

Yarra Investment Management Limited (YIML)
ABN 34 002 542 038 AFSL Number 229664

Yarra Capital Management Investor Services

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IDENTIFICATION FORM: AUSTRALIAN COMPANIES

GUIDE TO COMPLETING THIS FORM

- o This form is for AUSTRALIAN COMPANIES only. For companies incorporated outside of Australia use the FOREIGN COMPANIES IDENTIFICATION FORM.
- o Complete one form for each company.
- o Complete separate INDIVIDUAL ID Forms for each of the company's Beneficial Owners.
- o Complete all applicable sections of this form in BLOCK LETTERS.
- o Contact Investor Services on 1800 251 589 if you have any queries.

SECTION 1: AUSTRALIAN COMPANY IDENTIFICATION PROCEDURE

1.1 General Information

Full name as registered by ASIC

ACN

Registered office address (PO Box is NOT acceptable)

Street

Suburb State Postcode Country

Principal place of business (if any) (PO Box is NOT acceptable)

Street

Suburb State Postcode Country

For companies registered outside of Australia do not use this form but rather complete the **FOREIGN COMPANIES IDENTIFICATION FORM**.

1.2 Company Type (select ✓ only ONE of the following categories)

- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), proceed to 1.3
- Public** (companies whose name does not include the word Pty or proprietary), proceed to 1.4

1.3 Directors (Required for all Proprietary Companies as per 1.2, NOT required for Public Companies)

Provide the names of all directors.

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

If there are more directors, provide details on a separate sheet and tick this box .

1.4 Listing and Regulatory Details (Select ✓ any of the following categories if applicable)

- Australian Public Listed company** (companies that are listed on an Australian financial market such as the ASX) *Proceed to Section 2*
Name of market / exchange
- Majority Owned Subsidiary of an Australian Public Listed company** (companies that are majority owned by an Australian company that is listed on an Australian financial market such as the ASX) *Proceed to Section 2*
Australian listed company name
Name of market / exchange
- Regulated company** (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees). *Proceed to Section 2*

Regulator name

Licence details (e.g. AFSL, ACL, RSE)

1.5 Beneficial Ownership

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed company or Regulated Companies as per 1.4.

Are there any individuals who ultimately own 25% or more of the company's issued share capital (through direct shareholding or indirect shareholdings via shareholdings in other companies within your company's ownership structure)?

Yes (Complete 1.5.1) No (Complete 1.5.2)

1.5.1 Shareholder Beneficial Owners

Provide the names of the individuals who **ultimately own 25% or more of the company's issued share capital** (through direct or indirect shareholdings). In order for us to verify this information, please provide the **Full ASIC Company Search** of your company and the Ultimate Holding Company.

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)

Surname

If Beneficial Owner name/s are provided above, proceed to section 2.

1.5.2 Other Beneficial Owners

If there are no individuals who meet the requirement of 1.5.1, provide the names of the individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

Complete separate individual customer ID Forms for each of these individuals.

Full given name(s)

Surname

Role (such as Managing Director)

If there are more Beneficial Owners, provide details on a separate sheet and tick this box .

SECTION 2: FATCA INFORMATION (US FOREIGN ACCOUNT TAX COMPLIANCE ACT)**2.1 FATCA Status** (select only ONE of the following categories and provide the information requested)

- Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company is a Financial Institution but does not have a GIIN, provide its FATCA status (select ONE of the following statuses)

- Deemed Compliant Financial Institution
 Excepted Financial Institution
 Exempt Beneficial Owner
 Non Reporting IGA Financial Institution
 Nonparticipating Financial Institution

Other (describe the FATCA status in the box provided)

If the company is a Financial Institution section 2 is now complete, proceed to section 3.

- Non-Financial Australian Public Listed Company or a corporate Australian Registered Charity** (Public listed companies as per 1.4 that are not Financial Institutions as described above or a company that is an Australian Registered Charity)

If the company is an Australian Public Listed Company or an Australian Registered Charity, section 2 is now complete, proceed to section 3.

- Non-Financial Proprietary Company or an unlisted public company** that are not Financial Institutions as described above

Are any of the company's Beneficial Owners US citizens or residents of the US for tax purposes Yes No

If yes, provide an individual ID Form for this Beneficial Owner, including their US Taxpayer Identification Number (TIN), unless already provided in part of 1.5 of this form.

SECTION 3: AUSTRALIAN COMPANY VERIFICATION PROCEDURE

Identification documentation is to be provided to verify the information listed in the standard or simplified verification procedure described below. The simplified verification procedure is to be used for Australian Public Listed companies, Majority Owned Subsidiaries of Australian Public Listed companies and Regulated companies as described in section 1.4 of this form. All other companies are to be verified according to the standard verification procedure.

Standard verification procedure

Provide the following documentation so that Yarra Investment Management Limited (YIML) can verify:

- The full name of the company as registered by ASIC
- Whether the company is registered as a proprietary or a public company
- The ACN issued to the company.
- The Individuals that ultimately own 25% or more of the Company.
- The appointment of your Custodian, where relevant.

Tick ✓	Verification options (select either A or B below AND C if your Custodian is holding the assets on your behalf.)
<input type="checkbox"/>	A. Perform a search of the relevant ASIC database (i.e. Full ASIC Company Search) for the Company and for the Ultimate Holding Company. Note – Full ASIC Company Search is only required for Ultimate Holding Company where you have ticked 'Yes' to question 1.5 above; OR
<input type="checkbox"/>	B. If the ASIC database is not reasonably available, an original or certified copy of the certification of registration issued by ASIC. Note – if you have ticked 'Yes' to question 1.5 above, this verification option is not available; AND
<input type="checkbox"/>	C. If your Custodian is holding the assets on your behalf, please provide a certified extract from your Custodian agreement showing this appointment.

Simplified verification procedure for an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (as described in section 1.4 of this form)

Provide the following documentation so that YIML can verify:

- The full name of the company
- That the company is an Australian Public Listed company, a Majority Owned Subsidiary of an Australian Public Listed company or a Regulated company (whichever is applicable).

Tick ✓	Verification options (select one or more of the options A – D AND E if your Custodian is holding the assets on your behalf)
<input type="checkbox"/>	A. Perform a search of the relevant market/exchange.
<input type="checkbox"/>	B. Perform a search of the relevant ASIC database (i.e. Full ASIC Company Search).
<input type="checkbox"/>	C. Perform a search of the licence or other records of the relevant Commonwealth, State or Territory statutory regulator.
<input type="checkbox"/>	D. A public document issued by the relevant company.
<input type="checkbox"/>	E. If your Custodian is holding the assets on your behalf, please provide a certified extract from your Custodian agreement showing this appointment.

IMPORTANT NOTE:

- ➔ Ensure that individual customer ID Forms have been provided for the Company's Beneficial Owners as per 1.5 AND
- ➔ Attach a legible certified copy of the ID documentation which can be used by YIML to verify the company