the previous page.

#### 3.2 Is the entity resident of any other jurisdiction for tax purposes?

Other than the US or Australia.

- ☐ No ► go to **Section 3.3**
- ☐ Yes – **please tell us which ones**, using the following table ► then go to **Section 3.3**

Country	TIN	No TIN? Which reason? See HELP box above
1.		
2.		
3.		
4.		

#### HELP

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

1. This country does not issue TINs
2. I have asked for a TIN, but have not yet been given one – **you must tell us when received**
3. The laws of this country do not require me to disclose my TIN
4. I have an exemption under the laws of this country from holding a TIN – **write a code or give us details**
5. The entity has one of the following CRS classifications (cf. next page):
  - Financial Institution
  - Active NFE – Publicly Traded Non-Financial Corporation and Related Corporation
  - Active NFE – Government Entity or Central Bank
  - Active NFE – International Organization

### 3.3 Are you a 'Financial Institution'?

Be careful – Financial Institution is broadly defined – see HELP box below

- ☐ Not relevant - I wrote my TIN in **Section 3.1** ► go to **Section 3.4**
- ☐ No ► go to **Section 3.4**
- ☐ Yes – **please tell us your GIIN**, if applicable – see HELP box below

GIIN:

#### HELP

##### What is a financial institution?

This includes:

1. **an investment entity** - any entity that conducts certain activities or operations for or on behalf of a customer, including:
  - 'trading in money market instruments' and other relevant instruments
  - 'individual and collective portfolio management'
  - 'investing, administering, or managing funds or money on behalf of other persons'.

However, any trading, investing, administering or managing of financial assets on behalf of other persons must be done as a business. Note that financial assets does not include direct interests in real property.

An entity is also an investment entity if it is managed by another investment entity, depository institution, custodial institution or other prescribed entity and its gross income is primarily attributable to investing reinvesting or trading in financial assets.

So, as general rules:

- managed investment schemes are investment entities
- trusts with professional corporate trustees (and often professional corporate investment managers) often are investment entities, such as unregistered (wholesale) managed investment schemes
- discretionary family trusts are not usually investment entities, even if they have someone managing the trust's assets for them.

The ATO gives some help in this, and it's worth seeking advice if you are unsure: [ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/FATCA-detailed-guidance](https://ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/FATCA-detailed-guidance)

2. **a depository institution**  
you accept deposits in the ordinary course of a banking or similar business e.g. a bank
3. **a custodial institution**  
a substantial portion of your business (20% or more of gross income) has been held in financial assets for the account of others for the previous three years or since the establishment of the entity e.g. a custodian
4. **certain prescribed entities**  
e.g. types of insurance companies that have cash value products or annuities.

#### HELP

##### What is a GIIN?

This stands for Global Intermediary Identification Number. GIINs are 19 digits long, issued by US tax authorities (the IRS) to non-US financial institutions and sponsoring entities for purposes of identifying their registration with the IRS under US tax laws (called FATCA).

### Where to now?

I ticked **YES** and completed my GIIN ► go to **Section 3.4**

I ticked **YES** but **did not** write a GIIN – tell us below why you did not write a GIIN ► then go to **Section 3.4**

- ☐ Excepted Financial Institution
- ☐ Deemed Compliant Financial Institution
- ☐ Exempt Beneficial Owner
- ☐ Non-Participating Financial Institution
- ☐ Non-Reporting IGA Financial Institution
- ☐ Sponsored Financial Institution – their GIIN is

GIIN:

### 3.4 Are you a public company listed on a stock exchange?

- ☐ No ► go to **Section 3.5**
- ☐ Yes ► go to **Section 4 Signatures**

### 3.5 Are you an 'Active' or 'Passive' Non-Financial Entity (NFE)?

- ☐ I am an 'Active' Non-Financial Entity ► go to **Section 4 Signatures**
- ☐ I am a 'Passive' Non-Financial Entity ► go to **Section 3.6**

#### HELP

##### What is 'Active' and 'Passive'?

A Non-Financial Entity (NFE) is any entity that is not a financial institution as defined above.

You will be a Passive NFE if you are not an Active NFE.

Generally, you will be an Active NFE if:

- your stock (or a related entity's stock) is regularly traded on established securities market
- less than 50% of your gross income for the previous reporting period was passive income and less than 50% of your assets during that period produce or were held to produce passive income
- you are a Governmental entity, an international organisation, a central bank or an entity wholly owned by one of the above
- you are exempt from income tax in your residential jurisdiction and were established and operated exclusively for religious, charitable, scientific, artistic, athletic or educational purposes and meet certain other specific criteria, or
- you have not been a financial institution in the past five years and are in the process of liquidating your assets or reorganising with the intent to recommence operations other than as a financial institution.

If you are unsure whether you are an Active or Passive NFE, please get advice.

### 3.6 If you are Passive NFE, do you have any 'Controlling Persons' who are resident of another country for tax purposes?

- ☐ I am passive, and **YES** I do have Controlling Persons who are resident of another country for tax purposes
- If you ticked the above box, please complete the Controlling Persons details on the next page. If there is not enough room in the table, or in case there are more than four Controlling Persons, please copy the page and attach it to your completed form. ► then go to **Section 4 Signatures**
- ☐ I am passive, but **NO** I do not have controlling persons who are resident of another country for tax purposes
- It would be unusual to think of no-one. Please read the **HELP** box. If you're sure ► go to **Section 4 Signatures**

#### HELP

##### Controlling persons

The term 'Controlling Persons' (under CRS and FATCA) means the natural persons who exercise control over an entity. For an Entity that is a legal person, control over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A controlling ownership interest depends on the ownership structure of the legal person and may be identified on the basis of a threshold, e.g. including only persons owning more than a certain percentage of the Entity. Where no natural person(s) exercises control through ownership interest, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

In the case of a trust, the term Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust. The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the trust. In the case of a legal arrangement other than a trust, Controlling Person(s) means persons in equivalent or similar positions.

- For companies, use 25% as a touchstone – if a person holds 25% or more of the issued capital or voting rights, best to list them.
- For trusts (other than discretionary trusts), the law requires that you list all beneficiaries, and also requires that you drill down through the chain of control or ownership to find the natural person(s) that ultimately control the trust.
- Where no natural person(s) exercise control through ownership, consider who might exercise control through other means – directors and perhaps senior managing officials.

Controlling Person (1)

Title

Given names

Surname

Date of birth

City and country of birth

DD / MM / YYYY

Residential address

Unit

Number

Street name

Suburb/City

State

Postcode/Zip

Country

Country	TIN	No TIN? Which reason? See HELP box at section 3.2
1.		
2.		
3.		
4.		

Controlling Person (2)

Title

Given names

Surname

Date of birth

City and country of birth

DD / MM / YYYY

Residential address

Unit

Number

Street name

Suburb/City

State

Postcode/Zip

Country

Country	TIN	No TIN? Which reason? See HELP box at section 3.2
1.		
2.		
3.		
4.		

Controlling Person (3)

Title

Given names

Surname

Date of birth

City and country of birth

DD / MM / YYYY

Residential address

Unit

Number

Street name

Suburb/City

State

Postcode/Zip

Country

Country	TIN	No TIN? Which reason? See HELP box at section 3.2
1.		
2.		
3.		
4.		

#### Controlling Person (4)

Title	Given names	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of birth		City and country of birth
<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY		<input type="text"/>
Residential address		
Unit	Number	Street name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Suburb/City	State	Postcode/Zip
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country		
<input type="text"/>		

Country	TIN	No TIN? Which reason? See HELP box at section 3.2
1.		
2.		
3.		
4.		

## 4 Acknowledgements and signatures

### Important information

You acknowledge that nothing in this form is intended as advice and any 'help', definition, and clarification provided is for 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 details) 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 inform us of any changes in circumstances which affects the tax residency status and all other information contained in this form or causes the contained information herein to become incorrect or incomplete. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form again and emailing, faxing or posting it to our Administrator.

By completing and signing this form:

- you declare you have read and understood this form
- you declare that statements made in this form are to the best of your knowledge and belief, true, correct and complete
- if you have applied for but not received your TIN or GIIN, 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.
- acknowledge and agree that Equity Trustees, Contrarius Australia and their delegates may be required by law to pass on the information contained in this form to relevant taxation authorities including the US Internal Revenue Service, HMRC and the Australian Tax Office.

### Signing instructions

**Individual:** sign in the left box, and have someone witness in the right box. If you are investing jointly, you need a separate form for each individual.

**Entity:** two directors, or a director and a secretary sign, or if you are a sole director company, that sole director signs in the left box and a witness in the right box.

#### Signature 1

<input type="text"/>
Please print full name
<input type="text"/>
Date (DD/MM/YYYY)
<input type="text"/>
Position in Organisation (for entities only)
<input type="text"/>

#### Signature 2

<input type="text"/>
Please print full name
<input type="text"/>
Date (DD/MM/YYYY)
<input type="text"/>
Position in Organisation (for entities only)
<input type="text"/>