

Identification Requirements for Investors outside Australia and New Zealand

In order to carry out verification of the identity of investors residing outside of Australia and New Zealand ('NZ')¹, investors must submit all relevant documentation, as outlined below, along with the completed appropriate form¹.

Please ensure that the appropriate form¹ is completed in full and submitted with all relevant documentation to avoid delays in the processing or possible rejection of the transaction.

Existing investors may be required to provide additional information when selling, redeeming or transferring shares or if the investor's circumstances change.²

Where documents are not in English you must ensure that a translation into English is provided by your professional advisor or an accredited translator.

Investor Type	Documentation Required
Existing investors in Man Investments Australia ('MIA')	If you have previously provided identification to MIA, please contact us as you may be required to submit further documentation
Individuals (including trustees, beneficiaries and joint investors)	(a) Certified copy ³ of one of the following (showing a clear copy of the investor's photograph and signature): <ul style="list-style-type: none"> (i) Extract from a valid passport; OR (ii) Driver's Licence; OR (iii) National ID Card; AND (b) Certified copies ³ of two documents from the following list as proof of residential address ⁸ : <ul style="list-style-type: none"> (i) A utility bill (dated within the last 6 months), not a mobile/cell phone bill; OR (ii) Current local authority tax bill or national tax assessment (within the last 12 months); OR (iii) Bank or credit card statement (dated within the last 3 months); OR (iv) Recent mortgage statement (dated within the last 12 months); OR (v) Driver's licence which shows the current residential address⁸ (if not used as proof of identity above)
An individual, company or trust introduced by a Regulated Credit or Financial Institution (RCFI) in a Prescribed country⁴ (e.g. bank, funds management company, life assurance/insurance company, broker, pension fund)	(a) Certificate of Introduction ⁵ (COI) if the RCFI is introducing investors who are investing in their own name; OR (b) Agency Confirmation Certificate ⁵ (ACC) if the investment is in the name of the RCFI and is on behalf of the underlying investors
An individual, company or trust introduced by a RCFI in a Non-Prescribed country⁴ (e.g. bank, funds management company, life assurance/insurance company, broker, pension fund)	(a) Confirmation of the regulatory body and laws under which the firm is regulated; AND (b) List of beneficial owners (including names, occupations, dates of birth and residential addresses ⁸); AND (c) Identification documents for each beneficial owner as per the relevant investor type above
RCFI investing proprietary money	(a) Confirmation of the regulatory body and laws under which the firm is regulated; AND (b) Confirmation (on company letterhead) that the subscription monies are proprietary
A foreign company registered in Australia	(a) ARBN; AND (b) If a private company, provide a list of shareholders holding 25% or more of the issued share capital in the company

Corporate entities quoted on a stock exchange situated in a Prescribed country⁴	<ul style="list-style-type: none"> (a) Name of stock exchange; AND (b) Certified copy of most recent audited published financial statements/accounts; AND (c) Directors' mandate authorising the investment
A foreign company not registered in Australia (excluding high risk⁶ or certain offshore jurisdictions⁷)	<ul style="list-style-type: none"> (a) Certified copy³ of Memorandum and Articles of Association; AND (b) Certified copy³ of Certificate of Incorporation; AND (c) List of all directors (including names, dates of birth & residential addresses⁸); AND (d) List of shareholders holding 10% or more of the share capital of the company (including names, dates of birth & residential addresses⁸); AND (e) Identification documents (see relevant investor type above) for at least 2 directors, all shareholders holding 10% or more, and all signatories; AND (f) Directors' mandate authorising the investment
International Business Company registered in certain offshore jurisdictions⁷ and companies registered in high risk jurisdictions⁶	<ul style="list-style-type: none"> (a) All documents required as for a 'foreign company not registered in Australia' (above); AND (b) Certified copy³ of Certificate of Incumbency; AND (c) List of beneficial owners (including names, occupations, dates of birth & residential addresses⁸) holding 10% or more of the share capital of the company; AND (d) Identification documents for all directors (see relevant investor type above) and ultimate beneficial owners (with an interest of 10% or more of the company)
Trusts	<ul style="list-style-type: none"> (a) Certified copy³ or certified extract of the trust deed; AND (b) List of trustees (including names, dates of birth & residential addresses⁸); AND (c) Identification documents (see relevant investor type above) for one of the trustees; AND (d) List of beneficial owners of the trust
Partnerships	<ul style="list-style-type: none"> (a) Business name of the partnership (if any); AND (b) List of all partners (including names, dates of birth & residential addresses⁸); AND (c) Identification documents for one of the partners (see relevant investor type above); AND (d) Certified copy³ or certified extract of the partnership agreement
Incorporated Associations	<ul style="list-style-type: none"> (a) Unique identifying number; AND (b) List including full names of chairperson, secretary and treasurer; AND (c) The name of the body responsible for registration; AND (d) Certified copy³ or certified extract of the rules or constitution of the association
Unincorporated Associations	<ul style="list-style-type: none"> (a) List including full names of chairperson, secretary and treasurer; AND (b) Identification documents for one of the members (see relevant investor type above) listed in (a); AND (c) Certified copy³ or certified extract of the rules or constitution of the association
Registered Co-operatives	<ul style="list-style-type: none"> (a) Unique identifying number issued by the registering body; AND (b) List including full names of chairperson, secretary and treasurer; AND (c) The name of the body responsible for registration; AND (d) Certified copy³ or certified extract of any register maintained by the co-operative
Government Bodies	<ul style="list-style-type: none"> (a) The type of body; AND (b) If the government body is established by legislation provide a copy or extract of the relevant legislation

NOTES

¹ Non-Australian and non-New Zealand investors and appropriate forms

Individuals who are residents of a country other than Australia or New Zealand, or companies or other entities that are registered or formed outside Australia or New Zealand. Investors include new applicants and transferees. Appropriate forms include application or transfer forms.

² Provision of additional information

Man Investments Australia (MIA) reserves the right to request further documentation, other than that on pages 1 and 2, where deemed necessary.

³ Certified copies

Documents may be certified by a professional such as a lawyer, notary, accountant, banker, professional advisor or official entity such as an embassy or government ministry.

MIA will only accept copies of identification documentation that are certified in original ink, where the certifying person, not being the applicant:

- (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 individual certifying the document, including a printed name, is evident on each page requiring certification.

⁴ Prescribed countries

Australia, Austria, Barbados, Belgium, Brazil, Bulgaria, Canada, Chile, Czech Republic, Denmark, Estonia, Finland, France, Germany, Gibraltar, Greece, Guernsey, Hong Kong, Hungary, Iceland, Ireland, Isle of Man, Italy, Japan, Jersey, Latvia, Liechtenstein, Lithuania, Luxembourg, Malaysia, Malta, Mauritius, Mexico, Netherlands, Netherlands Antilles, New Zealand, Norway, Oman, Poland, Portugal, Qatar, Saudi Arabia, Singapore, Slovenia, South Korea, Spain, Sweden, Switzerland, United Arab Emirates, United Kingdom and the United States of America

Other countries, not listed above, should be treated as Non-Prescribed, unless specified as being high-risk jurisdictions⁶ or a certain offshore jurisdiction⁷.

⁵ Certificate of Introduction (COI) or Agency Confirmation Certificate (ACC)

Companies providing a COI or ACC must do so on their company letterhead. The RCFI must be in a Prescribed Country.

Contact MIA for a copy of the template of the COI or ACC.

⁶ High risk jurisdictions include:

Afghanistan, China, Iran, Iraq, Laos, Liberia, Libya, Myanmar, Nauru, Nicaragua, Nigeria, Niue, North Korea, Pakistan, Russian Federation, South Africa, Sudan, Syria, Uganda and Zimbabwe.

Contact MIA for a current full listing of high risk jurisdictions.

⁷ Certain offshore jurisdictions

Anguilla, Antigua & Barbuda, Bahamas, Belize, Bermuda, British Virgin Isles (BVI), Cayman Islands, Cook Islands, Jamaica, Macau, Panama, Nevis, Samoa, Sark, Seychelles, Uruguay and Vanuatu.

⁸ Residential address

For individuals this is the address at which they permanently reside. This cannot be a post office (PO) box or a c/- address.

If you have any questions relating to these requirements please contact Man Investments Australia Client Services on (61-2) 8259 9999 or via email: info@maninvestments.com.au