

# Investment Application Form

## 1. Investor details - Please tick the correct box and fill in capital letters:

New investor  Existing investor  Existing account number

### Investor Type

- Individual/Trustee/Sole Trader** (complete 1.1)  **Company** (complete 1.2)
- Partnership** (complete 1.2)  **Regulated trust - Including self managed super funds** (complete 1.2)
- Association - Incorporated/unincorporated** (complete 1.2)  **Unregulated trusts** (complete 1.2)

### 1.1 Individuals / Individual Trustee / Sole Trader

Investor 1 / individual trustee 1/ sole trader

Title  Given name(s)

Surname/ Family name

Date of birth DD / MM / YYYY  
 /  /

Investor 2/ individual trustee 2

Title  Given name(s)

Surname/ Family name

Date of birth DD / MM / YYYY  
 /  /

### 1.2 All other entity types

Name of entity/organisation

### Contact person

Given name(s)

Surname/ Family name

Telephone

Position title in entity

Email

### 1.3 Contact details

Telephone

Email

Postal address

### 1.4 Source of funds

- Savings**  **Employment income**  **Property/asset sale**  **Business activity**
- Inheritance/gift**  **Financial investment**  **Property sale**
- Other**

## 2. Investment details:

**Investment name** - New account to be opened under the following name:






Full name

In Trust for (child's name)

### Product selection

- Enhanced Cash Portfolio     Enhanced Cash Trust     International Equities Trust  
 Growth Portfolio     Australian Equities Trust     Funeral Fund  
 Australian Equities Portfolio

**Initial funding** - Investment will be funded via:

- Direct credit  BSB 704-907    Reference number will be advised by U Ethical  
 BPay  Biller Code 16089    Reference number will be advised by U Ethical  
 Direct debit  Provide a completed Direct Debit Form  
 Cheque  Payable to U Ethical  
 Funds transfer from existing U Ethical account  Provide a completed Redemption form

**Investment amount \$**

**Investment amount in words**

## 3. Income Distributions and Redemption Instructions:

Details provided must be for a bank account with an Australian domiciled financial institution (payment to third party or foreign bank accounts is not permitted).

**3.1 Income reinvestment** - Please select ONE of the following:

- Reinvest income  
 Credit income to a bank account - Please complete details below:

BSB  Account number

Account name

**3.2 Redemption Proceeds** - Please select ONE of the following:

- Bank account as above  
 Alternate bank account

BSB  Account number

Account name

## 4. Tax File Number (TFN) or entity reference

Collection of TFNs is authorised, and its use and disclosure are strictly regulated by tax laws and the Privacy Act. Quotation of your TFN is not compulsory and you may leave this section blank. However, tax may be taken out of your income distribution if you do not quote your TFN or claim an exemption to which you are entitled to. For more information about the use of TFNs, please contact the Australian Tax Office.

### 4.1 Individual investor 1 or Sole Trader TFN

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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OR exemption reason (select one below)

<input type="checkbox"/>	Non-resident/ Country of residence	<input type="text"/>
<input type="checkbox"/>	Other - please specify	<input type="text"/>

### Individual investor 2 TFN

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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OR exemption reason (select one below)

<input type="checkbox"/>	Non-resident / Country of residence	<input type="text"/>
<input type="checkbox"/>	Other - please specify	<input type="text"/>

### 4.2 Entity Australian Business Number (ABN) or Australian Company Number (ACN)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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## 5. Acknowledgments

I/We agree to be bound by the Product Disclosure Statement (PDS), Offer Document and/or Information Memorandum (IM) for the Fund(s) (including all information incorporated by reference forming part of the PDS and/or Offer Document) and the provisions of the Constitution for the Fund(s), as amended from time to time, which govern the operation of the Fund(s).

I/We acknowledge that, upon receipt of this application, U Ethical may enter into transactions for the Fund(s) in anticipation of payment of application monies, and I/we indemnify U Ethical against any losses and expenses incurred by it if the application monies are not received as cleared funds by the Fund(s) in the normal course.

I/We consent to telephone conversations being recorded. Recordings may be used for quality, verification and training purposes.

I/We (including, in my/our personal capacity) agree to the collection, disclosure and use of information as contemplated in the section titled "Privacy", contained in the PDS and/or Offer Document, Incorporation by Reference document forming part of the PDS and/or Offer Document and/or the Information Memorandum or Incorporation by Reference document forming part of the PDS and/or Offer Document for the Fund(s).

I/We acknowledge it is possible at any time to opt out from receiving promotional information about services and products of U Ethical and its related companies by contacting U Ethical's client services centre.

I/We acknowledge that neither Uniting Ethical Investors Limited or U Ethical or any of its associates, related body corporates or subsidiaries guarantees the repayment of capital or the performance of the Fund(s).

I/We agree to receive confirmation of my/our investment transactions online via U Ethical's website.

I/We declare that I/we have received and accepted the offer to apply to invest into the Fund(s) in Australia.

I/We declare that if investing as trustee, on behalf of a superannuation fund or trust, I/we confirm that I am/we are acting in accordance with my/our designated powers and authority under the trust deed. In the case of superannuation funds, I/we also confirm that the superannuation fund is a complying fund under the Superannuation Industry (Supervision) Act 1993.

If this is a joint application, each investor acknowledges and agrees that investments in the Fund(s) are held as joint tenants and not as tenants in common (unless the Responsible Entity, Trustee or Issuer of the Fund(s) otherwise agrees).

I/We acknowledge that this Investment Application Form is accompanied by a current PDS, Offer Document and/or Information Memorandum for the Fund(s) which I/we have read.

I/We acknowledge that (if applicable) I/we have access to all statements and information incorporated by reference forming part of the PDS, Offer Document and/or Information Memorandum for the Fund(s). If I/we have received a Investment Application Form electronically I/we declare that it was accompanied by an electronic copy of the PDS, Offer Document and/or Information Memorandum for the Fund(s) or a printout of it, which I/we personally received.

## 5. Acknowledgments (continued)

I/We acknowledge and agree that: (i) U Ethical may at its sole discretion transact with me/us via straight through processing networks or other similar electronic messaging networks facilitating the exchange of electronic communications where U Ethical has notified me/us in writing prior to the availability of such service and (ii) U Ethical will not be liable to me/us for any loss whatsoever in connection with instructions sent by me/us via such networks which are not received by U Ethical and (iii) U Ethical may at its sole discretion cease transacting with me/us via such networks.

I/We have read and understood the information in the "Anti-Money Laundering and Counter Terrorism Financing" (AML) section of the IM, PDS or Offer Document, or Incorporation by Reference document forming part of the PDS and/or Offer Document for the Fund(s).

I/We acknowledge that the Know Your Client Form (KYC) form forms part of this Application Form.

I/We acknowledge that all information provided in this Application Form is true and correct.

I/We consent to U Ethical providing me/us with certain types of product disclosure (including but not limited to PDS, Offer Documents or Information Memorandum) and other types of Fund related documentation (including but not limited to annual reports) via digital disclosure (including but not limited to email and publication of documentation to U Ethical's website or online client portals).

I/We acknowledge that the terms and conditions set out in this Investment Application Form will govern all other investments I/we make in the Fund(s) to which this current application relates.

U Ethical must comply with Anti-Money Laundering (AML) Legislation, which requires us to, among other things, establish your identity. By completing this Fund Application Form, the Know Your Client (KYC) form relevant to you and providing us with information to establish your identity, you acknowledge and agree that:

- this information will be used by U Ethical to establish your identity for the purposes of the AML Legislation; and
- U Ethical will not be responsible or liable to you or any other person for any loss suffered where transactions are delayed, blocked, frozen or where U Ethical declines to process a transaction or ceases to provide you with a product or service in circumstances where U Ethical is unable to establish your identity or where U Ethical reasonably believes you are a Proscribed Person\*\*.

\*\* A Proscribed Person means any person or entity who U Ethical reasonably believes to be (i) in breach of the laws of any jurisdiction regarding economic or trade sanctions, or laws prohibiting money laundering or terrorism financing, or (ii) on a list of persons with whom dealings are proscribed by Australian laws or the laws of another recognised jurisdiction. A Proscribed Person includes any person or entity who U Ethical reasonably believes to act on behalf, or for the benefit of, a person or entity referred to in (i) and/or (ii).

A paper copy of the PDS, Offer Document and/or Information Memorandum for the Fund(s) is available free of charge upon request by contacting the U Ethical Client Service Centre.

### Signatory 1

Full name of signatory

Corporate title (if applicable); (Sole director/Director/Sole Secretary/Secretary/Trustee/Power of Attorney)

Signature

Date

### Signatory 2

Full name of signatory

Corporate title (if applicable); (Sole director/Director/Sole Secretary/Secretary/Trustee/Power of Attorney)

Signature

Date

Company Seal

**Individual investor:** Where the investment is in one name, the investor must sign.

**Joint investor:** Where the investment is in more than one name, all investors must sign.

**Corporate investor/Corporate trustee:** Must sign either: (a) under seal and signed by directors; or (b) by two directors or director and company secretary; or (c) by a sole director/sole secretary (where applicable).

**Superannuation/Trust:** Each trustee must sign.

**Authorised registered signatories:** Please provide a completed signatory list attached with this form (on page 6).

**Power of Attorney (POA):** Please provide a certified copy of the POA and a certified copy of the attorney(s) photo identification document (driver's licence or passport) along with certification that they have not received notice of revocation of that power.

## Additional authorised signatories

### Signatory 3

Title Given name(s)

Surname/ Family name

Date of birth DD / MM / YYYY  
 /  /

Address (PO Box not accepted)

Suburb State Postcode

Telephone

Email address

Signature (By signing below, I acknowledge the declarations in section 5)

Date  
 /  /

### Signatory 5

Title Given name(s)

Surname/ Family name

Date of birth DD / MM / YYYY  
 /  /

Address (PO Box not accepted)

Suburb State Postcode

Telephone

Email address

Signature (By signing below, I acknowledge the declarations in section 5)

Date  
 /  /

### Signatory 4

Title Given name(s)

Surname/ Family name

Date of birth DD / MM / YYYY  
 /  /

Address (PO Box not accepted)

Suburb State Postcode

Telephone

Email address

Signature (By signing below, I acknowledge the declarations in section 5)

Date  
 /  /

### Signatory 6

Title Given name(s)

Surname/ Family name

Date of birth DD / MM / YYYY  
 /  /

Address (PO Box not accepted)

Suburb State Postcode

Telephone

Email address

Signature (By signing below, I acknowledge the declarations in section 5)

Date  
 /  /