

WARBURTON GLOBAL FUND

ANTI MONEY LAUNDERING AND COUNTER-TERRORISM FINANCING LEGISLATION

In order to process your Application Form we must verify the customer identification information you provide to us on the Application Form. For joint investors, verification is necessary for each investor.

You can either send us a certified copy of the applicable document (s) with your application or come into our offices with the original documents(s). The documents you can provide are set out in the following table:

Type of Investor	Proof of Identity documents
<p>Individual:</p> <ul style="list-style-type: none"> • acting for themselves • as a sole trader; • as an individual trustee of a trust <p>Note: for joint investors the necessary proof of identity is required for each investor</p>	<p>One 'A' document; or One 'B' and One 'C' document</p> <p>'A' documents :</p> <ul style="list-style-type: none"> • Current drivers licence; or • Passport (current within the preceding 2 years); <p>'B' documents:</p> <ul style="list-style-type: none"> • Birth certificate; • Citizenship certificate; or • Pension or health card from Centrelink. <p>'C' documents: (containing name and residential address)</p> <ul style="list-style-type: none"> • Notice from Commonwealth or State or Territory as evidence of entitlement to a financial benefit; • Notice of Australian Tax Office recording a debt; payable by or to ATO; • Utilities or local government body notice (within preceding 3 months) e.g. rates notice, phone, gas or electricity bill; • Statement from bank or building society (within last 3 months); • Household/motor insurance certificates (within the last 12 months).
<p>Company</p>	<p>A certificate of registration or incorporation issued by ASIC or the relevant foreign registration body showing name of company, name of registration body, company identification number and type of company</p> <p>or</p> <p>a recent ASIC search (Australian registered companies)</p> <p>or</p> <p>if regulated a record of regulated status via search of regulator's register ie RSE licence from APRA or AFSL from ASIC</p> <p>Where details of beneficial owners are required please also provide verification documents as per "Individuals".</p>
<p>Trustee</p>	<p>Trust Deed or extract of trust deed identifying the Trustee, settlor (unless settlor is deceased or settlor's contribution was under \$10,000), and beneficiaries and containing the signature page.</p> <p>Trustee(s) who are individuals must provide the documents as above for individuals.</p> <p>Trustee(s) which are companies must provide the additional information as noted above.</p>
<p>Partnerships</p>	<p>Partners who are individuals must provide the document as above for individuals.</p>

Documents can be certified as a true copy by any of the following:

- An Australian legal practitioner;
- A Justice of the Peace;
- A notary public;
- A police officer;
- An agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- A permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public; or
- A member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two (2) or more years of continuous membership.

Please contact Primary Securities Ltd if you would like a more extensive list.