



Investment Application



This form may be lodged with Uniting Financial Services or posted to:

Uniting Financial Services
REPLY PAID 2178
SYDNEY SOUTH NSW 1234



Helpful hints for completing this application

- Church organisations should have this application form signed by two authorised representatives.
- New signatories on the investment (not already identified) must complete an Identification and Verification Reference form.
- Please ensure all steps are completed where required.



Need help or have a question?

Call us on **1300 133 673** Visit us at unitingfinancial.com.au Email us at contactus@unitingfinancial.com.au

Please use **BLOCK LETTERS** in **BLACK OR BLUE PEN ONLY** and tick required choices

STEP 1 – YOUR/YOUR ORGANISATION’S DETAILS

Already a Uniting Financial Services investor? Please provide your investor I.D. and go to Step 2 or complete the following details.

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Name of organisation

ABN (if applicable)

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Address

Suburb

State

--	--	--	--

Postcode

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

Postal address (if different from above)

Suburb

State

--	--	--	--

Postcode

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

Telephone

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Fax

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Mobile

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Email

DETAILS OF INDIVIDUALS ON NEXT PAGE ▶

STEP 2 – DETAILS OF INDIVIDUALS (Including directors of proprietary companies and trustees)

(Not applicable to Uniting Church unincorporated associations)

All individuals including directors of proprietary companies and trustees are required to complete this section.

INDIVIDUAL 1

Title	Full name
<input type="text"/>	<input type="text"/>

Occupation	Date of birth
<input type="text"/>	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY

Town/City of birth	Country of birth
<input type="text"/>	<input type="text"/>

Nationality
<input type="text"/>

Country of residence for tax purposes and related Taxpayer Identification Number or functional equivalent (e.g Tax File Number)

COUNTRY OF TAX RESIDENCE	TIN
1	
2	
3	

INDIVIDUAL 2

Title	Full name
<input type="text"/>	<input type="text"/>

Occupation	Date of birth
<input type="text"/>	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY

Town/City of birth	Country of birth
<input type="text"/>	<input type="text"/>

Nationality
<input type="text"/>

Country of residence for tax purposes and related Taxpayer Identification Number or functional equivalent (e.g Tax File Number)

COUNTRY OF TAX RESIDENCE	TIN
1	
2	
3	

STEP 3 – FUND INVESTMENT SELECTION

Uniting Financial Services Ethical Diversified Fund (EDF)

Investment amount \$

OR

Uniting Financial Services Ethical Australian Equity Fund (EAEF)

Investment amount \$

FUND DETAILS ON NEXT PAGE ▶

STEP 7 – DETAILS OF AUTHORISED SIGNATORIES FOR INVESTMENT(S)



- All new signatories not identified by Uniting Financial Services must complete an Identification and Verification Reference form.
- Uniting Church organisations must include at minimum two authorised representatives.
- Please note: Person listed as contact 1 will receive all investment correspondence from Uniting Financial Services.

We have received, read and understood the relevant *Information Document* for the Uniting Financial Services managed fund to which this application applies and agree to be bound by the relevant Trust Deed dated 18 July 2000 (as amended from time to time) which governs the managed fund to which this application applies.

1. Full name **Position (if applicable)**

Residential address

Postal address

Email

Phone (Home or Work) **Mobile**

Authorised signatory 1

Date / /

2. Full name **Position (if applicable)**

Residential address

Postal address

Email

Phone (Home or Work) **Mobile**

Authorised signatory 2

Date / /

DETAILS OF AUTHORISED SIGNATORIES CONTINUED ON NEXT PAGE ►

STEP 7 (CONTINUED) – DETAILS OF AUTHORISED SIGNATORIES FOR INVESTMENT(S)

3. Full name Position (if applicable)

Residential address

Postal address

Email

Phone (Home or Work) Mobile

Authorised signatory 3

Date / /

4. Full name Position (if applicable)

Residential address

Postal address

Email

Phone (Home or Work) Mobile

Authorised signatory 4

Date / /

5. Full name Position (if applicable)

Residential address

Postal address

Email

Phone (Home or Work) Mobile

Authorised signatory 5

Date / /

STEP 8 – CUSTODIAN UNIT REGISTRY - ONLINE VIEW ACCESS



• If online viewing is required, the User ID and password will be separately emailed

NAME	EMAIL ADDRESS

STEP 9 – TAX FILE NUMBER (TFN)¹ OR EXEMPTION

It is not compulsory for you to provide your organisation's TFN and it is not an offence if you decline to provide it. If you do not provide your organisation's TFN or claim an exemption, tax will be deducted from any income or distribution at the highest marginal rate plus the Medicare levy and any other applicable levies or taxes to meet Australian Taxation Law requirements. You should only provide an ABN on page one of this application form (instead of a TFN) when the investment is made in the course or furtherance of your organisation's enterprise.

TFN of Investor²

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Tax Exempt Status

Please complete your name and reason for your tax exempt status below.

Investor name

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Reason for exemption

Non Resident³ Registered Charity⁴ Other (provide details)

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- The collection of your TFN information or exemption is authorised and their use and disclosure strictly regulated by Australian Taxation Laws and the Privacy Act 1988 (Cth.). You should only provide an Australian Business Number (ABN) instead of a TFN when the investment is made in the course or furtherance of their enterprise. You are not obliged to provide either your TFN or ABN, but if you do not provide either, or claim an exemption, the Trustee is required to deduct tax from your distribution at the highest marginal tax rate plus Medicare levy to meet Australian Taxation Law requirements. For more information about the use of TFNs for investments, contact the enquiries section of your local branch of the Australian Taxation Office. Once provided, your TFN will be applied automatically to any future investments in the Fund where formal application procedures are not required (e.g. distribution reinvestments), unless you indicate, at any time, that you do not wish to quote a TFN for a particular investment. Exempt investors should attach a copy of the certificate of exemption (not applicable to Uniting Church unincorporated associations).*
- Trustees of a trusts should provide the applicable ABN or TFN for the Trust.*
- Non-residents must specify residential address, including country of residence for tax purposes.*
- A charity must be registered as a charity with Australian Charities and Not-for-profits Commission (ACNC).*

STEP 10 – U.S. FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”)

From 1 July 2014, we are required to identify certain US persons in order to meet account information reporting requirements under local and international laws. From 1 July 2014, by completing this application, you agree to do the following:

- If you or (where you are applying on behalf of an entity) the entity and/or any office bearer* of the entity and/or any individual who holds an interest in the entity of more than 25% (a Controlling Person) are a US citizen or US tax resident, you must call us on 1300 133 673 (or +61 2 8267 4311 if you are calling from overseas) at the time of completing this application. When you contact us you will be asked to provide additional information about your US tax status and/or the US tax status of the entity and/or any Controlling Person which will constitute certification of your US tax status for the purposes of this application.
- Unless you notify us that you or (where you are applying on behalf of an entity) the entity and/or any Controlling Person are a US citizen or US tax resident as specified above, by completing this application you certify that you or (where you are applying on behalf of an entity) the entity and/or any Controlling Person are not a US citizen or US tax resident.
- If at any time after account opening, information in our possession suggests that you, the entity and/or any Controlling Person may be a US citizen or US tax resident, you may be contacted to provide further information on your US tax status and/or the US tax status of the entity and/or any Controlling Person. Failure to respond may lead to certain reporting requirements applying to the account.

*Director of a company, partner in a partnership, trustee of a trust, chairman, secretary or treasurer of an association or co-operative.

DECLARATION ON NEXT PAGE ►

STEP 11 – DECLARATION

IMPORTANT: PLEASE READ THE FOLLOWING BEFORE SIGNING THIS APPLICATION FORM.

I / WE DECLARE AND AGREE:

- that all the details I / we have provided in this application are true and correct.
- I / we have read, understood and accepted the terms and conditions as contained in the relevant Information Document to which my/our application relates.
- I / we have read and understood that I / we are applying solely on the basis of the relevant Information Document and this completed Application Form.
- I / we agree to be bound by the provisions of the Trust Deed dated 18 July 2000 (as amended from time to time) and the relevant Information Document (as amended or reissued from time to time).
- If this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of that power (a certified copy of the Power of Attorney should be submitted with this Application Form).
- If signing on behalf of a company as a sole signatory, that I am signing as a sole director and sole secretary of the company;
- If investing as trustee, on behalf of a superannuation fund or trust, that I/we am/are acting in accordance with my/our designated powers and authority under the applicable trust deed. In the case of a superannuation fund, I/we also confirm that it is a complying fund under the Superannuation Industry (Superannuation) Act 1993 (Cth).
- I / we are authorised to open the abovementioned investment(s) with Uniting Financial Services based upon authority duly given by resolution passed at a legally constituted meeting of the investor's governing body in accordance with its rules or constitution [where applicable] for the opening and operation of the investment(s) in the name set out in this application.

I/WE WARRANT THAT:

- If requested, I / we will provide the Trustee with such additional information or documentation and/or assistance as the Trustee may request at any future time to ensure compliance with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth.) and related rules ("AML/CTF Laws").
- I / we will not knowingly do anything to put the Trustee in breach of the AML/CTF Laws.
- I / we will notify the Trustee if I / we become aware of anything that may put the Trustee in breach of AML/CTF Laws.
- I / we will comply with all reasonable requests to facilitate the Trustee's compliance with AML/CTF Laws in Australia or an equivalent overseas jurisdiction.
- I / we are not aware and have no reason to suspect that the money used to fund the investment is derived from or related to:
 - money laundering, terrorism financing or similar activities
 - illegal activities, and/or
 - proceeds of investment made in connection with the Fund will fund illegal activities.

I / WE ACKNOWLEDGE AND AGREE THAT:

- I / we understand that holding units is subject to investment risks, including possible delays in repayment, loss of income and principal invested.
- None of the Trustee, its related bodies corporate or associates nor any other person guarantees the repayment of capital or the

performance of the relevant managed fund or any particular rate of return from the relevant managed fund.

- I / we have such knowledge and experience in financial and business matters or I / we have obtained independent advice from a financial advisor such as I / we are capable of evaluating the merits and risks of my / our acquisition of units.
- I / we have read the information on privacy and personal information contained in the relevant Information Document and consent to my/our personal information being collected, used and disclosed in accordance with that Information Document and the Trustee's Privacy Policy.
- Application monies will be held in a bank account until invested in the relevant managed fund or returned to me/us. Any interest paid on that account will be paid to the Trustee and not to applicants regardless of whether my/our Application Form is not successful.
- None of the Trustee or related bodies corporate, affiliates, associates or officers of any of the above entities guarantees any particular rate of return or the performance of the relevant managed fund, nor do they guarantee repayment of capital from the relevant managed fund.
- Investments with the relevant managed fund is not a deposit with other liabilities of the Trustee or related bodies corporate, affiliates, associates or officers of any of the above entities.
- Information is collected from me / us to administer and manage my / our investments and if some or all the information is not collected then it may not be possible to administer my / our investment. The Trustee may use my / our personal information to provide me / us with information and marketing material about other products and services provided by Uniting Financial Services. The Trustee does not provide your information to any other organisation without your consent, other than those organisations that provide administrative or other services as part of the operation of our business. You can view and obtain the Trustee's Privacy Policy from our website www.unitingfinancial.com.au.
- The Trustee, its Directors, the members of the Trustee and the Custodian are each authorised and instructed to accept and execute any instructions in respect of this application and the units to which it relates given by me / us by facsimile. If instructions are given by me / us by facsimile, I / we acknowledge that the onus is on me / us to ensure that such instructions are in legible form, and I / we undertake to confirm them in writing. Subject to any law to the contrary, and to the maximum extent permitted by law, I / we hereby indemnify the Trustee, its Directors, the members of the Trust and the Custodian and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile instructions. Subject to any law to the contrary, and to the maximum extent permitted by law, the members of the Trust, its Directors, the members of the Trustee and the Custodian may rely exclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons.
- The Trustee has the absolute discretion to accept or reject any application for units in the relevant managed fund.
- I / we understand and acknowledge investments managed by The Uniting Church (NSW) Trust Association Limited are used to promote the charitable purposes and support the work of The Uniting Church in Australia, Synod of NSW and the ACT.

AUTHORISED SIGNATORIES ON NEXT PAGE ►

STEP 12 – AUTHORISED SIGNATORIES TO SIGN

<div style="border: 1px solid black; padding: 5px;">SIGN HERE Authorised signatory</div> <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div> <p>Print full name</p> <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div> <p>Date <input type="text" value="DD"/> / <input type="text" value="MM"/> / <input type="text" value="YYYY"/></p>	<div style="border: 1px solid black; padding: 5px;">SIGN HERE Authorised signatory</div> <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div> <p>Print full name</p> <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div> <p>Date <input type="text" value="DD"/> / <input type="text" value="MM"/> / <input type="text" value="YYYY"/></p>
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APPLICATION CHECKLIST

- Please ensure all steps are completed where required.
- Have you got two authorised representatives signatures? (Uniting Church entities)
- Have all parties signed this application?
- Have all new signatories completed an Identification and Verification Reference form.
- If a tax exempt investor, have you attached a copy of the certificate of exemption?
(Not applicable to Uniting Church unincorporated associations)

DIRECT DEBIT REQUEST SERVICE AGREEMENT

The Direct Debit Service Agreement (“Agreement”) is issued by Uniting Financial Services (“UFS”) (Debit User Number 126 416) and constitutes the terms and conditions that apply when you set up a Direct Debit arrangement for your investment in either the Uniting Financial Services Ethical Diversified Fund (“EDF”) or the Uniting Financial Services Ethical Australian Equities Fund (“EAEF”).

DEBITING YOUR ACCOUNT

- By signing the Direct Debit Request (“DDR”), you authorise UFS debit your nominated account.
- If a drawing date falls on a day which is not a Business Day, UFS may direct the drawing to be made on the next business day.
- UFS reserves the right to cancel your drawing arrangements if two or more drawings are returned unpaid by the financial institution with which your account is held and to arrange an alternative payment method with you.
- UFS collects the information on this form in order for UFS to manage your DDR and will keep these details confidential unless this information is required by UFS to investigate a claim made on UFS to an alleged incorrect or wrongful debit or as otherwise required by law.

ENQUIRIES

- If you believe that there has been an error in debiting your account, you should notify UFS directly on 1300 133 673 and confirm that notice in writing with us as soon as possible so that we can resolve your query.
- If investigations that your account has been incorrectly debited, UFS will arrange for your financial institution to adjust your account accordingly. UFS will also notify you of the amount by which your account has been adjusted.
- If our investigations show that your account has not been incorrectly debited, UFS will provide you with reasons and any evidence for this finding.
- Any queries you may have about an error made in debiting your account should be directed to us in the first instance so that we can attempt to resolve the matter between you and us. If we cannot resolve the matter you can still refer it to your financial institution which will obtain details from you of the disputed transaction and may lodge a claim on your behalf.

YOUR RESPONSIBILITIES

It is your responsibility to:

- ensure that your account can accept direct debits as direct debiting may not be available on all accounts. If you are uncertain about this, you should check with your financial institution where the account is held;
- check the account details against a recent account statement from the financial institution where it is held;
- ensure that there are sufficient clear funds in the account by the due date to allow payment(s) to be made in accordance with your Direct Debit arrangements;
- ensure that the authority given to us to draw on your account is consistent with the account authority or signing instructions held for the account;
- advise us if your account is transferred, closed or any other account details change;
- arrange a suitable payment method if your Direct Debit arrangement is cancelled;
- check your account statement to verify that the amounts debited from your account are correct.

CHANGES BY US

- We may vary the terms and conditions of this Direct Debit Service Agreement at any time by giving you at least 14 days’ written notice.

CHANGES BY YOU

- You may cancel, change or defer your authority for us to debit your account at any time by giving us 14 days’ notice in writing before the next debit day, by calling UFS on 1300 133 673 or arranging it through your own financial institution, which is required to act promptly on your instructions.

Financial services are provided by The Uniting Church (NSW) Trust Association Limited ACN 000 022 480, ABN 89 725 654 978, AFSL 292186 (“UCTAL”) and by The Uniting Church in Australia Property Trust (NSW) ABN 77 005 284 605 (“UCAPT”) (together and separately “Uniting Financial Services”), for The Uniting Church in Australia, Synod of NSW and the ACT (“Synod”), under a s.911A Corporations Act 2001 (Cth.) authorisation and pursuant to APRA Banking Exemption No. 1 of 2017 and ASIC Regulatory Guide 87 and ASIC Corporations (Charitable Investment Fundraising) Instrument 2016/813 exemptions. Uniting Financial Services® is a registered trademark of UCTAL used with permission of UCAPT. None of The Uniting Church in Australia, UCAPT and UCTAL is prudentially supervised by APRA. Therefore, investments with or contributions to these Uniting Church organisations will not receive the benefit of the Financial Claims Scheme or the depositor protection provisions in the Banking Act 1959 (Cth.). All financial services and products are designed for investors who wish to promote the religious and charitable purposes of Uniting Financial Services and The Uniting Church in Australia and for whom profit considerations are not of primary importance in their decision to invest.