

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

Yarra Capital Management Investor Services

Phone: 1800 251 589
Email: transactions@yarracm.com
Web: www.tyndallam.com (for Tyndall funds)
 www.yarracm.com (for Yarra and Nikko AM funds)

IDENTIFICATION FORM: INDIVIDUALS AND SOLE TRADERS

GUIDE TO COMPLETING THIS FORM

- o Complete one form for each individual. Complete all applicable sections of this form in BLOCK LETTERS.
- o If the account is being set up on behalf of another person (for example for a child under 18 years of age), a separate form must be complete for that individual.
- o Contact Investor Services on 1800 251 589 if you have any queries.

SECTION 1: PERSONAL DETAILS

Surname Date of Birth
dd/mm/yyyy

Full Given Name(s)

Residential Address (PO Box is NOT acceptable)
 Street

Suburb	State	Postcode	Country
<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full Business Name (if any)	ABN (if any)
<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>

Principal Place of Business (if any) (PO Box is NOT acceptable)
 Street

Suburb	State	Postcode	Country
<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>

SECTION 2: TAX INFORMATION

Tax residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

Please answer **both** tax residency questions:

Is the individual a tax resident of Australia? Yes No

Is the individual a tax resident of another Country? Yes No

If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a TFN in Australia or an Employer Identification Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1.	Country	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	TIN	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	If no TIN, list reason A, B or C	<input type="checkbox"/>
2.	Country	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	TIN	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	If no TIN, list reason A, B or C	<input type="checkbox"/>
3.	Country	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	TIN	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	If no TIN, list reason A, B or C	<input type="checkbox"/>

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

- Reason A** The country of tax residency does not issue TINs to tax residents
- Reason B** The Company has not been issued with a TIN
- Reason C** The country of tax residency does not require the TIN to be disclosed

SECTION 3: VERIFICATION PROCEDURE

Provide the following documentation so that Yarra Investment Management Limited (YIML) can verify the individual's full name; and EITHER their date of birth or residential address.

- o Complete Part I (or if the individual does not own a document from Part I, then complete either Part II or III.)
- o Contact Investor Services on 1800 251 589 if unable to provide the required documents.

PART I – ACCEPTABLE PRIMARY PHOTOGRAPHIC ID DOCUMENTS

Tick ✓	Select ONE valid option from this section only
<input type="checkbox"/>	Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	Australian passport (a passport that has expired within the preceding 2 years is acceptable)
<input type="checkbox"/>	Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person
<input type="checkbox"/>	Foreign passport or similar travel document containing a photograph and the signature of the person*

PART II – ACCEPTABLE SECONDARY ID DOCUMENTS – should only be completed if the individual does not own a document from Part I

Tick ✓	Select ONE valid option from this section
<input type="checkbox"/>	Australian birth certificate
<input type="checkbox"/>	Australian citizenship certificate
<input type="checkbox"/>	Pension card issued by Department of Human Services (previously known as Centrelink)
Tick ✓	AND ONE valid option from this section
<input type="checkbox"/>	A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address
<input type="checkbox"/>	A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. <i>Block out the TFN before scanning, copying or storing this document.</i>
<input type="checkbox"/>	A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address)
<input type="checkbox"/>	If under the age of 18, a notice that: was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school

PART III – ACCEPTABLE FOREIGN PHOTOGRAPHIC ID DOCUMENTS – should only be completed if the individual does not own a document from Part I

Tick ✓	Select ONE valid option from this section only
<input type="checkbox"/>	Foreign driver's licence that contains a photograph of the person in whose name it issued and the individual's date of birth*
<input type="checkbox"/>	National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued*

* Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

IMPORTANT NOTE:

- **Attach a legible certified copy of the ID documentation which can be used by Yarra Investment Management Limited (YIML) to verify the individual (and any required translation)**