

# Platinum Global Fund<sup>®</sup>

## Product Disclosure Statement No.4

**Issue Date:** 29 October 2018

Issued by Platinum Investment Management Limited  
ABN 25 063 565 006  
AFSL 221935

mFund code: **PLM01**  
ARSN: 600 630 537

### Contents

1. About Platinum Asset Management	2
2. How the Platinum Global Fund works	2
3. Benefits of investing in the Platinum Global Fund	3
4. Risks of managed investment schemes	4
5. How we invest your money	4
6. Fees and costs	6
7. How managed investment schemes are taxed	7
8. How to apply	7
Application Form for New Investment	

### Platinum's Investor Services:

1300 726 700 (*Australia only*) – phone  
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+ 61 2 9255 7500 – phone  
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Level 8, 7 Macquarie Place,  
Sydney NSW 2000

### Platinum's website:

[www.platinum.com.au](http://www.platinum.com.au)

### Important information

This Product Disclosure Statement (“PDS”) has been prepared by Platinum Investment Management Limited, ABN 25 063 565 006, AFSL 221935 trading as Platinum Asset Management (“Platinum” or the “Responsible Entity”). This PDS provides a summary of the key information you need to make a decision about the Platinum Global Fund ARSN 600 630 537 (the “Fund”).

It includes references to important information contained in the Additional Information Booklet (“Booklet”) that forms part of this PDS. **You should consider both the information contained in this PDS and the Booklet before making a decision to invest in the Fund.** The PDS for the Fund and the Booklet are both available on Platinum’s website or you can contact us and a hard copy will be sent to you free of charge.

The Fund is open for investment to persons receiving the PDS in Australia or New Zealand.

The information in this document is general information only and does not take into consideration your individual objectives,

financial situation or needs. We recommend that you consult a licensed financial adviser to obtain financial advice that is tailored to suit your personal circumstances.

Neither Platinum nor any of its associates guarantees the return of any capital invested by you in the Fund or any level of return on your investment in the Fund.

### Updated information

While the terms and features of the Fund set out in the PDS are current at the issue date of the PDS, they may change in the future. We reserve the right to change the terms and features of the Fund in accordance with the constitution of the Fund (the “Constitution”) and relevant law.

Updated information which is not materially adverse is accessible from Platinum’s website or Investor Services. A paper copy of the updated information will be available free of charge upon request.

# 1. About Platinum Asset Management

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Platinum is an Australian-based manager specialising in international equities. Platinum is the Responsible Entity and investment manager of the Fund.

Platinum manages approximately A\$26 billion\*.

Platinum's investment strategy is applied with the aim of achieving absolute returns for Investors<sup>#</sup>. This is our central endeavour. It is complemented by monthly and quarterly communication to keep Investors abreast of our perspective and portfolio positioning.

Platinum is a fully owned subsidiary of Platinum Asset Management Limited ABN 13 050 064 287, a company listed on the Australian Securities Exchange ("ASX"). Platinum staff have relevant interests in the majority of Platinum Asset Management Limited's issued shares.

\* Figures are as at 31 August 2018. Funds under management will change from time to time. The latest figure can be obtained from Platinum's website or Investor Services.

<sup>#</sup> In this PDS, "Investor" or "Investors" means a unit holder or unit holders of the Fund as noted on the Fund's unit holder register.

## 2. How the Platinum Global Fund works

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The Fund is an Australian unit trust, registered as a managed investment scheme under the *Corporations Act 2001* (the "Corporations Act"). The Fund's Constitution sets the operating rules for the Fund and Investors, and the obligations and rights of Platinum as Responsible Entity. Investors in the Fund are bound by the terms of the Constitution.

When you invest in the Fund you will be issued units in the Fund. Each unit gives you an entitlement to a proportionate share of the capital and income of the Fund. You are not entitled to any of the Fund's underlying assets. Generally, the value of your units will vary as the market value of the assets in the Fund rises or falls.

### Applications

Platinum is a Foundation Member of the mFund Settlement Service ("mFund") operated by the ASX (mFund code: PLM01). Whilst the Fund is admitted as an mFund product, you can apply for units through mFund by placing a buy order for units with your licensed broker or financial adviser who uses a stockbroking service on your behalf, together with your application money.

Through mFund, the minimum initial investment in the Fund is A\$10,000. There is a minimum additional investment of A\$1,000. Platinum also offers a Regular Investment Plan.

Alternatively, you may apply for units by completing the Application Form included at the back of the PDS. Section 1 of the Application Form details, by investor type, the sections that are required to be completed. Once completed, sign the Application Form and send<sup>#</sup> to Platinum, together with your application money.

The minimum initial investment in the Fund for direct investments is A\$10,000 or NZ\$10,000. Subsequent additional investments are a minimum of A\$1,000. Platinum also offers a Regular Investment Plan.

<sup>#</sup> In certain circumstances when certified identification documentation is not required, you may fax or email to us, or otherwise upload via the Platinum secure client website, your completed Application Form. Although, if you use fax or email for this purpose we ask that you phone us to verify receipt – refer to 'Facsimile, email and internet – terms and conditions' on page 13 of the Booklet. Otherwise, you will need to mail or deliver the original completed Application Form, together with the identification documentation, to Platinum.

### Cut-off time for applications

Your application via mFund or completed Application Form (or written request if an additional investment) and application monies must be received and identified (and accepted by us)\* before 3.00pm AEST<sup>#</sup> on a Business Day to be processed with the entry price applicable to that Business Day. Applications received and identified (and accepted by us) after 3.00pm AEST on a Business Day (but before the next cut-off time) will generally be processed using the entry price applicable to the next Business Day.

\* Platinum has absolute discretion (under the Fund's Constitution) to accept or refuse any application for investment (for whatever reason). Once accepted by Platinum, applications are irrevocable subject to 'Cooling-off' – refer to page 8.

<sup>#</sup> In this PDS, "AEST" means Australian Eastern Standard Time in Sydney, as adjusted for any daylight savings.

### Unit pricing

Unit prices are calculated by the Fund's administrator, State Street Australia Limited ("SSAL"), and verified by Platinum. During normal market conditions, unit prices for the Fund are calculated on each Business Day\*.

\* In this PDS "Business Day" means every day banks are open for business in Sydney, Australia other than a Saturday, Sunday or public holiday.

The Fund's Net Asset Value ("NAV") divided by its units on issue provides the NAV unit price. Adding a buy spread to the NAV unit price determines the entry price and deducting a sell spread from the NAV unit price determines the exit price.

The Fund is forward priced. This means that when you invest you will not know the entry price that you will receive as it will not have been calculated and will be determined after your application has been accepted. If the application meets the processing requirements and cut-off time on a Business Day, it will generally be processed using the entry price applicable to that Business Day, but calculated on the next Business Day.

While the Fund is admitted as an mFund product, you will be able to view the price of units at [www.mfund.com.au](http://www.mfund.com.au). Please consult with a licensed broker who may also make pricing information available.

### Transfers

Investors may not transfer or agree to transfer any units in the Fund to another person or entity without Platinum's prior consent.

## 2. How the Platinum Global Fund works – *continued*

### Withdrawals

You can withdraw your investment in the Fund through mFund by lodging a request to withdraw units in the Fund with your licensed broker or financial adviser who uses a stockbroking service on your behalf.

Alternatively, if you have made a direct investment, you may request a withdrawal of all or part of your investment at any time directly from Platinum. To request a withdrawal:

- write to us – please state the name of the Fund, your investment account number and name, the amount you wish to withdraw, and how the proceeds are to be paid to you; or
- complete a Withdrawal Form (available from Platinum's website or Investor Services).

The written request or Withdrawal Form must be signed by an authorised signatory (or signatories where more than one is required) to the account. If you require us to pay proceeds to a new financial institution account (i.e. not one previously elected by you), we require your original signed written request or Withdrawal Form advising us of the new financial institution account.

If proceeds are to be paid by cheque or to your previously nominated financial institution account, you may fax or email to us or otherwise upload via the Platinum secure client website, your signed written request or Withdrawal Form, although if you use fax or email for this purpose we ask that you phone us to verify receipt – refer to 'Facsimile, email and internet – terms and conditions' on page 13 of the Booklet.

The minimum withdrawal amount is A\$10,000 or the entire investment balance in the Fund where the withdrawal would cause your investment in the Fund to fall below A\$10,000.

### Cut-off time for withdrawals

Your withdrawal via mFund or written request must be received (and accepted by us) prior to 3.00pm AEST on a Business Day to be processed with the exit unit price applicable to that Business Day. Withdrawal requests received and accepted after 3.00pm AEST on a Business Day (but before the next processing cut-off time) will generally be processed using the exit unit price applicable to the next Business Day.

The proceeds of your withdrawal are normally available within 10 Business Days of receipt of your written request or Withdrawal Form, given normal market operating conditions (or no later than 21 days following receipt of your request). In certain situations, which impact on the effective and efficient operation of a market for an asset or assets of the Fund, or in circumstances where we otherwise consider it to be in the best interests of Investors, we may choose to suspend the processing of all applications and withdrawals for the Fund.

If the Fund is not liquid (as defined in the Corporations Act), you may not withdraw from the Fund unless we make a withdrawal offer to you in accordance with the Corporations Act. We are not obliged to make such offers.

### Minimum amounts

Platinum reserves the right to waive any minimum investment or withdrawal amount at its sole discretion.

### Distributions

The Fund may earn income such as dividends and interest and may also realise capital gains or losses on the sale of investments. Income and net realised capital gains will be distributed to Investors annually as at 30 June. We also have discretion to make interim distributions during the financial year.

Distributions are calculated in dollars per unit on the number of units held as at the end of the distribution period (i.e. your distribution entitlement from the Fund is not pro-rated for the duration of your investment in the Fund during the tax year). Be aware that when such a distribution is made, the unit price will fully reflect the distribution.

Investors should receive their entitlement (if payable) within 15 Business Days after the end of the distribution period.

You should read the important information about applications, cut-off time for applications, unit pricing, transfers, withdrawals, cut-off time for withdrawals and distributions before making a decision to invest in the Fund. Go to Section 1 of the Booklet for more details. This information may change between the time you read this PDS and the day when you acquire units in the Fund.

## 3. Benefits of investing in the Platinum Global Fund

Platinum is one of Australia's largest investment managers in international equities.

Platinum has an independent style of investment management driven by a thematic stock picking approach. The composition of the Fund's assets is determined largely by the availability of companies regarded as undervalued by Platinum rather than by macro economic modelling (referred to as top down asset allocation) or by reference to global share index weightings (referred to as benchmarking).

The key benefits and features of investing in the Fund are summarised below:

- Access to a global fund manager based in Australia with a 20 year plus proven track record.

- A diversified portfolio accessing stocks across different countries and sectors that may not be available to individual investors.
- A bottom-up, stock selection methodology.
- An actively-managed portfolio that seeks absolute returns and not returns relative to an index.
- The Fund may be invested in cash when undervalued stocks cannot be found.
- The Fund can be used as a stand-alone investment option for international exposure or may be used to complement the investment styles of other managers.
- Access to a Regular Investment Plan.

## 4. Risks of managed investment schemes

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All investments carry risk. Different investment strategies may carry different levels of risk depending on the assets that make up the strategy. Assets with the highest long-term returns may also carry the highest level of short-term risk.

The value of investments will vary as will the level of returns. Future returns may differ from past returns. Returns are not guaranteed and Investors may lose some of their money.

The significant risks for the Fund are as follows:

**Manager risk:** The Fund's performance depends on the expertise and investment decisions of Platinum. Platinum's opinion about the intrinsic worth of a company or security may be incorrect, the Fund's investment objective may not be achieved and the market may continue to undervalue the securities held by the Fund.

**Market risk:** Security prices may decline over short or extended periods due to general market conditions, including but not limited to, inflation, foreign currency fluctuations and interest rates.

**Portfolio asset risk:** Investments in equity and equity related securities generally have greater price volatility risk than debt securities. The value of securities held in the Fund may decline because of the quality of the company's management, financial condition, operations and the general health of the sector in which the company operates. Share markets can experience exceptionally high levels of volatility affecting the value of the securities traded in those markets.

**Currency risk:** Investing in assets denominated in a currency other than the Fund's base or reporting currency may cause losses resulting from exchange rate fluctuations. Platinum may not hedge or any hedging strategies employed may not be successful.

**Derivative risk:** The Fund's use of derivatives may cause losses associated with changes in market conditions such as fluctuation in interest rates, equity prices or exchange rates and changes in the value of a derivative may not correlate perfectly with the underlying asset. Derivative transactions may be highly volatile and can create investment leverage, which could cause

the Fund to lose more than the amount initially contributed to the transaction.

**Foreign issuer risk:** Investments in foreign companies may decline in value because of sovereign, political, economic or market instability; the absence of accurate information about the companies; and/or risks of unfavourable government actions such as expropriation and nationalisation. Such securities may be less liquid, more volatile, and harder to value. In times of market disruptions (including but not limited to market closures), security prices may be delayed or unavailable. Some countries may have different legal systems, taxation regimes, auditing and accounting standards with less governmental regulation and transparency. These risks may be higher when investing in emerging markets.

**Liquidity risk:** The Fund may not be able to purchase or sell a security in a timely manner or at a desired price or achieve its desired weighting in a security.

**Counterparty risk:** Counterparties with whom the Fund deals with may default on their obligations to pay monies or deliver securities to the Fund.

**General regulatory and tax risk:** A government or regulator may introduce regulatory and/or tax changes or a court may make a decision regarding the interpretation of the law, which affects the value of the Fund's assets or the tax treatment of the Fund and its Investors.

**Fund and operational risks:** The following risks may adversely affect the Fund and its performance: the Fund could terminate, its features could change or Platinum may not be able to continue to act as Responsible Entity; third party service providers engaged by Platinum for the Fund may not properly perform their obligations and duties; or circumstances beyond the reasonable control of Platinum may occur, such as a failure of technology or infrastructure, or natural disasters.

You need to consider the level of risk that you are comfortable with, taking into account factors such as your age, your investment timeframe, other assets and investments that you have and your overall appetite for risk.

## 5. How we invest your money

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

### Investment objective

To provide capital growth over the long-term by investing in undervalued companies from around the world.

### Investment strategy

Platinum is an active manager focused on delivering long-term absolute returns (i.e. returns in absolute terms, rather than relative to any benchmark).

Platinum's investment philosophy is centred on the belief that there are times when events of a transitory nature may have a disproportionate effect on a company's share price, be they positive or negative, causing it to deviate from its inherent trend line.

Such events, in Platinum's view, present potential investment opportunities if one is able to differentiate between the companies that have a sound business case but are facing temporary set-backs, from those which have less potential or face fundamental problems.

Platinum's style of investment management is focused on seeking out the overlooked parts of the market. Its core expertise is in identifying companies that have sound businesses and promising growth prospects but are temporarily out-of-favour with the market.

To identify companies whose businesses and growth prospects are temporarily inappropriately valued by the market, Platinum builds each portfolio through a process of individual stock selection (the "bottom-up approach") rather than from any pre-determined asset allocation by macro-economic modelling (the so-called "top-down" model) or by reference to any index weightings (the so-called "benchmarking" model).

## 5. How we invest your money – *continued*

Platinum applies both qualitative and quantitative analyses when selecting stocks. Considerations in connection with each company typically include, but are not limited to:

- whether the company's business is competitive and sustainable;
- the quality of the company's management;
- the company's ownership structure;
- whether the company is financially sound;
- the company's price to earnings ratio, price to book ratio, and free cash flow; and
- whether the company is likely to generate free cash flow that will grow.

Such analyses are underpinned by observations and studies of broader socio-political and macroeconomic themes and trends.

Furthermore, companies need to behave in such a way so as to be able to sustain their future operations. This rationale is often referred to as Environmental, Social and Governance (ESG) considerations. In reality these elements are a component, amongst others, that affords a company's 'social licence' to continue to operate. Not acting within the expectations of the broader community will hurt the ongoing viability of a company and its prospects, thereby diminishing our expectations of the company's future return to shareholders.

### The Fund's investments

The Fund will ideally consist of 70 to 140 securities that Platinum believes to be undervalued by the market. The Fund is not required to allocate its investments in set percentages in particular countries or sectors and may invest in emerging markets without limit. Cash may be held when opportunities to make investments in undervalued securities are scarce. Accordingly, the Fund may at times hold significant cash positions.

The Fund's assets are typically invested in equities, cash and cash equivalents and exchange traded derivatives.

Asset classes	Asset allocation range
Equities	0-100%
Cash and cash equivalents	0-100%
Derivatives (exchange traded)	0-10%

### Derivatives

Platinum may use derivatives to manage the Fund's foreign currency exposure. The Fund may invest no more than 10% of its NAV in exchange traded derivatives to gain access to foreign markets or to take opportunities to increase returns.

### Short selling

There is no short selling in the Fund.

### Borrowing

Platinum's policy is not to borrow on behalf of the Fund for the purpose of investing the money borrowed.

**The Fund's invested position may change significantly over time.** Up-to-date information (for example daily unit prices, month-end invested position and historical performance) is available from Platinum's website or Investor Services. A paper copy is available free of charge on request.

### Minimum suggested time horizon

Five or more years.

### Investor suitability

The Fund may be suitable for an investor that:

- believes in the long-term wealth creation potential of share investments;
- wishes to achieve investment diversification by accessing international share market opportunities; and
- understands and accepts that returns over the shorter term may fluctuate and that returns may even be negative.

### Income distribution

Annually as at 30 June. We also have a discretion to make interim distributions during the financial year.

### Fund registered

22 July 2014.

### Risk level of the Fund

High risk – the Fund offers the potential for favourable levels of return over the long term but may experience periods of negative and/or volatile returns, and loss of value and capital.

### Environmental, social and governance (ESG) considerations in investing

Platinum is a fundamental equity investor and believes that private enterprise plays a central role in wealth creation and social advancement. It is also our belief that value creation for shareholders ought to be aligned with value creation for society at large. Platinum invests with a long-term outlook (typically five years or more) and, as part-owners of the enterprises in which we invest, it is paramount to us that they maintain their social licence to operate. As such, Platinum views social and environmental sustainability as well as sound corporate governance as being vital to a company's long-term viability, growth and profitability.

You should read the important information about how we invest your money in the context of ESG considerations. Go to Section 2 of the Booklet. This material may change between the time you read this PDS and the day you acquire units in the Fund.

## 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 account 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 contribution fees and management costs where applicable. Ask us 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)** website ([www.moneysmart.gov.au](http://www.moneysmart.gov.au)) has a managed funds fee calculator to help you check out different fee options.

The managed funds fee calculator can also be used to calculate the effect of fees and costs on account balances. This document shows the fees and costs 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 another part of this document. You should read all the information about fees and costs because it is important to understand their impact on your investment.

Type of fee or cost	Amount	How and when paid
<b>Fees when your money moves in or out of the managed investment product</b>	Nil	
<b>Establishment fee</b> The fee to open your investment	Nil	
<b>Contribution fee</b> The fee on each amount contributed to your investment	Nil	
<b>Withdrawal fee</b> The fee on each amount you take out of your investment	Nil	
<b>Exit fee</b> The fee to close your investment	Nil	
<b>Management costs</b> The fees and costs for managing your investments		
<b>Investment management fee*</b>	1.35%	This fee is calculated as a percentage of the Fund's NAV. The fee is accrued daily and reflected in the Fund's daily unit price. It is paid to Platinum monthly out of the assets of the Fund.
<b>Total management costs</b>	<b>1.35%</b>	

You should use the above table to compare this product with other managed investment products.

\* The investment management fee is inclusive of GST and net of any expected reduced input tax credits. As the Fund invests predominantly in international securities, the impact of GST on management costs is currently negligible. To the extent that the GST impact on the Fund changes, for example exposure to Australian securities increases, the actual management cost figure may differ from that stated.

**Warning:** Additional fees may be payable by you if a financial adviser is consulted, or to the licensed broker or financial adviser who uses a stockbroking service on your behalf for using mFund. For more detail, refer to the 'Additional explanation of fees and costs' on page 9 of the Booklet and the Statement of Advice (if any) provided to you by your financial adviser.

### Example of annual fees and costs

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

Example	Balance of \$50,000 with a contribution of \$5,000 during the year	
Contribution fees	Nil	Nil
<b>PLUS</b> Management costs	1.35%	For every \$50,000 you have in the Fund you will be charged \$675 each year.
<b>EQUALS</b> Cost of the Fund		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 <b>\$675</b> .

The example above assumes that the extra \$5,000 contribution is made on the last day of the year so that the management costs are only incurred on the original \$50,000 balance.

## 6. Fees and costs – *continued*

The above is an example. In practice, your investment balance and the value of the Fund will vary daily. The actual fee charged is based on the value of the Fund and will vary with the value of the Fund.

### Total transactional and operational costs

In accordance with the Corporations Regulations, we have provided an estimate of net transactional and operational costs in respect of the 2017/2018 financial year for the Fund.

Total transactional and operational costs* (% pa of NAV)	Recovery through buy/sell spread (% pa of NAV)	Net transactional and operational costs (% pa of NAV)	For every \$50,000 you have in a Fund you will incur approximately:
0.18%	(0.09%)	0.09%	\$45

\* Excludes the investment management fee.

The above information is an estimate of the transactional and operational costs incurred for the 2017/2018 financial year. The net transactional and operational costs set out above take into account the buy/sell spread recovered in respect of the 2017/2018 financial year. In practice, your investment balance, plus the Fund's volume of trading and the number and value of applications/withdrawals processed will vary from year to year.

### Buy/sell spread

Buy spreads are charged to enter the Fund and sell spreads are charged to exit the Fund. They are charged because entering or exiting the Fund necessitates the buying or selling of investments, which means the Fund will incur transactional and operational costs to invest application monies received or sell assets to fund withdrawal payments.

The buy/sell spreads aim to ensure that non-transacting Investors do not pay the transactional and operational costs associated with an Investor entering or exiting the Fund.

The buy/sell spreads are built into the Fund's entry and exit unit prices, respectively, and will impact the return on your investment. They are retained by the Fund and are not fees paid to Platinum.

The current buy/sell spreads for the Fund are available on Platinum's website at <https://www.platinum.com.au/Our-Products/All-Products/Platinum-Global-Fund>. Any changes to the buy/sell spreads will be updated on Platinum's website at this link.

### Changes to fees

We have the right to increase the fees or to charge fees not currently levied, or charge fees more regularly, up to the maximum limits set forth in the Fund's Constitution. If we choose to exercise this right, we will provide you with 30 days' prior notice.

### Differential Fees

In accordance with the ASIC Corporations (Registered Schemes – Differential Fees) Instrument 2017/40, Platinum may, in its discretion and in accordance with applicable law, negotiate and agree a lower investment management fee or a rebate or a waiver of part of its investment management fee for:

- a wholesale client within the meaning of section 761G of the Corporations Act; or
- an employee of Platinum or a related body corporate, provided that the number of votes that may be cast on a resolution of the relevant Fund's Investors by Investors who are employees, is not more than 5% of the total votes that may be cast by the Fund's Investors.

You should read important information about fees and costs before making a decision to invest. Go to Section 3 of the Booklet. This material may change between the time you read this PDS and the day you acquire units in the Fund.

## 7. How managed investment schemes are taxed

Investing in a managed investment scheme is likely to have tax consequences. You are strongly advised to seek professional tax advice.

Investors in the Fund will be taxed on the trust components attributed to them under the Attribution Managed Investment Trust ("AMIT") regime. The components attributed may include foreign income, capital gains, interest income and tax offsets.

Investors will be advised of any cost base adjustments required to be made to their units in the Fund.

A taxable capital gain or loss may be realised when withdrawing units in the Fund.

You should read the important information about taxation before making a decision to invest. Go to Section 4 of the Booklet. This material may change between the time you read this PDS and the day you acquire units in the Fund.

## 8. How to apply

Prior to making an investment in the Fund, please read the PDS and Booklet.

Platinum is a Foundation Member of mFund. You can apply for units through mFund by placing a buy order for units with your licensed broker or financial adviser who uses a stockbroking service on your behalf.

Alternatively, you can invest directly with Platinum by completing the Application Form included at the back of the PDS.

Section 1 of the Application Form details, by investor type, the sections that are required to be completed. Once completed, sign the Application Form and send to Platinum, together with your application money. In circumstances where certified identification documentation is not required, you may fax or email to us, or otherwise upload via the Platinum secure client website, your completed Application Form. Otherwise, you will need to mail or ensure delivery of the original completed Application Form, together with the identification documentation to Platinum.

## 8. How to apply – *continued*

### Cooling-off

Investments of less than \$500,000 in the Fund (and that are not otherwise made by a 'wholesale client' as defined by the Corporations Act) give rise to a cooling-off right.

It provides the Investor with a 14 day cooling-off period to decide if the investment in the Fund is right. The 14 day period commences on the earlier of the date of receiving the transaction confirmation or the fifth day after the investment is processed.

A cooling-off right will not arise in certain circumstances, including where units are issued pursuant to an additional investment, a Regular Investment Plan, or as part of a distribution arrangement. It is also not available to an 'Indirect investor' – please refer to page 16 of the Booklet.

If cooling-off is exercised, the amount repaid will be based on the applicable exit unit price (meaning the increase or decrease in the value of your investment will be taken into account). Please refer to 'Cooling-off' on page 16 of the Booklet for more details.

### Complaints

Platinum has standard arrangements in place for the handling of complaints. If you have a complaint about your investment in a Fund, please contact Investor Services. We will acknowledge a complaint within four Business Days and will make every effort to resolve your issue within 30 days.

If your complaint remains unresolved after 45 days, you may lodge a complaint:

- with the Financial Ombudsman Service Australia, if lodged before 1 November 2018:

Online: [www.fos.org.au](http://www.fos.org.au)

Email: [info@fos.org.au](mailto:info@fos.org.au)

Phone: 1800 367 287

Mail: Financial Ombudsman Service Limited  
GPO Box 3  
Melbourne VIC 3001

- with the Australian Financial Complaints Authority, if lodged on or after 1 November 2018:

Online: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto:info@afca.org.au)

Phone: 1800 931 678

Mail: Australian Financial Complaints Authority  
GPO Box 3  
Melbourne VIC 3001

You should read the important information about cooling-off and complaints before making a decision to invest in the Fund. Go to Section 5 of the Booklet for more details. The material relating to how to apply may change between the time when you read this PDS and the day when you acquire units in the Fund.

### Warning Statement for New Zealand Investors

A. This offer to New Zealand investors is a regulated offer made under Australian and New Zealand law. In Australia, this is Chapter 8 of the Corporations Act 2001 (Cth) and regulations made under that Act. In New Zealand, this is subpart 6 of Part 9 of the Financial Markets Conduct Act 2013 and Part 9 of the Financial Markets Conduct Regulations 2014.

B. This offer and the content of the offer document are principally governed by Australian rather than New Zealand law. In the main, the Corporations Act 2001 (Cth) and the regulations made under that Act, set out how the offer must be made.

C. There are differences in how financial products are regulated under Australian law. For example, the disclosure of fees for managed investment schemes is different under the Australian regime.

D. The rights, remedies, and compensation arrangements available to New Zealand investors in Australian financial products may differ from the rights, remedies, and compensation arrangements for New Zealand financial products.

E. Both the Australian and New Zealand financial markets regulators have enforcement responsibilities in relation to this offer.

If you need to make a complaint about this offer, please contact the Financial Markets Authority, New Zealand (<https://www.fma.govt.nz>). The Australian and New Zealand regulators will work together to settle your complaint.

F. The taxation treatment of Australian financial products is not the same as for New Zealand financial products.

G. If you are uncertain about whether this investment is appropriate for you, you should seek the advice of an appropriately qualified financial adviser.

H. The offer may involve a currency exchange risk. The currency for the financial products is not New Zealand dollars. The value of the financial products will go up or down according to changes in the exchange rate between that currency and New Zealand dollars. These changes may be significant.

I. If you expect the financial products to pay any amounts in a currency that is not New Zealand dollars, you may incur significant fees in having the funds credited to a bank account in New Zealand in New Zealand dollars.

J. The dispute resolution process described in this offer document is only available in Australia and is not available in New Zealand.

### Continuous disclosure documents

The Fund is a disclosing entity and is subject to regular reporting and disclosure obligations.

Copies of documents lodged with ASIC in relation to the Fund may be obtained from, or inspected at, an ASIC office. We can also provide you with a copy (free of charge) of:

- the Fund's annual financial report (including financial statements) most recently lodged with ASIC;
- any half-yearly financial report lodged with ASIC in respect of the Fund; and
- any continuous disclosure notices given for the Fund after the lodgement of the annual financial report.

Continuous disclosure notices (if any) and the annual financial report is also available from Platinum's website.



# PLATINUM GLOBAL FUND

## Application Form for New Investment

Platinum use only

**This form is to be used for direct investments into the Fund and not if applying via mFund.**

You should consider both the information contained in the Product Disclosure Statement ("PDS") and Additional Information Booklet ("Booklet") before making a decision to invest in the Fund.

### Section 1 – Introduction and Guide

#### 1.1 Identification Information and Documentation already been given to Platinum?

As detailed on page 15 of the Booklet, Australia's Anti-Money Laundering and Counter-Terrorism Financing ("AML/CTF") legislation obliges us to collect certain information and documentation ("Identification Information and Documentation") from prospective investors ("Applicants"). The minimum requirements prescribed by AUSTRAC are set out overleaf of the sections of this Application Form to be completed. Platinum may be unable to process your ("application for investment") without the required Identification Information and Documentation.

In some cases, we may request additional Identification Information and/or Documentation to fulfil our AML/CTF obligations.

#### 1.2 Type of Applicant / Investor

Please tick to indicate your Investor type and complete all referenced sections. **ALL Applicants must complete Sections 8, 9, 10 and 11.**

Type	Sections to be completed	Pages
<input type="checkbox"/> <b>Individual(s)</b> Including where investing as a parent / guardian of a minor	2, 8, 9, 10 and 11	3-4, 23, 25-31, 33-41
<input type="checkbox"/> <b>Trust (including an Australian superannuation fund),</b> with individual trustee(s)	2, 3, 8, 9, 10 and 11	3-7, 23, 25-31, 33-41
<input type="checkbox"/> <b>Trust (including an Australian superannuation fund),</b> with corporate trustee	3, 4, 8, 9, 10 and 11	5-11, 23, 25-31, 33-41
<input type="checkbox"/> <b>Company</b>	4, 8, 9, 10 and 11	9-11, 23, 25-31, 33-41
<input type="checkbox"/> <b>Partnership</b>	5, 8, 9, 10 and 11	13-15, 23, 25-31, 33-41
<input type="checkbox"/> <b>Association / Co-operative</b>	6, 8, 9, 10 and 11	17-19, 23, 25-31, 33-41
<input type="checkbox"/> <b>Agent</b> for Applicant (including under power of attorney)	7 and section relevant to Applicant (i.e. 2, 3, 4, 5 or 6), 8, 9, 10 and 11	

If the above categories are not applicable, please contact Investor Services.

**INVESTOR SERVICES**  
**1300 726 700 (Australia only)**  
**0800 700 726 (New Zealand only)**  
**+61 2 9255 7500**  
**invest@platinum.com.au**

**PLATINUM'S WEBSITE**  
**www.platinum.com.au**

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## Section 2 – Individual(s) / Individual Trustee(s)

Complete this section if you are investing in your own name(s) (including as a sole trader), or as a parent / guardian of a minor, or as an individual trustee of a trust. All other Applicants should refer to **Section 1.2** for reference to the applicable sections.

The AML/CTF documentation required in support of this Application for Investment is outlined overleaf for individual(s) (including as a sole trader) and in the trust section (Section 3) for Individual Trustee(s).

### 2.1 In what capacity is this investment being made?

Tick **one** box and complete the specified parts of Section 2:

- In my name only – **Section 2.2**
- In my name as a sole trader – **Sections 2.2 & 2.3**
- Jointly with other individual(s) – **Sections 2.2, 2.4 & 2.6**
- As a parent / guardian of a minor – **Sections 2.2, 2.5**  
(if second parent / guardian), **2.4 & 2.6**
- As individual trustee(s) for a trust – **Sections 2.2, 2.4 & 2.6**  
(also complete **Section 3**)

### 2.2 Individual 1

Title  Date of birth (dd/mm/yy)  /  /

Given name(s) (in full)

Surname

Citizenship (non-Australian citizens)

TFN or exemption code (Australian residents)

Tax residence (non-Australian residents)

Residential address (not a PO Box)

Suburb

State  Postcode  Country

### 2.3 Sole Trader Details (if applicable)

Business name (if any, in full)

ABN (if obtained)

### 2.4 Individual 2

Title  Date of birth (dd/mm/yy)  /  /

Given name(s) (in full)

Surname

Citizenship (non-Australian citizens)

TFN or exemption code (Australian residents)

Tax residence (non-Australian residents)

Residential address (not a PO Box)

Suburb

State  Postcode  Country

**If there are more than two Individuals / Individual Trustees, please provide details as an attachment.**

### 2.5 Account Designation (for Minors)

If making this investment as a parent / guardian on behalf of a minor, provide that person(s) name as an account designation / reference:

  


### 2.6 Signing Authority (for applications with two or more individual Applicants)

Please tick to indicate signing requirements for withdrawal requests, transfers or change of account details:

- any **one** Applicant to sign
- all Applicants to sign

If no selection is made, 'all Applicants to sign' will be assumed.

If you wish to appoint a third party to operate your account, please complete an Operating Authority Form (available from Platinum's website or Investor Services).

## INDIVIDUALS

If you are acting as an individual trustee(s) of a trust (including an Australian superannuation fund) please refer to identification document(s) requirements outlined in Section 3 (page 6).

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from our Applicants – refer to 'AML/CTF legislative requirements' on page 15 of the Booklet. Such documents must be provided by you (or your agent) in a **CERTIFIED COPY FORMAT** (refer to page 44 of this Application Form for requirements). Non-English written identification documents require a 'translation' (refer to page 44 of this Application Form for requirements).

Please provide all documents in the proper form otherwise we may not be able to process your Application for Investment.

Please do not send original documents as we cannot guarantee their return. Any original document(s) sent to us will be returned by ordinary mail. We will not accept any responsibility for lost documents.

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### IDENTIFICATION DOCUMENTATION – INDIVIDUALS

**Each Individual Applicant** must provide:

- **one** Primary Document (Section 2.A); OR
- **two** Secondary Documents (Section 2.B), being two from Group A, or one from Group A and one from Group B.

---

#### 2.A Primary Documents

Please tick which **one** you are providing:

- AUS passport – current or recently expired (i.e. within the last two years)
- Passport issued by a foreign government, the United Nations ("UN") or an agency of the UN – current and provides your photograph and signature
- AUS driver's licence or permit (or equivalent issued by a foreign Government) – current and provides your photograph
- Identity or Proof of Age Card issued by AUS government (Cth, state or territory) – current and provides your photograph
- Identity card issued by a foreign government, the UN or an agency of the UN – current and provides your photograph and signature

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#### 2.B Secondary Documents

##### Group A

Please tick which **one** you are providing:

- AUS birth certificate (or extract thereof)
- Citizenship certificate (issued by AUS or a foreign government)
- Birth certificate (issued by a foreign government, the UN or an agency of the UN)
- Concession card issued by the Australian Government Department of Human Services (e.g. Health Care Card, Pensioner Concession Card)

##### Group B

Please tick which **one** you are providing:

- AUS government (Cth, state or territory) notice – stating your name, residential address, and financial benefits being received under Australian law (dated within the last 12 months)
- ATO notice – stating your name, residential address, and taxation debt owing / payable (dated within the last 12 months)
- Notice issued by a local government body or utilities provider – stating your name, residential address, and the services being received e.g. rates notice, electricity, or water (dated within the last three months)

## Section 3 – Trust (including an Australian Superannuation Fund)

Complete this section if you are investing for, or on behalf of, a Trust (including an Australian superannuation fund). All other Applicants should refer to **Section 1.2** for reference to the applicable sections.

The AML/CTF documentation required in support of this Application for Investment is outlined overleaf.

### 3.1 Trust Details

Trust / Fund name (in full)

Business name (if any, in full)

ABN (if any)

Country in which Trust was established

TFN or exemption code (Australian residents)

Tax residence (non-Australian residents)

### 3.2 Type of Trust

Tick **one** box to indicate the type of Trust and provide the information specified:

**Self-managed superannuation fund**

Provide ABN

**Australian unregulated trust**

Provide description (e.g. family, private protective, charitable, trading, testamentary)

Also provide Beneficiary, Settlor and Beneficial Owner Details (Sections 3.3, 3.4 and 3.5)

**Non-Australian pension fund**

Provide name of regulator

Provide registration / licensing details

Also provide Beneficiary, Settlor and Beneficial Owner Details (Sections 3.3, 3.4 and 3.5)

**Other non-Australian trust**

Provide description

Also provide Beneficiary, Settlor and Beneficial Owner Details (Sections 3.3, 3.4 and 3.5)

**Registered managed investment scheme**

Provide ARSN

**Government superannuation fund**

Provide name of legislation establishing the fund

**Other Australian regulated trust**

Provide name of regulator (e.g. ASIC, APRA, ATO)

Provide registration / licensing details

### 3.3 Beneficiary Details

Complete Section 3.3 **only if** 'Australian unregulated trust', 'Non-Australian pension fund' or 'Other non-Australian trust' is selected in Section 3.2.

**Does the trust deed name the beneficiaries?**

**YES**  How many beneficiaries are there?

Provide the full name of each beneficiary:

1

2

3

4

5

6

**If more than 6 beneficiaries, please provide details as an attachment.**

**NO**

Describe the class of beneficiary:

(e.g. unit holders, family members of a named person, charitable purpose)

Section 3 continued page 7.

**Please note:** A trust (including an Australian superannuation fund) is not a "legal person" and cannot be the Applicant in its own right. The trustee is the legal Applicant. Therefore, an Application Form cannot be accepted where the trustee details are missing from Section 2 (in respect of Individual trustees) or Section 4 (for a corporate trustee).

## TRUST / SUPERANNUATION FUND

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from our Applicants – refer to 'AML/CTF legislative requirements' on page 15 of the Booklet. Such documents must be provided in a **CERTIFIED COPY FORMAT** (refer to page 44 of this Application Form for requirements). Non-English written identification documents require a 'translation' (refer to page 44 of this Application Form for requirements).

Please provide all documents in the proper form otherwise we may not be able to process your Application for Investment.

Please do not send original documents as we cannot guarantee their return. Any original document(s) sent to us will be returned by ordinary mail. We will not accept any responsibility for lost documents.

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### IDENTIFICATION DOCUMENTATION – TRUST / SUPERANNUATION FUND

The identification documents to provide depend on the type of trust and type of trustee.

#### Regulated Trusts

Self-managed superannuation funds / Registered managed investment schemes / Other Australian regulated trusts / Government superannuation funds

No documents are required at this time for either the trustee or the trust. We may, however, request documents at a later time to verify an inconsistency that arises in respect of information provided on this Application Form and Australian public records.

#### Unregulated Trusts

Australian unregulated trust, Non-Australian pension fund, Other non-Australian trust

You are required to provide:

- **one** Trust Identification Document (Section 3.A); and
- **Trustee Identification Document(s)**, depending on whether an Individual or corporate trustee (Section 3.B); and
- **Identification Document(s) for any individual(s)** listed in Section 3.4 (Settlor) and 3.5 (Beneficial Owner) (Section 3.C).

---

### 3.A Trust Identification Documents

Please tick which **one** you are providing:

- Trust Deed – entire copy or an extract showing the full name of the Trust and the name of the settlor (if applicable)
- Minutes of a meeting (signed) – showing the full name of the Trust
- Prospectus / PDS / Offering memorandum – entire copy or an extract showing the full name of the Trust
- Annual report / Audited financial statements – entire copy
- A letter from a qualified lawyer or qualified accountant confirming the existence of the Trust – must be original letter

---

### 3.B Trustee Identification Documents

Which type of trustee are you:

- Individual trustee(s)** – **one** Individual trustee is to provide the identification documentation set out for individuals on page 4
- Corporate trustee** – Provide the identification documentation for the company as set out on page 10. (This is inclusive of any beneficial owners of the company)

---

### 3.C Verification of any Settlor or Beneficial Owner(s) of the trust

All individuals listed as either a settlor (Section 3.4) or beneficial owner (Section 3.5) **must** provide identification documents as set out in Sections 2.A or 2.B on page 4 (e.g. one Primary Document or two Secondary Documents, being two from Group A, or one from Group A and one from Group B).

### 3.4 Settlor Details

Complete Section 3.4 **only if** 'Australian unregulated trust', 'Non-Australian pension fund' or 'Other non-Australian trust' is selected in Section 3.2.

**The full name of the settlor of the trust** (Refer to definition of 'settlor' on page 44).

Settlor details **are not** required if the material asset contribution to the trust by the settlor at the time the trust was established was less than \$10,000 or the settlor is deceased.

### 3.5 Beneficial Owner(s)

Complete Section 3.5 **only if** 'Australian unregulated trust', 'Non-Australian pension fund' or 'Other non-Australian trust' is selected in Section 3.2.

You must provide details of each individual who ultimately (whether directly or indirectly):

- owns 25% or more of the trust; or
- controls the trust, for example a person who has the capacity to determine decisions about financial and operating policies. (Refer to definition of 'control' on page 44).

If there is no one under this category, then any individual who holds the power to appoint or remove the trustees of the trust. This role is usually described as the 'appointer', but may also be called the 'custodian' or 'principal', and should be noted in the trust deed.

#### Beneficial Owner 1

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Beneficial Owner 2

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Beneficial Owner 3

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Beneficial Owner 4

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### 3.6 Trustee Details – Individual(s)

If 'Australian unregulated trust', 'Non-Australian pension fund' or 'Other non-Australian trust' (selected in Section 3.2), details must be provided for **ALL individuals** appointed as trustee for the trust.

Otherwise, details must be provided for at least **one individual** appointed as trustee of the trust.

Complete **Section 2** to supply the information.

### 3.6 Trustee Details – Company

Please complete **Section 4** to supply the information.

This page has been left blank intentionally



## Section 4 – Company / Corporate Trustee

Complete this section if you are investing for, or on behalf of, a company, or where a company is acting as trustee for a trust. All other Applicants should refer to **Section 1.2** for reference to the applicable sections.

The AML/CTF documentation required in support of this application is outlined overleaf for a company and in the trust section (Section 3) for a corporate trustee.

### 4.1 Company Type

Tick **one** box and complete the specified parts of Section 4:

- Australian proprietary company – **Sections 4.2, 4.5, 4.6 & 4.7**
- Australian public company – **Sections 4.2 & 4.5 (if unlisted / unregulated also Section 4.7)**
- Non-Australian private company – **Sections 4.2, 4.4, 4.5, 4.6 & 4.7**
- Non-Australian public company – **Sections 4.2, 4.4 & 4.5 (if unlisted also Section 4.7)**

Corporate margin lenders / nominees / custodians should also complete **Section 4.3**.

### 4.2 Company Details

Company name (in full)

Business name (if any, in full)

Country of incorporation (formation)

ABN (if registered in Australia)

ACN (if registered in Australia)

Contact name (at Company)

Registered address in Australia (not a PO Box)

Suburb

State

Postcode

Country

Principal place of business in Australia (not a PO Box)

Tick if same as registered address, otherwise provide:



Suburb

State

Postcode

Country

TFN or exemption code (Australian residents)

Tax residence (non-Australian residents)

### 4.3 Account Designation / Reference

Corporate margin lenders / nominees / custodians should provide an account designation / reference:




### 4.4 Additional Details for non-Australian Company

If registered with ASIC, provide:

ARBN

If registered with a non-Australian regulatory body, provide:

Name of regulatory body (in full)

ID number or reference (issued by the regulatory body)

Company's address (as registered with regulatory body)



Suburb

State

Postcode

Country

If **not** registered with ASIC or a non-Australian regulatory body, provide:

Company's principal place of business address in **home country**



Suburb

State

Postcode

Country

Section 4 continued page 11.

## COMPANY

If you are acting as corporate trustee(s) of a trust (including an Australian superannuation fund) please refer to identification document(s) requirements outlined in Section 3.

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from our Applicants – refer to 'AML/CTF legislative requirements' on page 15 of the Booklet. Such documents must be provided by the Company (or its agent) in a **CERTIFIED COPY FORMAT** (refer to page 44 of this Application Form for requirements). Non-English written identification documents require a 'translation' (refer to page 44 of this Application Form for requirements).

Please provide all documents in the proper form otherwise we may not be able to process your Application for Investment.

Please do not send original documents as we cannot guarantee their return. Any original document(s) sent to us will be returned by ordinary mail. We will not accept any responsibility for lost documents.

---

### IDENTIFICATION DOCUMENTATION – COMPANY

As a company, you will need to complete both **Verification of a Company and Verification of Beneficial Owners**.

#### Verification of a Company

Australian companies should refer to Section 4.A.

Non-Australian companies must provide any one document detailed in Section 4.B.

#### Verification of Beneficial Owners

You must complete for all individuals listed in 4.7 Beneficial Owner(s).

- **one** Primary Document (Section 4.C); OR
- **two** Secondary Documents (Section 4.D), being two from Group A, or one from Group A and one from Group B.

---

#### 4.A Australian Company

No documents are required at this time for the company. We may, however, request documents at a later time to verify an inconsistency that arises in respect of information provided on this Application Form and Australian public records.

Please proceed to verification of Beneficial Owner – Section 4.C or 4.D.

---

#### 4.B Non-Australian Company

Please tick which **one** you are providing:

- Company's Certificate of Registration / Incorporation – issued by ASIC or by a regulatory or government authority in home country, which states the Company's type (i.e. public or private) and registration number
- Company's Articles of Association (or Constitution) – an extract showing the Company's full name and type
- Company's Public Offer Document – an extract showing the Company's full name and type

Please proceed to verification of Beneficial Owner – Section 4.C or 4.D.

---

#### 4.C Beneficial Owner – Primary Documents

Please tick which **one** you are providing:

- AUS passport – current or recently expired (i.e. within the last two years)
- Passport issued by a foreign government, the United Nations ("UN") or an agency of the UN – current and provides your photograph and signature
- AUS driver's licence or permit (or equivalent issued by a foreign government) – current and provides your photograph
- Identity or Proof of Age Card issued by AUS Government (Cth, state or territory) – current and provides your photograph
- Identity card issued by a foreign government, the UN or an agency of the UN – current and provides your photograph and signature

---

#### 4.D Beneficial Owner – Secondary Documents

##### Group A

Please tick which **one** you are providing:

- AUS birth certificate (or extract thereof)
- Citizenship certificate (issued by AUS or a foreign government)
- Birth certificate (issued by a foreign government, the UN or an agency of the UN)
- Concession card issued by the Australian Government Department of Human Services (e.g. Health Care Card, Pensioner Concession Card)

##### Group B

Please tick which **one** you are providing:

- AUS government (Cth, state or territory) notice – stating your name, residential address, and financial benefits being received under Australian law (dated within the last 12 months)
- ATO notice – stating your name, residential address, and taxation debt owing / payable (dated within the last 12 months)
- Notice issued by a local government body or utilities provider – stating your name, residential address, and the services being received e.g. rates notice, electricity, or water (dated within the last three months)

### 4.5 Regulatory / Listing Details

If the company is regulated or listed, select the relevant category and provide the information requested.

#### Regulated company

A company whose activities are subject to the oversight of a statutory regulator. In this context regulated means subject to supervision beyond that provided by a company registration body. Examples of regulated companies in Australia include Australian Financial Services Licensees (AFSL), Australian Credit Licensees (ACL) or Registrable Superannuation Entity (RSE) Licensees.

Regulator name

Licence details

#### Listed on a recognised market / exchange

Name of market / exchange

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

Australian listed company name

Name of market / exchange

### 4.6 Director Information

**Australian proprietary companies and non-Australian private companies** to provide the **full** name of **each** director of the Company:

1

2

3

4

5

6

If there are additional directors, please provide details as an attachment.

### 4.7 Beneficial Owner(s)

To be completed by Australian and non-Australian proprietary (also known as private) companies. Public companies that are not listed or licensed and subject to regulatory oversight must also complete this section.

You must provide details of each individual who ultimately (whether directly or indirectly):

- owns 25% or more of the issued capital of the company; or
- controls the company, for example a person who has the capacity to determine decisions about financial and operating policies. (Refer to definition of 'control' on page 44).

If there is no one under this category, then please provide details of any individual who is entitled to exercise 25% or more of the voting rights, including a power of veto.

If there is no one that satisfies either of these categories, then provide the details of any individual who holds the position of senior managing official (or equivalent).

#### Beneficial Owner 1

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Beneficial Owner 2

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Beneficial Owner 3

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Beneficial Owner 4

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

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## Section 5 – Partnership

Complete this section if you are investing for, or on behalf of, a partnership. All other Applicants should refer to **Section 1.2** for reference to the applicable sections.

The AML/CTF documentation required in support of this Application for Investment is outlined overleaf.

### 5.1 Partnership Details

Partnership name (in full)

Business name (if any, in full)

Country in which Partnership was established

ABN (if obtained)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Registered address (not a PO Box)

Suburb

State

Postcode

Country

TFN or exemption code (Australian residents)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Tax residence (non-Australian residents)

### 5.2 Partner Details

AML/CTF legislation requires details of **one** partner to be provided.

The partner detailed in this section is required to provide the 'Partner Identification Documents' stated overleaf (Section 5.B) and will be verified for AML/CTF purposes.

Title

Date of birth (dd/mm/yy)

		/			/		
--	--	---	--	--	---	--	--

Given name(s) (in full)

Surname

Citizenship (non-Australian citizens)

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### 5.3 Regulatory Information

**Is the Partnership regulated by a professional association?**

**YES** – provide details:

Association's name (in full)

Association's website address (if any)

Partnership's membership number / reference

**NO** – You are required (under AML/CTF legislation) to provide the full name and residential address of **every other partner** in the partnership:

#### Partner 2

Title

Given name(s) (in full)

Surname

Residential address (not a PO Box)

Suburb

State

Postcode

Country

#### Partner 3

Title

Given name(s) (in full)

Surname

Residential address (not a PO Box)

Suburb

State

Postcode

Country

**If there are additional Partners, please provide details as an attachment.**

Section 5 continued page 15.

## PARTNERSHIP

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from our Applicants – refer to ‘AML/CTF legislative requirements’ on page 15 of the Booklet. Such documents must be provided in a **CERTIFIED COPY FORMAT** (refer to page 44 of this Application Form for requirements). Non-English written identification documents require a ‘translation’ (refer to page 44 of this Application Form for requirements).

Please provide all documents in the proper form otherwise we may not be able to process your Application for Investment.

Please do not send original documents as we cannot guarantee their return. Any original document(s) sent to us will be returned by ordinary mail. We will not accept any responsibility for lost documents.

### IDENTIFICATION DOCUMENTATION – PARTNERSHIP

Partnership Applicants must provide:

- **one** Partnership Identification Document (Section 5.A); and
- **Partner Identification Document(s)** in respect of the partner detailed in Section 5.2 (Section 5.B); and
- **Beneficial Owner Identification Document(s)** in respect of all individuals detailed in Section 5.4 (Section 5.C).

#### 5.A Partnership Identification Documents

Please tick which **one** you are providing:

- Partnership agreement – an extract showing the full name of the Partnership
- Minutes of a partnership meeting (signed) – an extract showing the full name of the Partnership
- Certificate of registration of business name issued by AUS or non-AUS government department / agency
- If regulated by a Professional Association, a certificate of registration / membership (or similar) issued to the partnership

#### 5.B Partner Identification Documents

The Partners detailed in Section 5.2 must provide:

- **one** Primary Document; OR
- **two** Secondary Documents, being two from Group A, or one from Group A and one from Group B.

### Primary Documents

Please tick which **one** you are providing:

- AUS Passport – current or recently expired (i.e. within the last two years)
- Passport issued by a foreign government, the United Nations (“UN”) or an agency of the UN – current and provides your photograph and signature
- AUS driver’s licence or permit (or equivalent issued by a foreign Government) – current and provides your photograph
- Identity or Proof of Age Card issued by AUS government (Cth, state or territory) – current and provides your photograph
- Identity card issued by a foreign government, the UN or an agency of the UN – current and provides your photograph and signature

### Secondary Documents

**Group A** – Please tick which **one** you are providing:

- AUS birth certificate (or extract thereof)
- Citizenship certificate (issued by AUS or a foreign government)
- Birth certificate (issued by a foreign government, the UN or an agency of the UN)
- Concession card issued by the Australian Government Department of Human Services (e.g. Health Care Card, Pensioner Concession Card)

**Group B** – Please tick which **one** you are providing:

- AUS Government (Cth, state or territory) notice – stating your name, residential address, and financial benefits being received under Australian law (dated within the last 12 months)
- ATO notice – stating your name, residential address, and taxation debt owing / payable (dated within the last 12 months)
- Notice issued by a local government body or utilities provider – stating your name, residential address, and the services being received e.g. rates notice, electricity, or water (dated within the last three months)

### 5.C Verification of Beneficial Owners

All individuals listed as a beneficial owner (Section 5.4) **must** provide identification documents as set out in Section 5.B (e.g. one Primary Document or two Secondary Documents, being two from Group A, or one from Group A and one from Group B).

## 5.4 Beneficial Owner(s)

You must provide details of each individual who ultimately (whether directly or indirectly):

- owns 25% or more of the issued capital of the partnership; or
- controls the partnership, for example a person who has the capacity to determine decisions about financial and operating policies. (Refer to definition of 'control' on page 44).

If there is no one under this category, then please provide any individual who is entitled to exercise 25% or more of the voting rights, including a power of veto.

If there is no one that satisfies either of these categories, then provide the details of any individual who holds the position of senior managing official (or equivalent).

### Beneficial Owner 1

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### Beneficial Owner 2

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### Beneficial Owner 3

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### Beneficial Owner 4

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

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## Section 6 – Association / Co-operative

Complete this section if you are investing for, or on behalf of, an association or co-operative. All other Applicants should refer to **Section 1.2** for reference to the applicable sections.

The AML/CTF documentation required in support of this Application for Investment is outlined overleaf.

### 6.1 Entity Type

Tick **one** box and complete the specified parts of Section 6:

- Incorporated Association – Sections 6.2, 6.3 & 6.5
- Unincorporated Association – Sections 6.2, 6.4 & 6.5
- Registered Co-operative – Sections 6.2, 6.3 & 6.5

### 6.2 Association / Co-operative Details

Name of Association / Co-operative (in full)

Country in which Association / Co-operative was established

ACN / ABN (if registered in Australia)

Name of Chairperson / President (in full)

Name of Secretary (in full)

Name of Treasurer (in full)

Association / Co-operative's registered address (not a PO Box)

Suburb

State                      Postcode                      Country  
           

Association / Co-operative's principal place of administration / operations address (not a PO Box)

Tick if same as registered address, otherwise provide:

Suburb

State                      Postcode                      Country  
           

TFN or exemption code (Australian residents)

Tax residence (non-Australian residents)

### 6.3 Incorporation / Registration Information

Government body responsible for incorporation / registration (name in full)

Website address (of government body)

Identification number / reference (issued by the government body to the Association / Co-operative)

### 6.4 Member Details

**Unincorporated Associations only:**

AML/CTF legislation requires details of the member signing on behalf of the Association.

The member is also required to provide the 'Member Identification Documents' stated overleaf (Section 6.B), and will be verified for AML/CTF purposes.

Title                      Date of birth (dd/mm/yy)  
     

Given name(s) (in full)

Surname

Citizenship (non-Australian citizens)

Residential address (not a PO Box)

Suburb

State                      Postcode                      Country  
           

Section 6 continued page 19.

## ASSOCIATION / CO-OPERATIVE

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from our Applicants – refer to 'AML/CTF legislative requirements' on page 15 of the Booklet. Such documents must be provided in a **CERTIFIED COPY FORMAT** (refer to page 44 of this Application Form for requirements). Non-English written identification documents require a 'translation' (refer to page 44 of this Application Form for requirements).

Please provide all documents in the proper form otherwise we may not be able to process your Application for Investment.

Please do not send original documents as we cannot guarantee their return. Any original document(s) sent to us will be returned by ordinary mail. We will not accept any responsibility for lost documents.

---

### IDENTIFICATION DOCUMENTATION – ASSOCIATION / CO-OPERATIVE

All Association / Co-operative Applicants must provide:

- **one** Entity Identification Document (Section 6.A); and
- **Beneficial Owner Identification Document(s)** in respect of all individuals detailed in Section 6.5 (Section 6.C).

Unincorporated Associations must **also** provide:

- Member Identification Documents (Section 6.B).

---

#### 6.A Entity Identification Documents

**Associations:** Please tick which **one** you are providing:

- Document issued by an AUS or foreign government – showing incorporation of the association and its registration / identification number
- Rules / Constitution of the association – an extract showing the full name of the Association, and its identification number (reference) if incorporated
- Minutes of a meeting (signed) – showing the full name of the association, and its identification number (reference) if incorporated

**Co-operatives:** Please tick which **one** you are providing:

- Document issued by an AUS or foreign government – showing the co-operative's name and registration / identification number issued
- Register maintained by the co-operative – an extract showing the full name of the co-operative, and its identification number (reference) if registered
- Minutes of a meeting (signed) – showing the full name of the co-operative and its identification number (reference) if registered

---

#### 6.B Member Identification Documents (Unincorporated Associations only)

The member detailed in Section 6.4 must provide **one** Primary Document **OR two** Secondary Documents being two from Group A, or one from Group A and one from Group B.

Please tick which document(s) you are providing.

---

#### Primary Documents

Please tick which **one** you are providing:

- AUS passport – current or recently expired (i.e. within the last two years)
- Passport issued by a foreign government, the United Nations ("UN") or an agency of the UN – current and provides your photograph and signature
- AUS driver's licence or permit (or equivalent issued by a foreign government) – current and provides your photograph
- Identity or Proof of Age Card issued by AUS government (Cth, state or territory) – current and provides your photograph
- Identity card issued by a foreign government, the UN or an agency of the UN – current and provides your photograph and signature

---

#### Secondary Documents

**Group A** – Please tick which **one** you are providing:

- AUS birth certificate (or extract thereof)
- Citizenship certificate (issued by AUS or a foreign government)
- Birth certificate (issued by a foreign government, the UN or an agency of the UN)
- Concession card issued by the Australian Government Department of Human Services (e.g. Health Care Card, Pensioner Concession Card)

**Group B** – Please tick which **one** you are providing:

- AUS government (Cth, state or territory) notice – stating your name, residential address, and financial benefits being received under Australian law (dated within the last 12 months)
- ATO notice – stating your name, residential address, and taxation debt owing / payable (dated within the last 12 months)
- Notice issued by a local government body or utilities provider – stating your name, residential address, and the services being received e.g. rates notice, electricity, or water (dated within the last three months)

---

#### 6.C Verification of Beneficial Owners

All individuals listed as a beneficial owner (Section 6.5) **must** provide identification documents as set out in Section 6.B (e.g. one Primary Document or two Secondary Documents, being two from Group A or one from Group A and one from Group B).

## 6.5 Beneficial Owner(s)

You must provide details of each individual who ultimately (whether directly or indirectly) controls the entity, for example a person who has the capacity to determine decisions about financial and operating policies. (Refer to definition of 'control' on page 44).

If there is no one under this category, then please provide any individual who is entitled to exercise 25% or more of the voting rights, including a power of veto OR any individual that would be entitled on dissolution to 25% or more of the property of the association or registered co-operative.

If there is no one that satisfies any of these categories, then provide the details of any individual who holds the position of senior managing official (or equivalent).

### Beneficial Owner 1

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### Beneficial Owner 2

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### Beneficial Owner 3

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

### Beneficial Owner 4

Name (in full)

Date of birth (dd/mm/yy)

 /  / 

Residential address (not a PO Box)

Suburb

State

Postcode

Country

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## Section 7 – Agent for the Applicant

Complete this section if you are completing and signing this Application Form as Agent (under a power of attorney) for (or on behalf of) a person (or entity) who is the Applicant. After completing this section, you must also complete (or ensure that you have already completed) the section(s) relevant to the Applicant (i.e. the person on whose behalf you are acting as Agent), and **Section 8, 9, 10 and 11**.

The AML/CTF documentation required in support of this Application for Investment is outlined overleaf.

### 7.1 Power of Attorney

You must provide a 'valid power of attorney document' to Platinum – refer to page 6 of the Booklet for the requirements.

Check to ensure that you have provided a valid document (by ticking each of the boxes):

- The document is an original or **certified copy**
- The document is signed by the principal (i.e. the Applicant)
- The document is current and complete (i.e. all pages and annexures are provided)
- The document permits the attorney / agent (i.e. you) to transact on behalf of the principal (i.e. the Applicant)

### 7.2 Type of Agent

- Individual** – complete **Section 7.3**
- Corporate** – complete **Section 7.4**

### 7.3 Individual Agent

Title  Date of birth (dd/mm/yy)  
 /  /

Given name(s) (in full)

Surname

Citizenship (non-Australian citizens)

Residential address (not a PO Box)

Suburb

State  Postcode  Country

### 7.4 Corporate Agent

Company name (in full)

Business name (if any, in full)

Country of incorporation (formation)

ACN / ABN (if registered in Australia)

Contact name (at Company)

Registered Address in Australia (not a PO Box)

Suburb

State  Postcode

Principal place of business in Australia (not a PO Box)  
 Tick if same as registered address, otherwise provide:

Suburb

State  Postcode

Corporate Agent – tick to indicate company type:

- Australian public company – please supply the information requested in Section 4.5 (if unlisted / unregulated also Section 4.7) as an attachment
- Australian proprietary company – please supply the information requested in Sections 4.5, 4.6 & 4.7 as an attachment
- Non-Australian public company – please supply the information requested in Sections 4.4 & 4.5 (if unlisted also Section 4.7) as an attachment
- Non-Australian private company – please supply the information requested in Sections 4.4, 4.5, 4.6 & 4.7 as an attachment

## AGENT

AML/CTF legislation obliges us to collect identification document(s) and other supporting information from an agent acting on behalf of an Applicant – refer to 'AML/CTF legislative requirements' on page 15 of the Booklet. Such documents must be provided in a **CERTIFIED COPY FORMAT** (refer to page 44 of this Application Form for requirements). Non-English written identification documents require a 'translation' (refer to page 44 of this Application Form for requirements).

Please provide all identification documents in the proper form otherwise we may not be able to process the Application for Investment.

Please do not send original documents as we cannot guarantee their return. Any original document(s) sent to us will be returned by ordinary mail. We will not accept any responsibility for lost documents.

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### IDENTIFICATION DOCUMENTATION – AGENT

**An agent must provide:**

- **Identification documents in respect of the relevant applicant** – refer to Section 1.2; and
- a **Power of Attorney Document**, which has been endorsed by an Authorised Certifier – refer to page 6 of the Booklet for requirements; and
- **Agent identification document(s)** – refer to Section 7.A or 7.B as applicable.

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#### 7.A Individual Agent Identification Documents

The individual agent is to provide the identification documentation set out for individuals on page 4.

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#### 7.B Corporate Agent Identification Documents

The corporate agent is to provide identification documentation for the Company as set out on page 10 (this is inclusive of any beneficial owners of the company).

## Section 8 – Foreign Account Tax Compliance Act (FATCA) Self-Certification

ALL INVESTORS MUST COMPLETE THIS SECTION.

### Foreign Account Tax Compliance Act

The Foreign Account Tax Compliance Act (**FATCA**) is a US law enacted to reduce offshore tax evasion by US persons. It imposes certain due diligence and reporting obligations on foreign (non-US) financial institutions. The Australian and US governments entered into a Model 1 Inter-Governmental Agreement (**Australian IGA**) on 28 April 2014 to facilitate the application of FATCA to Australian Financial Institutions (**AFIs**). The Australian IGA was given effect under the *Tax Laws Amendment (Implementation of the FATCA Agreement) Act 2014* (Cth) (**FATCA Act**) and generally applies to AFIs from 1 July 2014.

AFIs are required, subject to any applicable thresholds or exemptions, under the FATCA Act to collect, identify and report to the Australian Taxation Office (**ATO**) various account-related information of certain investors identified as US tax residents or citizens.

Accordingly, in order to comply with FATCA, Platinum is required to collect from you the information requested in this Self-certification for FATCA purposes. If this information is not provided, you (and your relevant account-related information) may be reported to the ATO.

Tick **one** box to indicate the relevant category and if required provide further information requested.

**FATCA exempt (for example, Applicants that have no affiliation with the US or are an Australian regulated superannuation fund)**

An individual who is a US citizen or resident of the US for tax purposes

Please provide your US Taxpayer Identification Number (TIN)

Individual #1

Individual #2

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<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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A company, partnership, trust or association established under the laws of the US or a US taxpayer

Please provide the entity's US Taxpayer Identification Number (TIN)

<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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A financial institution or trust with a trustee that is a financial institution (e.g. custodial, depository institution, an investment entity or a specified insurance company for FATCA purposes)

Please provide the entity's Global Intermediary Identification Number (GIIN)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<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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If the financial institution does not have a GIIN, please clarify its FATCA status (e.g. exempt beneficial owner, deemed compliant FFI, Non-participating FFI)

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A proprietary company, partnership, trust or association that is not a financial institution as described above and in the preceding reporting period either:

- earned 50% or more of its gross income from distributions, dividends, rental, interest or other investment income; or
- held 50% or more of its assets in shares, properties, bonds or similar investment assets that generate passive income

If you ticked this category, are any of the (as relevant) shareholders holding a controlling interest (i.e. holding more than 25% of the company), or are any of the partners, beneficiaries, trustees or settlors, US citizens or US taxpayers?

NO.  YES. Please provide the following details:

Name (in full)	Address	US Taxpayer Identification Number (TIN) (XXX-XX-XXXX)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

## Section 9 – Politically Exposed Persons

A 'politically exposed person' (PEP) is an individual who holds a prominent public position or function in a government body or an international organisation, both within and outside Australia. This definition also extends to their immediate family members and close associates.

If anyone named anywhere in this Application Form is a PEP or an immediate family member or close associate of a PEP, please provide their name.

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## Section 10 – Common Reporting Standards Self Certification

**ALL APPLICANTS MUST COMPLETE THIS SECTION – Individuals (Section 10.1 only), Australian regulated superannuation funds (Section 10.2 only), and all other entities (Section 10.3 and 10.4 (if applicable)).**

Australian taxation laws require Platinum to collect and report certain information to the Australian Taxation Office (ATO) about financial accounts held by foreign tax residents. Accordingly, Platinum is required to carry out due diligence procedures outlined in the *Standard for Automatic Exchange of Financial Account Information in Tax Matters*, commonly referred to as the Common Reporting Standards (CRS). The ATO may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to inter-governmental agreements to exchange financial account information.

In order to carry out our CRS due diligence procedures, we will rely on information provided by you in this section and other sections of this Application Form.

**You can find summaries of certain defined terms on page 26 of the Application Form. Other capitalised terms in this section have the meanings as set forth in the CRS.**

Please ensure that you advise us promptly of any changes to the information provided below.

### 10.1 Individual(s)

Please complete this section if you are investing individually in your own name (including as a sole trader) or jointly with other individual(s).

#### Individual 1

Name (in full)

City/town of birth

Country of birth

Are you a tax resident of a country other than Australia?

Yes  No

If Yes, please complete the rest of this section:

Country of foreign tax residence

TIN\*

\* If no TIN is available please specify in the box above one of the three reasons (A, B or C – refer to page 28 of the Application Form) for not providing a TIN.

If you are a tax resident in any additional foreign countries please provide details (country of foreign tax residence/TIN) as an attachment.

#### Individual 2

Name (in full)

City/town of birth

Country of birth

Are you a tax resident of a country other than Australia?

Yes  No

If Yes, please complete the rest of this section:

Country of foreign tax residence

TIN\*

\* If no TIN is available please specify in the box above one of the three reasons (A, B or C – refer to page 28 of the Application Form) for not providing a TIN.

If you are a tax resident in any additional foreign countries please provide details (country of foreign tax residence/TIN) as an attachment.

### 10.2 Australian regulated superannuation fund (including self-managed superannuation funds)

Please complete this section if you are investing on behalf of an Australian regulated superannuation fund.

Legal name of Australian superannuation fund

## CRS DEFINITIONS

**Account Holder** means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or as legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

**Active NFE** an Entity that is not a Financial Institution will be classified as Active NFE if it meets any of the following criteria:

- a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- e) the NFE is not yet operating a business and has no prior operating history, (a "start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- h) the Entity is a non-profit organisation which meets certain criteria.

**Entity** means a legal person or a legal arrangement, such as a corporation, partnership, trust, or foundation.

**Financial Institution** means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.

**NFE** means any Entity that is not a Financial Institution.

**Passive NFE** means any NFE that is not an Active NFE or an Investment Entity that is not a Participating Jurisdiction Financial Institution.

**TIN** (including functional equivalent) means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the following link: <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

### 10.3 Entity Account Holders

Please complete this section if you investing on behalf of an Entity (i.e. company, partnership, association or co-operative or trust (other than a trust that falls under section 10.2 above).

Legal name of Entity

#### **Tax residency**

Is the Entity a tax resident of a country other than Australia?

Yes  No

If Yes, please provide:

Country of foreign tax residence

TIN\*

\* If no TIN is available please specify in the box above one of the three reasons (A, B or C – refer to page 28 of the Application Form) for not providing a TIN.

If the Entity is a tax resident in any additional foreign countries please provide details (country of foreign tax residence/TIN) as an attachment.

#### **Entity type**

Please complete section (a) if the Entity is a Financial Institution OR section (b) if the Entity is a Non-Financial Entity.

##### **(a) Financial Institution**

Please select the Financial Institution's status from one of the options below:

- Depository Institution
- Custodial Institution
- Specified Insurance Company
- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.  
**If selected, section 10.4 must be completed.**
- Other Investment Entity

##### **(b) Non-Financial Entity**

Please select the Non-Financial Entity's (NFE) status from one of the options below:

- Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.
- Name of securities market
- Name of related entity (if applicable)
- Active NFE – a government entity, central bank, or international organisation
- Active NFE – other e.g. a corporation, partnership, trust, association or other entity that is an **Active NFE** (refer to definition on page 26)
- Passive NFE – e.g. a corporation, partnership, trust, association or other entity that is a **Passive NFE** (refer to definition on page 26). **If selected, section 10.4 must be completed.**

## REASONS FOR NOT PROVIDING A TIN

If no TIN is available one of the following reasons (A, B or C) must be provided:

- A – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.
- B – The Account Holder is otherwise unable to obtain a TIN or equivalent number. (This option requires further explanation as to why a TIN could not be obtained).
- C – No TIN is required. (Note: This option should only be selected if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

## 10.4 Controlling Persons

Please complete section 10.4 only if 'Passive NFE' or 'An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution' is selected in Section 10.3.

Controlling Persons are the natural person(s) who exercise control over an Entity. The definition of Controlling Person for the CRS corresponds to the 'beneficial owner(s)' description for AML/CTF obligations in sections 4.7, 5.4 and 6.5 (for corporations, partnerships and associations, respectively) of this application. With respect to an Entity that is a trust, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies) AND any other natural person(s) exercising control over the trust.

Where the beneficiaries under a trust are identified as a class of beneficiaries, only those beneficiaries that have received or become entitled to receive a distribution in the year up to the date of the signing of the Application Form, or any beneficiary who otherwise has actual control of the trust, need to be identified as Controlling Persons.

### Controlling Person 1

Name (in full)

Current residential address



Date of birth (dd/mm/yy)

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

City/town of birth

Country of birth

Is the Controlling Person a tax resident of a country other than Australia?

Yes  No

If Yes, please complete the rest of this section:

Country of foreign tax residence

TIN\*

\* If no TIN is available please specify in the box above one of the three reasons (A, B or C – refer to page 28 of the Application Form) for not providing a TIN.

If the Controlling Person is a tax resident in any additional foreign countries please provide details (country of foreign tax residence/ TIN) as an attachment.

Please provide the Controlling Person's status by ticking the appropriate box.

<b>Controlling Person of a legal person</b>	<input type="checkbox"/> control by ownership	<input type="checkbox"/> control by others	<input type="checkbox"/> senior managing official		
<b>Controlling Person of a trust</b>	<input type="checkbox"/> settlor	<input type="checkbox"/> trustee	<input type="checkbox"/> protector	<input type="checkbox"/> beneficiary	<input type="checkbox"/> other
<b>Controlling Person of a legal arrangement (non-trust)</b>	<input type="checkbox"/> settlor-equivalent	<input type="checkbox"/> trustee-equivalent	<input type="checkbox"/> protector-equivalent	<input type="checkbox"/> beneficiary-equivalent	<input type="checkbox"/> other-equivalent

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**Controlling Person 2**

Name (in full)

Current residential address



Date of birth (dd/mm/yy)

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

City/town of birth

Country of birth

Is the Controlling Person a tax resident of a country other than Australia?

Yes  No

If Yes, please complete the rest of this section:

Country of foreign tax residence

TIN\*

\* If no TIN is available please specify in the box above one of the three reasons (A, B or C – refer to page 28 of the Application Form) for not providing a TIN.

If the Controlling Person is a tax resident in any additional foreign countries please provide details (country of foreign tax residence/ TIN) as an attachment.

Please provide the Controlling Person's status by ticking the appropriate box.

<b>Controlling Person of a legal person</b>	<input type="checkbox"/> control by ownership	<input type="checkbox"/> control by others	<input type="checkbox"/> senior managing official		
<b>Controlling Person of a trust</b>	<input type="checkbox"/> settlor	<input type="checkbox"/> trustee	<input type="checkbox"/> protector	<input type="checkbox"/> beneficiary	<input type="checkbox"/> other
<b>Controlling Person of a legal arrangement (non-trust)</b>	<input type="checkbox"/> settlor-equivalent	<input type="checkbox"/> trustee-equivalent	<input type="checkbox"/> protector-equivalent	<input type="checkbox"/> beneficiary-equivalent	<input type="checkbox"/> other-equivalent

**Controlling Person 3**

Name (in full)

Current residential address



Date of birth (dd/mm/yy)

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

City/town of birth

Country of birth

Is the Controlling Person a tax resident of a country other than Australia?

Yes  No

If Yes, please complete the rest of this section:

Country of foreign tax residence

TIN\*

\* If no TIN is available please specify in the box above one of the three reasons (A, B or C – refer to page 28 of the Application Form) for not providing a TIN.

If the Controlling Person is a tax resident in any additional foreign countries please provide details (country of foreign tax residence/ TIN) as an attachment.

Please provide the Controlling Person's status by ticking the appropriate box.

<b>Controlling Person of a legal person</b>	<input type="checkbox"/> control by ownership	<input type="checkbox"/> control by others	<input type="checkbox"/> senior managing official		
<b>Controlling Person of a trust</b>	<input type="checkbox"/> settlor	<input type="checkbox"/> trustee	<input type="checkbox"/> protector	<input type="checkbox"/> beneficiary	<input type="checkbox"/> other
<b>Controlling Person of a legal arrangement (non-trust)</b>	<input type="checkbox"/> settlor-equivalent	<input type="checkbox"/> trustee-equivalent	<input type="checkbox"/> protector-equivalent	<input type="checkbox"/> beneficiary-equivalent	<input type="checkbox"/> other-equivalent

If there are more than three Controlling Persons please provide details of additional Controlling Persons as an attachment.

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## Section 11 – All Applicants / Investors

**ALL APPLICANTS / INVESTORS MUST COMPLETE THIS SECTION.**

Refer to **Section 1.2** for the other sections you need to complete depending on your Investor type.

### 11.1 Contact Details

Please provide a set of contact details that we can use for all communications with you. **ADVISER DETAILS CANNOT BE ACCEPTED.**

Address / Attention

Address

Suburb

State

Postcode

Country

Email address

Phone number (business hours)

Phone number (home)

Mobile phone number

Facsimile

The Corporations Act require that we provide disclosure information directly to you (the "Applicant / Investor") or your agent, provided that the agent is not a financial adviser or a representative of a financial services licensee.

### 11.2 Investment Details

Please indicate the amount you wish to invest and tick the applicable currency box:

**Fund**

**Currency**

**Initial Investment Amount**

Minimum: A\$10,000 / NZ\$10,000

**Regular Investment Plan**

Minimum: A\$200

Platinum Global Fund

A\$

NZ\$

\$ , , .

\$ ,

Tick to indicate how your **Initial Investment Amount** will be made:

**Direct Debit**

In **A\$ only**. To allow us to debit your account you must also complete **Section 11.5**. Please ensure cleared funds are available.

Earliest date funds are to be debited:  
(DD/MM/YY)

 /  / 

If left blank we will direct debit when your application is accepted and processed.

**Cheque**

In **A\$ only**. Make cheque payable to 'Platinum Global Fund'

**EFT\***

Ask your Financial Institution to insert the Applicant's / Investor's name as a narrative so we can identify your monies

**Over the counter (cheque deposit at NAB branch\*)**

Ask the Funds' bank to insert the Applicant's / Investor's name as a reference so we can identify your monies

\* Please notify Investor Services of the details of your EFT or direct deposit so that your money can be identified. Otherwise processing of your Application for Investment may be delayed.

Tick to indicate **Frequency of Investment:**

Monthly

Quarterly

To establish the Regular Investment Plan you must also complete **Section 11.5**

This page has been left blank intentionally

### 11.3 Distribution Election

Please indicate how you wish to receive annual distributions:

- reinvested in additional units; or
- paid in cash to my/our account detailed in **Section 11.4**.

If no election is made, distributions will be reinvested.

### 11.4 Financial Institution Account Details – Distributions and Withdrawals

Please provide your account details for where you would like your distributions (if nominated in Section 11.3) and withdrawals paid. The account must be in the **Applicant's / Investor's name** and must be an **Australian or New Zealand** resident bank, building society or credit union ("**financial institution**") account.

#### Australian Account

Financial institution

Branch

BSB number  
   -

Account number

Account name

#### New Zealand Account

Financial institution

Branch

Bank      Branch

Account number      Suffix

Account name

Account details entered here will **override any instructions previously given** to Platinum.

Your Application for Investment may be rejected where there is a difference between the account name and the Applicant's / Investor's name – refer to 'Your financial institution account' on page 5 of the Booklet.

### 11.5 Financial Institution Account Details – Direct Debits

**Initial Investment Direct Debits** are only available for Applicants / Investors who nominate a participating Australian financial institution account for this service.

**The Regular Investment Plan** is available to Applicants / Investors who have a participating Australian or New Zealand financial institution account.

**Investors who select a New Zealand financial institution account for this service:** Please complete and sign the New Zealand Specific Direct Debit Authority Form (available from Platinum's website or Investor Services). Your Regular Investment Plan will not commence until your financial institution approves the set-up.

**Applicants / Investors who select an Australian financial institution account for this service:**

Please debit from my/our account nominated in **Section 11.4**

OR

Please debit from my/our account detailed as follows:

Financial institution

Branch

BSB number  
   -

Account number

Account name

This page has been left blank intentionally

## 11.6 Information that you will receive from us

We are required by law to send transaction confirmations, holding summaries, and continuous disclosure information directly to you.

Please indicate (by ticking **one** box) how you wish to receive this information from us:  Email  Secure client website  Post  
If no election is made, 'post' will be the default.

Holding summaries are currently sent quarterly. If you wish to receive **annually only** (30 June), tick this box:

### Online Access – Platinum's secure client website

Please provide the details of each individual to be granted online access to your account.

Two levels of online access are available to investors:

**Update Access** – you will be able to see your transactions, balances, statements and registered account details. You will also have the ability to update your details (with the exception of nominated financial institution accounts and Regular Investment Plans).

**View Only Access** – you will be able to see your transactions, balances, statements and registered account details.

For more information on online access and functionality refer to 'Online access to your investment account' on page 6 of the Booklet.

#### Individual 1

Name (in full)

Mobile Phone No. including Country Code (e.g. Australia +61)

Email Address

Please tick to indicate the level of Online Access required:

Update Access  View Only Access

Please tick to indicate account capacity:

Individual  Trustee  Director  Agent

#### Individual 2

Name (in full)

Mobile Phone No. including Country Code (e.g. Australia +61)

Email Address

Please tick to indicate the level of Online Access required:

Update Access  View Only Access

Please tick to indicate account capacity:

Individual  Trustee  Director  Agent

If there are more than two individuals please provide details as an attachment.

### Annual Financial Statements

The Fund's Annual Financial Report (including financial statements) is available from Platinum's website.

If you wish to **also** receive a paper copy in the post, tick this box:

### Privacy

Platinum Investment Management Limited (ABN 25 063 565 006), trading as Platinum Asset Management, and its related bodies corporate ("Platinum", "we", "us" and "our") collects your personal information via this Application Form in order to process your application, administer your account and for the other purposes set out on page 14 of the Booklet.

If you do not provide your personal information to Platinum, we may not be able to process your application, administer your account or conduct some or all of the other activities set out in the Booklet.

We will collect your personal information for the purposes set out on page 14 of the Booklet. In connection with those purposes, we may disclose some or all of your personal information to the entities referred to on page 14 of the Booklet.

Our privacy policy, which is available at [www.platinum.com.au/privacy/](http://www.platinum.com.au/privacy/), explains how you may access and correct the personal information that we hold about you. It also sets out how you may contact us to complain about a breach of the Privacy Act, and how we will deal with such a complaint. If you have any questions or concerns about privacy or if you would like further information about our privacy practices, please contact our Privacy Officer using the following details:

Address: Platinum Asset Management, Level 8, 7 Macquarie Place, Sydney NSW 2000, Australia

Telephone: 1300 726 700 or 02 9255 7500 Facsimile: 02 9254 5590

E-mail: [privacy@platinum.com.au](mailto:privacy@platinum.com.au)

If you **do not** wish to receive education and marketing information about Platinum and the Fund, tick this box:

This page has been left blank intentionally

## 11.7 Access to your Account Information

By filling out this section you consent to give your financial adviser or administrator access to your information.

Tick **one** box for a copy of your transaction confirmations and holding summaries to be sent to you:

**Financial Adviser**

Name of Adviser

Name of Advisory Firm

Name of Dealer Group

AFSL Number (Australian only)

Mailing address

Suburb

State

Postcode

Country

Email address of Advisory Firm (**must be completed**)

Email address of Adviser

Telephone (business)

Facsimile

**Administrator**

Name of Administrative Firm

Contact name

Position (if applicable)

Mailing address

Suburb

State

Postcode

Country

Email address of Administrative Firm (**must be completed**)

Telephone (business)

Facsimile

Platinum will use email as the principal means of sending statements and advices to your Advisory / Administrative Firm – refer to 'Privacy law' on page 14 of the Booklet.

This page has been left blank intentionally



## 11.8 Declaration and Signatures

### Contract:

- I/We have received an electronic or paper copy of the PDS.
- I/We have detached this Application Form for New Investment ("Application Form") from the PDS and declare that all details given in this Application Form are true and correct.
- I/We have read the PDS and agree to be bound by the terms and conditions of the PDS and the provisions of the Constitution of the Fund in which I/we am/are invested (as amended from time to time).

### Legal capacity:

- I/We declare that I/we have the legal capacity and power to make an investment in accordance with this application.
- If resident in a jurisdiction other than Australia or New Zealand, I/we represent and warrant that I/we am/are authorised to invest without the offer contained in the current PDS being registered with, or otherwise regulated by, the relevant regulator of that jurisdiction.
- If investing as trustee on behalf of a superannuation fund or trust, I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed.
- If I am a sole signatory signing on behalf of a company, I confirm that I am signing as sole director and company secretary of that company.
- If signing this Application Form as the authorised representative (Agent or Attorney) for (or on behalf of) an Applicant, the authorised representative (Agent or Attorney) declares that: he/she/it is the lawfully appointed authorised representative (Agent or Attorney) of the Applicant detailed in this Application Form; an original 'Operating Authority Form' or 'valid power of attorney document' (as defined in page 13 of the Booklet) is being provided with this Application Form; and he/she/it has not received a notice of limitation or revocation from the Applicant of that power / authority.

### No guarantees / representations:

- I/We acknowledge that none of The Platinum Group, including Platinum Investment Management Limited, related entities, directors or officers, or employees or associates, guarantees or has made any representation as to the performance or success of, the rate of income or capital return from, or recovery of money invested in the Fund.
- I/We declare that in making a decision to invest, the only information and representations provided by Platinum are those contained in the PDS to which this application relates.

### Application money:

- I/We declare that we are not aware and have no reason to suspect that the Applicant's application monies have been derived from, or are related to, money laundering or the financing of terrorism (as those terms are defined in Australia's Anti-Money Laundering and Counter-Terrorism Financing Act 2006).

### Personal information / identification documents:

- I/We have read the 'Privacy law' section on page 14 of the Booklet and I/we consent to the collection, use and disclosure of my/our personal information as described in the PDS and Platinum's Privacy Policy. I/We confirm that the details of my/our investment can be provided to the financial adviser and/or administrator as detailed and consented by me/us in this Application Form (or separately in writing).
- I/We understand that Platinum may request or require additional personal information in order to fulfil legislative obligations, and failure to supply the information punctually may result in Platinum being prevented by law from carrying out my/our investment instructions.
- I/We understand that Platinum will not be familiar with, and is not responsible for being familiar with, the contents of any document provided in connection with this application or subsequent investments, for example, trust deeds, partnership agreements, constitutions, governing rules and minutes of resolutions. I/We release Platinum from all responsibility and liability whatsoever in connection with any action or inaction by Platinum which constitutes or gives rise to an inconsistency with, or breach of, any such documents, and indemnify Platinum in respect of any such liability.

### FATCA/CRS/AML/CTF

- I/We have read and understood the 'Privacy law' section on page 14 of the Booklet and I/We consent to the collection, use and disclosure of my/our personal information for the purposes of Platinum's compliance with the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS).
- I/We declare that the information provided in this Application Form is, to the best of my/our knowledge and belief, accurate and complete.

- I/We undertake to notify the Controlling Persons (if any) of the completion of this form and that their details may be reported to the tax authorities of the country in which they are resident for tax purposes.
- I/We undertake to advise Platinum promptly and provide an updated self-certification form and declaration within 30 days where any change in circumstance (refer to the OECD website for guidance) occurs which causes any of the information contained in this Application Form to be incorrect, incomplete or which affects the tax residency of any individual or Entity (as applicable).

### Account authority / communications:

- I/We acknowledge that joint Applicants or signatories who allow either Applicant or signatory to give instructions in relation to an investment in the Fund will bind other Applicant or signatory for all transactions in connection with the investment including changes to account details.
- I/We have read and understood the terms and conditions for the use of facsimile, email and internet on page 13 of the Booklet, and release and indemnify Platinum and its associates against any liabilities whatsoever arising out of it acting on any communications received by facsimile, email and the Platinum client secure website.

### Direct Debit Request authorisation (for Australian financial institution accounts only):

- I/We authorise Platinum (Debit User ID 377037) to arrange for funds to be debited from my/our account at the financial institution identified in Section 11.5 (or as referenced to Section 11.4) and as prescribed through the Bulk Electronic Clearing System (BECS).
- I/We have read the 'Direct Debit Service Agreement' provided on page 18 of the Booklet (to which this Application Form was attached) and agree to be bound by its terms and conditions.
- I/We request that this arrangement remain in force in accordance with the details set out in Sections 11.2 and 11.5 (as referenced to Section 11.4) and in compliance with the 'Direct Debit Service Agreement'.

### Joint Applicants must both sign:

#### Signatory 1

Print name (in full)

Tick capacity (mandatory for companies):

Sole Director and Company Secretary     Director     Secretary

Date (dd/mm/yy)

#### Signatory 2

Print name (in full)

Tick capacity (mandatory for companies):

Director     Secretary

Date (dd/mm/yy)

Company Seal (if applicable):

**Signing the Application Form** (per Australian Law requirements)

<b>Investor type</b>	<b>Required signature(s)</b>
Individual(s)	Each individual to sign
Company	<ul style="list-style-type: none"> <li>• 2 directors, or</li> <li>• a director and secretary, or</li> <li>• a sole director who is also the secretary</li> </ul> <p style="text-align: right;">Please note: if signing under company seal, signatures are also required.</p>
Trust / Superannuation Fund	Trustee to sign, i.e. <ul style="list-style-type: none"> <li>• each individual acting as trustee, or</li> <li>• company acting as trustee (per company requirements above)</li> </ul>
Partnership	Partner(s) to sign
Association / Co-operative	<ul style="list-style-type: none"> <li>• chairperson (president), secretary or treasurer to sign, or</li> <li>• if unincorporated association, the member detailed in Section 6.4 to sign</li> </ul>
Agent under Power of Attorney	<p>Agent to sign, i.e.</p> <ul style="list-style-type: none"> <li>• individual acting as agent, or</li> <li>• company acting as agent (per company requirements above)</li> </ul> <p>A valid certified copy of the power of attorney is to be attached to this Application Form (unless previously given).</p>

**Important**

Platinum may in its absolute discretion refuse any Application for Investment.

Persons external to Platinum or other entities who market Platinum's products are not agents of Platinum but are independent advisers. Platinum will not be bound by representations or statements which are not contained in information disseminated by Platinum.

The collection of your Tax File Number ("TFN") is authorised by Australian law. It is not an offence if you choose not to quote your TFN. However, for administrative reasons, Platinum will not accept an application from an Australian applicant where a TFN is not quoted (unless an exemption is notified).

**Platinum Investment Management Limited ABN 25 063 565 006 AFSL 221935**

## Contacting Platinum

**Investor Services:**

Open 8.30am to 6.00pm  
(Sydney time), Monday to Friday  
(except NSW public holidays).

**1300 726 700** (Australia only)  
**0800 700 726** (New Zealand only)  
**+61 2 9255 7500**  
**invest@platinum.com.au**

**Platinum's website:** [www.platinum.com.au](http://www.platinum.com.au)

**Post your Application to:**

**Platinum Asset Management**  
**GPO Box 2724**  
**Sydney NSW 2001**

**Office address:**

Level 8, 7 Macquarie Place  
Sydney NSW 2000

## Application checklist

If you provide incomplete information on the Application Form, we may not be able to process your application.

If you do not provide the Identification Information and Documentation (as stipulated on the Application Form), we may not be able to process your Application for Investment.

If you provide Identification Documents that are not **ORIGINAL CERTIFIED COPIES**, we may not be able to process your application for Investment.

Use this checklist to ensure you have provided a complete application – tick every box:

- All of the required Sections 1-7** (according to Investor type – **Section 1.2**) are completed.
- All of Sections 8, 9, 10 and 11** is completed.
- TFN, ABN or exemption details** for the Applicant [entity or individual(s)] are provided – unless not an Australian-resident.
- Having read all the **declarations** on page 41, the Application Form is **correctly signed** (per page 42).
- The required **Investor Identification Document(s)** (per investor type) in a **CERTIFIED COPY FORMAT** is / are provided – if 'new' investor to Platinum (i.e. you do not have an existing account number).  
Please note: **WE CANNOT ACCEPT A FAXED OR SCANNED COPY OF A CERTIFIED COPY** – refer overleaf.

### Send\* to Platinum:

- only those Sections 1 to 7 you have completed (i.e. pages according to your investor type), and
- all of Sections 8, 9, 10 and 11 of the Application Form (i.e. pages 23 to 41), and
- the **ORIGINAL CERTIFIED COPY** of each of your Identification Documents (as required).

\* In certain circumstances when certified Identification Documentation is not required, you may fax or email the 'Application Form for New Investment'. Otherwise, you will need to mail or deliver the original completed Application Form, together with the Identification Documentation to Platinum.

## Transferring your Application Monies to Platinum

Cheque	A\$ EFT or deposit to the Funds' Australian bank account	NZ\$ EFT or bank deposit to the Funds' New Zealand bank account*
Drawn in <b>\$A only</b> Make cheque payable to <b>'Platinum Global Fund'</b>	Account name: Platinum Global Fund Bank: National Australia Bank SWIFT: NATAAU3302S BSB: 082 057 Account number: 84112 5828	Account name: Platinum Global Fund Bank: Bank of New Zealand Account number: 02 0500 0741112 004

Ask your financial institution to record the **Applicant's name as a narrative / reference** on the EFT (if direct deposit, ask the Fund's bank to add the same against the deposit). Failure to do this may delay the identification of your monies and processing of your application for Investment – refer further to page 2 of the Booklet.

**Notify Investor Services** of the details of your EFT or direct deposit as soon as possible so that we can proceed to identify your money (and if deposited to the New Zealand bank account, so that we can instruct to transfer your money to the Fund's Australian bank account).

\* EFT and direct deposits to the Fund's New Zealand bank account require transfer to the Fund's Australian bank account before processing of your Application for Investment can occur – refer to page 2 of the Booklet. We will only instruct to transfer your monies once your Application meets our processing requirements. We download a statement from the Fund's New Zealand bank precisely at 9.00am AEST each Business Day and if, by this time, your money has not been received by our bank (and identified by reference to a complete investment instruction), then your money will not be transferred to the Fund's Australian bank account in time to make the cut-off time for that day. The Bank of New Zealand will transfer your monies using an exchange rate it determines (at the time of processing) to be market rate.

## Identification Documentation

AML/CTF legislation obliges us to collect identification documents from prospective investors. If you do not supply the required identification documents, Platinum may be unable to process your application.

The required document(s) to be supplied depends on the type of investor:

- Individuals should refer to page 4 of this Application Form
- Trusts / Superannuation Funds should refer to page 6 of this Application Form
- Companies should refer to page 10 of this Application Form
- Partnerships should refer to page 14 of this Application Form
- Associations and Co-operatives should refer to page 18 of this Application Form
- Agents should refer to page 22 of this Application Form

Additional information about Australia's AML/CTF legislation and requirements on Financial Service Providers is provided on page 15 of the Booklet. You can also refer to AUSTRAC.

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### CERTIFIED COPY FORMAT

All documents must be provided in a certified copy format. This means a copy of the original document that has been certified by an eligible certifier.

When having documents certified, you should show both the original document and copy to the eligible certifier.

Each certified copy must include the statement "I certify this is a true copy of the original document" (or similar wording) and must be signed by an eligible certifier. The certifier must state his/her qualification or occupation which makes them eligible.

Please note that we require the copy which was actually signed by the certifier (i.e. the original penned signature of the certifier).

### Who can certify copies of documents?

A person in the following profession/role is an eligible certifier:

- chiropractor, dentist, medical practitioner, nurse, optometrist, pharmacist, physiotherapist, psychologist and veterinary surgeon;
- legal practitioner, patent attorney and trade marks attorney;
- Judge of a court, magistrate, Registrar or Deputy Registrar of a court and master of a court;
- Chief executive officer of a Commonwealth court; Clerk of a court; Commissioner for Affidavits; Commissioner for Declarations;
- Justice of the Peace/Notary Public/Marriage celebrant;
- Australian Post employee who is in charge of an office or has 2 or more years of continuous service;
- Australian Consular Officer or Australian Diplomatic Officer;
- Police officer/bailiff/sheriff;
- bank officer, building society officer, credit union officer and finance company officer with 2 or more continuous years of service;
- Member of Chartered Secretaries Australia;
- Member of Engineers Australia, other than at the grade of student;
- Member of the Association of Taxation and Management Accountants;
- Member of the Australian Defence Force who is an officer or a non-commissioned officer with 2 or more years of continuous service;
- Member of the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants or the Institute of Public Accountants;
- Member of the Australasian Institute of Mining and Metallurgy;
- Member of the Parliament of the Commonwealth/the Parliament of a State/Territory legislature/local government authority of a State or Territory;
- Minister of religion;
- Permanent employee of the Commonwealth or a Commonwealth authority/a State or Territory or a State or Territory authority or a local government authority, with 2 or more years of continuous service;
- Teacher employed on a full-time basis at a school or tertiary education institution;
- An officer with, or authorised representative of, a holder of an Australian financial services licence having 2 or more years of continuous service with one or more licensees;
- An officer with, or a credit representative of, a holder of an Australian credit licence having 2 or more years of continuous service with one or more licensees;
- A person authorised as a notary public in a foreign country.

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### Translation

Customer Identification Documents that are not written in English require a translation by an accredited translator.

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 [www.naati.com.au](http://www.naati.com.au) or contacting NAATI on 02 9267 1357.

In New Zealand, contact NTIS New Zealand or MLT Translation Centre.

Outside of Australia and New Zealand, contact your local government office.

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### Control

For the purposes of the beneficial owner sections in this Application Form, '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.

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### Settlor

The settlor of a trust is the person (natural or legal entity) who sets up the trust and signs the trust deed to 'create' the trust. The settlor gives the trustee a 'settlement' sum of money or property to be held on trust for the beneficiaries of the trust and should have no further involvement in the affairs of the trust.