

Frequently Asked Questions (FAQ)

1. What documentation do investors need to provide?

To comply with Man Investments Australia's (MIA) obligations under the AML/CTF Act 2006, MIA must collect certain information from investors and supporting documentation to verify the identity of investors.

The information and identification documentation that is required will vary depending on the investor type and the country in which the investor resides. The list of Identification Requirements is located on this website in the Anti-Money Laundering section.

2. What should an investor do if they do not fit into any of the categories listed on the Identification Requirements?

Contact Man Investments Australia Client Services for assistance.

Telephone: (61-2) 8259 9999

Toll Free: 1800 222 355 (Australia)
0800 878 220 (New Zealand)

Or via Email: info@maninvestments.com.au

3. What should an investor do if they do not have any photo ID?

If the investor does not have photo ID, they should provide two documents, one from each category below:

A. A certified copy of one of the following:

- (i) A birth certificate; or
- (ii) A citizenship certificate; or
- (iii) A pension card issued by Centrelink (for Australian residents only)

AND

B. A certified copy of one of the following, which shows the investor's name and residential address:

- (i) A notice issued by the Commonwealth or a State or Territory within the preceding 12 months which records the provision of financial benefits to the individual; or
- (ii) An Australian Taxation Office notice issued within the preceding 12 months; or
- (iii) A notice issued by a local government authority or utilities provider issued within the preceding 3 months; or
- (iv) In relation to a person under the age of 18, a notice issued by a school principal (not older than 3 months) or a notice that records the period of time that person attended school.

If the investor is resident outside of Australia and New Zealand please contact Man Investments Australia Client Services for further assistance:

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0800 878 220 (New Zealand)

Or via Email: info@maninvestments.com.au

4. Should identification documents be sent in with the application or transfer form?

Yes. All relevant certified copies of identification documentation must be sent to MIA with the completed application or transfer form to avoid delays in processing or possible rejection of the form.

Original identification documents should not be submitted. MIA will only accept copies of identification documentation that are certified in original ink (see question 7).

5. Do copies of identification documents have to be certified?

Yes. All copies of identification documents must be certified in original ink, where the certifying person, being an independent third party:

- i) Has written 'This is a true copy of the original' on the document; and
- ii) The company stamp is clear; and
- iii) The signature of the certifying person, including a printed name, is evident on each page requiring certification.

MIA cannot return identification documents to investors.

6. Who can certify the copies?

Examples of who can certify documents include (but are not limited to) lawyer, judge, Justice of the Peace, accountant and financial advisor.

A comprehensive list of who can certify documents is outlined in the Identification Requirements.

7. What does 'This is a true copy of the original' mean?

Original identification documentation will normally be presented to the certifying person who will take a photocopy of the document/s. On the photocopy he/she will either stamp or write, in ink, 'I certify this is a true copy of the original' and then sign it. They should also stamp the copy with their business stamp so MIA can verify that they are qualified to certify the document.

The person signing this statement is confirming that the photocopy is an exact copy of the original document that they have sighted.

8. Which pages of the passport should be copied and certified?

The pages copied must clearly show the investor's photograph, date of birth, expiry date of the passport, passport number and signature. The signature may be on a different page to the other information, and in this case a certified copy of each page must be provided.

9. Does the signature on the application or transfer form need to match the signature on the identification documentation?

Yes, all signatures must match. A variation in signatures may cause delays in processing the application or transfer form.

Where an investor has changed their name (e.g. through marriage), the investor should ensure that their signature matches that sent in on the original application form. If not, identification with the investors new name and proof of change of name document (e.g. marriage certificate) will be required.

10. What is the residential address?

This is the address where an investor permanently resides. This cannot be a post office (PO) box address or a c/- address.

11. What is the registered address of a business?

This is the address where the business is registered and may not necessarily be the address where business is conducted.

The registered address for a foreign company registered in Australia will be the address in Australia as recorded with the Australian Securities and Investments Commission (ASIC).

12. What details should I complete on the application form?

All fields denoted with an asterisk (*) must be completed in the relevant section of the application form. Please refer to page 1 of the application form and the Checklist for Applicants in the appropriate prospectus for further details.