



INITIAL APPLICATION FORM

ANTARES PROFESSIONAL SELECTION INVESTMENT FUNDS

INSTRUCTIONS TO COMPLETE

DATE: OCTOBER 2023

You must complete this Initial Application Form if you are a new investor wishing to invest in the fund(s) which comprises the suite of products known as the Antares Professional Selection Investment Funds (Funds) for the first time. These Funds are listed in Section 6 of the form. The Responsible Entity of the Funds is MLC Investments Limited (MLC) (ABN 30 002 641 661) (AFSL 230705). MLC is the issuer of the current Product Disclosure Statement (PDS) for each Fund and Product Guide (as applicable) which provide important information about the Funds to assist you in deciding whether to invest. You should read the relevant PDS, Product Guide (as applicable) and any website updates for the relevant Fund(s) in full before completing this Initial Application Form. Copies of these documents are available free of charge from antarescapital.com.au or by contacting Client Services on **1300 738 355**, or from your approved Australian financial adviser (Financial Adviser).

Any person who gives another person a copy of this Initial Application Form must at the same time give the person a copy of the relevant PDS and Product Guide (as applicable).

Please print in BLOCK LETTERS and use BLACK or BLUE INK to complete this Initial Application Form and relevant Financial Services Council (FSC) identification form(s). If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and have all signatories initial the changes.

To ensure that we are able to process your application quickly and efficiently, please cross (X) each box below to confirm that you have completed each section of the Initial Application Form that is relevant to your investment:

Signed and dated the Initial Application Form:

- Individual investor** - sign and date the form.
- Joint investors** - both investors to sign and date the form.
- Company** - to be signed and dated by two directors or a director and secretary of the company or, if the company has only a sole director, that director.
- Trusts (including self-managed super funds (SMSFs))** - to be signed and dated by a trustee.
- Other (associations / government bodies / registered co-operatives / partnerships)** - to be signed and dated.
- Authorised Signatory List** - if an organisation wishes to authorise persons other than the director(s)/secretary signing the Initial Application Form to make transactions in relation to the investment, then a certified copy of the Authorised Signatory List must be submitted to Antares Registry Services.
- Power of Attorney - sign and date the form in the presence of a witness.** Attach a certified copy of the Power of Attorney. Each page of the Power of Attorney document must be certified by a Justice of the Peace, solicitor or notary public. The Attorney needs to **complete the FSC identification form for individuals**, which is available on antarescapital.com.au/forms

- Supplied your **TFN, ABN, TFN exemption** or country of tax residence for non-residents.
- Supplied your **email address**.
- Provided **certified proof of identity** - either to your Financial Adviser (who should complete the declaration in section 10 of this Initial Application Form and attach

certified copies of identity verification documents) or attached to the Initial Application Form if you are investing directly with us.

- Provided **relevant FSC identification form(s)**.
- Submit** your Initial Application Form and relevant FSC identification form(s) to:

Antares Registry Services
GPO Box 804
Melbourne VIC 3001

Please refer to section 6 for payment method options.

Anti-money laundering, Sanction and related laws

Anti-money laundering and other related laws require us to collect and/or verify information about the identity of customers and related parties, including anyone acting on your behalf.

The following instructions for completing the Initial Application Form will assist you in providing this information. The provision of complete and accurate information will enable us to process your application efficiently and meet our legislative obligations.

Under relevant laws, we may be required to ask you for additional identity verification documents and/or information about you or a related party, either when we are processing your application or at some stage after we issue the units. We may pass any information we collect to the relevant government authority.

We reserve the right to restrict withdrawals from your account if we have not been provided with the necessary identification information about you or a related party.

Identity verification documents

Whether you are investing via a Financial Adviser or directly with MLC, you will be required to provide valid identity verification documentation. The actual documentation required will depend on whether you are an individual investor or a non-individual investor such as a superannuation fund, a trust or a company. The applicable documentation is outlined in the relevant FSC identification form(s) (refer to Section 12).

If any documentation you provide is not in English, it must be accompanied by an original copy of an English translation prepared by an accredited translator.

If we do not receive all the required valid customer identity verification documents with your Initial Application Form or we are unable to verify your identity at any time, we may not be able to commence your investment or may not process any future withdrawal requests until we receive the required documents. We will contact you or your Financial Adviser as soon as possible if we require more information.

If you are investing through a Financial Adviser, they will be required to obtain acceptable identity verification documents from you prior to lodging your application. To do this, they will need to sight the original or certified copies of your identity verification documents and retain copies. They will then send us certified copies of your identity verification documents together with your Initial Application Form.

A Financial Adviser is an adviser from a Dealer group which may have a current agreement with MLC in relation to the AML/CTF Act customer identification program.

If you are not investing via a Financial Adviser or have not provided identity verification documents to your Financial Adviser, you will be required to send the **certified copies** of the original identity verification documents (not scanned copies) as listed in the relevant FSC identification form(s), which must be valid at the time you send them to us. Until we receive such document(s) we reserve the right to withhold processing any transaction requests you wish to make in the future.

If the Initial Application Form is signed under Power of Attorney, we will also require a certified copy of the Power of Attorney document and a specimen signature of the Attorney.

Please refer to 'Approved Certifiers' for a list of persons who can certify these documents and see 'Certified copy requirements' for details of how documents must be certified.

Beneficial ownership & control of an entity

In accordance with Sections 3 and 10 (where applicable) MLC, as required by AML/CTF law, reserves the right to request, and verify, the identity of any persons who are deemed to own or control (directly or indirectly) for the non-individual entity. Please refer to the relevant FSC identification forms for definitions of the beneficial owner for each investor type.

For further information on this, please contact Client Services on **1300 738 355**.

Australian tax file number

MLC is authorised under the Australian Income Tax Assessment Act 1936 to ask for your Australian tax file number (TFN) when you open an investment account for income distribution purposes. You don't have to provide your TFN and it's not an offence if you decide not to, but if you don't, 'Pay As You Go Withholding Tax' will be deducted at the highest marginal tax rate (plus Medicare Levy) from any income distributions payable to you.

Certified copy requirements

A certified copy is a document that has been approved as a true copy of an original document. The following certification requirements **must appear on each page of the copy**:

- The text: **'This is to certify that this is a true and correct copy of the original which I have sighted'**.
- **Signature** of the Approved Certifier.
- **Full printed name** of the Approved Certifier (e.g. Michelle Helena Citizen).
- **Capacity** of the Approved Certifier (e.g. solicitor).
- **Full address** of the Approved Certifier.
- **Registration number** (if applicable).
- **Date** that the document was certified.

Note: A photocopy of a certified document will not be accepted. Original certification only.

Privacy notification

We are committed to protecting your privacy. Any personal information we collect about you will be handled in accordance with our privacy policy, which outlines how we manage your personal information, how you may access or correct your personal information, and how you may complain about a breach of your privacy. To obtain a copy of our privacy policy, please contact Client Services on **1300 738 355** or visit our website at mlcam.com.au/privacy

We collect your personal information from the application form you complete when applying for this product for the purpose of providing you with the products and services that you request and for related purposes, including providing you with financial advice and ongoing services in relation to your account with us, or providing information about other products and services that may be of interest to you. If you do not provide all the information requested in your application form, we may not be able to process your application.

To verify your identity for Know Your Customer (KYC) purposes, we may also solicit personal information about you from reliable identity verification service providers.

For the purpose of providing you with the products or services you have requested, we may disclose your personal information to our related bodies corporate or external parties, including your financial adviser or employer, banks or other financial institutions, medical professionals, insurers, legal or accounting firms, auditors, mail houses, or when required or authorised to do so by law. It is generally unlikely that we will disclose your personal information overseas, however, any overseas disclosure does not affect our commitment to safeguarding your personal information and we will take reasonable steps to ensure any overseas recipient complies with Australian privacy laws.

Approved certifiers

Identity verification documents may be certified as a true and correct copy of an original document by one of the following persons in Australia. The person certifying must state their capacity (from the list below) and complete according to **certified copy requirements** listed above.

1. A person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia as a legal practitioner (however described).
2. A Judge of a Court.
3. A Magistrate.

4. A chief executive officer of a Commonwealth Court.
5. A registrar or deputy registrar of a Court.
6. A Justice of the Peace.
7. A notary public (for the purposes of the Statutory Declaration Regulations 1993).
8. A police officer.
9. An agent of the Australian Postal Corporation who is in charge of supplying postal services to the public.
10. A permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public.
11. An Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955).
12. An officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993).
13. A finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declarations Regulations 1993).
14. An officer with, or authorised representative of, a holder of an Australian Financial Services Licence (AFSL), having two or more continuous years of service with one or more licensees.
15. A member of the Institute of Chartered Accountants in Australia, CPA Australia or the Institute of Public Accountants with two or more years of continuous membership.
16. A foreign public notary whose appointment is lawful and their status as a notary public can be verified.

Direct Debit Service Agreement

In addition to the direct debit service agreement information provided in the relevant PDS and Product Guide (as applicable), please also make note of the following:

Our commitment to you

Drawing arrangements:

- We will advise you, in writing of the details of the regular savings plan (RSP) drawing arrangements [amount; frequency; commencement date] with your investment confirmation.
- We reserve the right to cancel the RSP drawing arrangements if two (2) consecutive drawings are returned unpaid by your nominated financial institution and to arrange with you an alternate payment method.
- We will keep all information pertaining to your nominated account at the financial institution, private and confidential.

Your rights:

- Where you consider that a drawing has been initiated incorrectly outside the RSP arrangements you may take the matter up directly with us, or lodge a direct debit claim through your nominated financial institution.
- You may terminate or stop the RSP drawing arrangement at any time by giving written notice to us, or through your nominated financial institution. Notice given to us should be received by us at least five (5) Melbourne business days before the date of your next scheduled debit.

Your commitment to us

Your responsibilities:

- It is your responsibility to ensure that the authorisation given to draw on the nominated account is identical to the account signing instruction held by the financial institution where the account is based.
- It is your responsibility to advise us if the account nominated by you is transferred or closed. If you would like to continue to make payments under the RSP after your nominated bank account has been closed, you will need to nominate a new bank account by completing the Change in Direct Debit Authorisation - Regular Savings Plan section (Section 7) of the Change of Details Form available at antarescapital.com.au or by contacting Client Services on **1300 738 355**, or from your Financial Adviser.

1. ADDITIONAL INVESTMENT

If you already have an existing investment in the Funds listed in section 6 and wish to make additional investments, you should use the Additional Investment Form available at antarescapital.com.au or by contacting Client Services on **1300 738 355**, or from your Financial Adviser.

2. INVESTOR TYPE

Mandatory ()*

Cross (X)	Investor type*	Sections to be completed*
<input type="checkbox"/>	Individuals / Joint investors / Sole traders	3A, 3B (if applicable), 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12A, 13,14
<input type="checkbox"/>	Australian companies	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12B, 13,14
<input type="checkbox"/>	Australian regulated trusts (including SMSFs and individual or corporate trustees)	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12C, 13,14
<input type="checkbox"/>	Unregulated Australian trusts and foreign trusts	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12D, 13,14
<input type="checkbox"/>	Foreign companies	12E, please contact Client Services on 1300 738 355
<input type="checkbox"/>	Associations	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12F, 13,14
<input type="checkbox"/>	Government bodies	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12G, 13,14
<input type="checkbox"/>	Registered co-operatives	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12H, 13,14
<input type="checkbox"/>	Partnerships	3C, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12I, 13,14
<input type="checkbox"/>	Custodian	3D, 4, 5, 6, 7, 8, 9, 10 (if applicable), 11, 12J, 13,14

3. INVESTOR DETAILS

3A. Investor 1 - Individual Joint investor 1 Sole trader

Mandatory (*)

Title* Full given name(s)* Surname*

Full business name (if any)* ABN (if any)*

Date of birth (DD/MM/YYYY)* / / Gender* Male Female Other

Telephone: Business hours* Mobile

Occupation *

TFN¹ TFN exemption reason (Australian residents)

Country of tax residence (non-Australian residents)*

Residential address

(PO boxes, locked bags and RMBs are not acceptable)

Unit/Level* Street number* Street name*

Suburb/Town*

State* Postcode* Country*

Principal place of business

(Sole trader only)

Unit/Level* Street number* Street name*

Suburb/Town*

State* Postcode* Country*

¹ It is not against the law if you choose not to give your TFN, exemption code or exemption reason, but if you decide not to, tax will be taken out of your income distributions at the highest marginal rate (plus Medicare Levy). See 'Australian tax file number' on page 2 for more information.

3B. Investor 2 - Joint Investor 2

Mandatory (*)

Title*	Full given name(s)*	Surname*
<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of birth (DD/MM/YYYY)*	Gender*
<input type="text"/> / <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Male <input type="checkbox"/> Female

Telephone: Business hours*	Mobile
<input type="text"/>	<input type="text"/>

Occupation*

TFN ²	TFN exemption reason (Australian residents)
<input type="text"/>	<input type="text"/>

Country of tax residence (non-Australian residents)*

Residential address

(PO boxes, locked bags and RMBs are not acceptable)

Unit/Level*	Street number*	Street name*
<input type="text"/>	<input type="text"/>	<input type="text"/>

Suburb/Town*

State*	Postcode*	Country*
<input type="text"/>	<input type="text"/>	<input type="text"/>

² It is not against the law if you choose not to give your TFN, exemption code or exemption reason, but if you decide not to, tax will be taken out of your income distributions at the highest marginal rate (plus Medicare Levy). See 'Australian tax file number' on page 2 for more information.

- 3C.** Companies Unregulated Australian trusts and foreign trusts
 Australian regulated trusts (including SMSF and individual and corporate trustees)
 Associations Government bodies Registered co-operatives Partnerships

Mandatory (*)

For companies registered outside of Australia, do not use this section; rather refer to Section 12E.

Account Name*

Contact person name*

Contact person email*

Contact person telephone: Business hours*

Contact person mobile

ABN/ACN (if registered in Australia)*

TFN²

TFN exemption reason (Australian residents)

Registered address and Principal place of business

Unit Level*

Street Number*

Street Name*

Suburb/Town*

State*

Postcode*

Country*

Country of tax residence (non-Australian residents)*

Nature of Business/Industry

Please identify the Nature of Business/Industry for this investment by indicating with a cross (X) one or more of the following which is applicable to you.

- | | | |
|--|---|---|
| <input type="checkbox"/> Permanent Building Society Operation (732201) | <input type="checkbox"/> Self Managed Superannuation Fund (SMSF) (Aust Use Only) (741205) | <input type="checkbox"/> Superannuation Funds (741299) |
| <input type="checkbox"/> Credit Union Operation (732301) | <input type="checkbox"/> Health Insurance (742103) | <input type="checkbox"/> Schools (842399) |
| <input type="checkbox"/> Money Market Corporations (732403) | <input type="checkbox"/> General Insurance (742204) | <input type="checkbox"/> Post Graduate School, University, Operation (843101) |
| <input type="checkbox"/> Financial Intermediation (732901) | <input type="checkbox"/> Portfolio, Investment, Management Service (751909) | <input type="checkbox"/> Health Services (863908) |
| <input type="checkbox"/> Finance Companies (733001) | <input type="checkbox"/> Trustee Service (751914) | <input type="checkbox"/> Religious Organisation Operation (961008) |
| <input type="checkbox"/> Unit Trust Operation (734003) | <input type="checkbox"/> Public Trustee (751915) | <input type="checkbox"/> Business and Professional Associations (9621) |
| <input type="checkbox"/> Property Trusts (734006) | <input type="checkbox"/> All Other Business Services (786917) | <input type="checkbox"/> Charities Operation (962920) |
| <input type="checkbox"/> Financial Asset Investors (734007) | <input type="checkbox"/> Government Administration (811) | |

3D. **Custodian**

Full name (if any) of trust/custodial arrangement*

Country of establishment*

Full business name*

Type of Trust*

Please answer (X) to the following questions:

1. Yes No Do you provide a custodial or depository service of the kind described in item 46 of table 1 in subsection 6(2) of the Anti-Money Laundering and Counter-Terrorism Act 2006 (Cth) (**AML/CTF Act**) and Rule 4.4.19 of the the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No 1) (Cth) (**AML/CTF Rules**)?
2. Yes No Do you hold an Australian financial service license or are you exempt from the requirement to hold such license?
Confirm AFSL or specify the grounds for exemption
3. Yes No Are you enrolled as a reporting entity with AUSTRAC, or do you satisfy one of the 'geographical link' tests in subsection 6(6) of the AML/CTF Act or is your name and enrolment details entered into the AUSTRAC Reporting Entities roll?
4. Yes No Have you carried out all applicable customer identification procedures and ongoing customer due diligence requirements and do you hold certified copies of all identification records in accordance with the AML/CTF Act and AML/CTF Rules in relation to your underlying customers?

4. SOURCE OF FUNDS/SOURCE OF WEALTH

4A. Source of Funds*

Mandatory ()*

Source of Funds describes where your funds came from in regard to deposits in the account. Please identify the Source of Funds for this investment by indicating with a cross (X) one or more of the following which is applicable to you.

- Employment
Please indicate the nature of employment
- Investments
Please indicate the type of investments e.g. superannuation, real estate, financial etc
- Business activity
Please indicate the nature of business and industry
- Inheritance/Gift
Please indicate the name of deceased/donor
- Legal settlement
Please specify the type of legal settlement
- Other
Please specify

4B. Source of Wealth*

Mandatory ()* Please select only one option for each question below

Source of Wealth describes how you have built your net worth. Please identify the Source of Wealth for this investment by indicating with a cross (X) one or more of the following which is applicable to you.

- Employment
Please indicate the nature of employment
- Investments
Please indicate the type of investments e.g. superannuation, real estate, financial etc
- Business activity
Please indicate the nature of business and industry
- Inheritance/Gift
Please indicate the name of deceased/donor
- Legal settlement
Please specify the type of legal settlement
- Other
Please specify

5. INVESTOR NEEDS AND INVESTMENT OBJECTIVE

In relation to our Design and Distribution Obligations (DDO) under the Corporations Act, we seek the following information about your attributes as an investor. The Target Market Determination (TMD) for the Fund can be found at mlcam.com.au

Mandatory() Please only select one option for each question.*

a) What investment objective(s) are you looking to achieve from this investment?*

- Capital growth
- Capital preservation
- Capital guaranteed
- Regular income

b) How do you intend to use the investment in your investment portfolio?*

- Standalone (75% to 100% of your portfolio)
- Core component (25 to 75% of your portfolio)
- Satellite component (less than 25% of your portfolio)

c) What is your investment timeframe?*

- Short-term (less than or equal to 2 years)
- Medium-term (more than 2 years and less than or equal to 6 years)
- Long-term (greater than 6 years)

d) How much risk are you willing to accept?*

- Low risk & return
- Medium risk & return
- High risk & return
- Very high risk & return

e) What is your need to redeem this investment?*

- Daily
- Longer

f) I have received financial advice on the investment that took into account my personal circumstances:*

- Yes
- No

Warning

If your investment objective(s), intended use, investment timeframe and / or investment risk profile are inconsistent with those of the investment you have selected, then you should think again about applying for the investment and it is strongly recommended that you seek financial advice that takes into account your personal circumstances.

6. INVESTMENT DETAILS AND METHOD OF PAYMENT

All investments must be made in Australian dollars. The minimum initial investment is \$20,000 per Fund. The minimum monthly Regular Savings Plan investment is \$500 per Fund subject to a minimum initial investment of \$20,000 per Fund. Please ensure that you complete the Direct Debit Authorisation in Section 8 below.

Please indicate how you would like your income distributions to be paid by crossing (X) one box only per Fund. Income distributions will be reinvested in the Fund if no election is made.

Fund	APIR Code	Initial Investment Amount	Regular Savings Plan Amount	Reinvest Distributions		Distributions Credited to Nominated Bank Account
Antares Dividend Builder	PPL0002AU	A\$ <input type="text"/>	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Antares Elite Opportunities Fund	PPL0115AU	A\$ <input type="text"/>	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Antares Ex-20 Australian Equities Fund	PPL5308AU	A\$ <input type="text"/>	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>
Antares High Growth Shares Fund	PPL0106AU	A\$ <input type="text"/>	A\$ <input type="text"/>	<input type="checkbox"/>	or	<input type="checkbox"/>

Method of Payment

Please cross (X) the relevant box below to nominate your preferred payment method.

Direct deposit/telegraphic transfer - Please deposit your funds into the following bank account:

Bank: National Australia Bank Limited

BSB No: 083-001

Account No: 129 502 503

Account name: MLC Antares Application Account

Reference: [Account name]

Direct debit - Please ensure there are sufficient cleared funds in your nominated bank account prior to submitting this form as we will debit the initial investment amount upon receipt of your request. Cut-off times do apply, please refer to the information provided in the relevant PDS.

BPAY®- MLC will notify you of your new account number once your completed Initial Application Form has been received. Please make your payment within 10 business days of receiving this notification.

You will need your new account number and the relevant Fund's biller code when making your payment. The biller codes are listed in the table below.

® Registered to BPAY Pty Limited ABN 69 079 137 518. For methods of payment, please also refer to the terms and conditions as stated in the relevant PDS.

Fund Name	Biller Code
Antares Dividend Builder	636621
Antares Elite Opportunities Fund	636639
Antares Ex-20 Australian Equities Fund	308486
Antares High Growth Shares Fund	636605

7. WITHDRAWAL PROCEEDS AND INCOME DISTRIBUTIONS

By providing your bank account details in this section, you authorise MLC to use these details for **all** distribution and withdrawal requests that you nominate.³

Australian Account

Name of Australian bank or financial institution

Branch

BSB number

 -

Account number

Account name⁴

8. DIRECT DEBIT AUTHORISATION

I/We request MLC Investments Limited, until further notice in writing, to debit my/our account at the financial institution identified below any amounts that MLC Investments Limited (user ID number 032209) may debit or charge me/us through the direct debit facility. If you are setting up an RSP, this direct debit authorisation will remain in force in accordance with the direct debit service agreement outlined in the relevant PDS and Product Guide (as applicable) and on page 3 of this form.

I/We understand and consent to this amount being shared with other parties as outlined at Section 11.

Bank Account

Name of Australian bank or financial institution

Branch

BSB number

 -

Account number

Account name 1

Account name 2

Signature

Signature

Date (DD/MM/YYYY): / /

Date (DD/MM/YYYY): / /

Note: Please note that not all building societies or credit unions accept or make fund transfers. Please check with your financial institution before completing this form. Should this nominated bank account not belong to you as the investor then we may seek further information from you. We will seek to establish your relationship to the third party who holds the nominated bank account as required under Anti-Money Laundering legislation. Refer to page 3 for the Direct Debit Service Agreement.

³ All payments and transactions by the Fund(s) are in Australian dollars. Payments cannot be made into non-Australian bank accounts.

⁴ Payments can only be made to accounts held in the investor's name. No third party payments are made. For joint investors, it must be a joint account.

9. COMMUNICATION/CORRESPONDENCE

Mandatory (*)

Please use the correspondence address below.

C/- (if applicable)

Unit/Level

Street number

Street name (or PO Box)

Suburb/Town

State

Postcode

Country

Email address

9A. Electronic Communication

By providing your email address above, you agree that MLC may use this to provide information on your investment(s) such as transaction confirmations, statements, reports and other materials such as investor updates. You will also be able to access these documents on our investor portal, Antares Equities Online.

Any PDS updates and notifications of material changes and significant events impacting the relevant Fund(s) will be published on **antarescapital.com.au** or provided to you via other electronic methods such as email. We'll notify you by email each time we publish communications about significant changes or events on our website.

Your communication preferences can be amended at any time by completing a Change of Details Form available at **antarescapital.com.au** or on request from Client Services on **1300 738 355**.

Please note MLC can only register one email address of your preference.

- Please cross (X) this box if you prefer to receive a paper copy of all communications.
- Please cross (X) this box if you would like your Financial Adviser to receive copies of all transactions. If no election is made no copies will be sent.

9B. Annual Report

We will publish a copy of the annual report for the relevant Fund on **antarescapital.com.au**

- Please cross (X) this box if you wish to receive a paper copy of the Annual Report by post.
- Please cross (X) this box if you do not wish to receive a paper copy of the Annual Report by post.

If you choose to have the annual report mailed to you, we will mail it to the correspondence postal address provided in this section. If you do not choose to have the annual report mailed to you, we will email it to the correspondence email address provided in this section. If you do not choose to have the annual report mailed to you and have not provided a correspondence email address, we will publish a copy of the annual report for the relevant Fund on **antarescapital.com.au**, and we'll notify you by mail when this has been made available online.

10. FINANCIAL ADVISER USE ONLY

Please cross (X) the boxes below:

- if you would like to receive online access to view your client's account(s).
- if you have a current agreement with MLC in relation to AML/CTF Act customer identification program and, or, you have provided the relevant FSC identification form(s) including completed 'Record of Verification Procedure'.⁵

Please select if you would like to receive data feeds into one of the following software:

- XPlan Platform Plus

Financial Adviser name

Dealer group

Antares adviser number

ABN (if registered in Australia)

AFSL No. (if registered in Australia)

Contact phone no.

Financial Adviser's address

Email address

Financial Adviser signature

Surname

Given Name(s)

Date (DD/MM/YYYY) / /

11. INTERESTED PARTIES

Provide details of the parties that may receive information relating to this investment below.

Name

Company

Email address

Contact phone no.

Delivery address

Unit/Level

Street number

Street name (or PO Box)

Suburb/Town

State

Postcode

Country

Please attach a schedule if more space is required.

⁵ You declare you have sighted either the original or a certified copy of the original document(s). You declare that an identity verification procedure for the investor(s) named in Section 3 of this Initial Application Form has been completed in accordance with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* by a person in the capacity of an AFSL licence holder or their authorised representative. If you do not satisfy these requirements please contact Client Services by calling **1300 738 355**.

12. CUSTOMER IDENTITY VERIFICATION

You must complete the FSC identification form(s) relevant to your investor type. If you are not lodging this application through a Financial Adviser you will be required to send the **certified copies** of the original identity verification documents (not scanned copies) as listed in the relevant FSC identification form(s), (ensuring each page is certified). Please refer to page 2 for instructions on **'Certified copy requirements'**. If you are unsure which form you should complete please contact Client Services on **1300 738 355** or email **client.services@mlcam.com.au**.

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.⁶

12A. Person(s) named in 3A, 3B and individuals that have provided details on a separate sheet along with sole traders

Please complete the FSC identification form for **individuals and sole traders**, which is available on **antarescapital.com.au/forms**

12B. Australian companies

Please complete the FSC identification form for **Australian companies**, which is available on **antarescapital.com.au/forms**

12C. Australian regulated trusts (including SMSFs and individual and corporate trustees)

Please complete the FSC identification form for **Australian regulated trusts**, which is available on **antarescapital.com.au/forms**

For SMSFs, in addition to completing the identification form for Australian regulated trusts, a certified copy of the Trust Deed (or if not reasonably available, a certified extract of the Trust Deed) must be provided. Extracts of the Trust Deeds must include the name of the Trust, Trustees, Beneficiaries, Settlor/s and Appointers (where applicable).

For corporate trustees, please also complete the FSC identification form for Australian companies.

12D. Unregulated Australian trusts and foreign trusts

Please complete the FSC identification form for **unregulated Australian trusts and foreign trusts**, which is available on **antarescapital.com.au/forms**

In addition to completing the identification form for Australian regulated trusts, a certified copy of the Trust Deed (or if not reasonably available, a certified extract of the Trust Deed) must be provided. Extracts of the Trust Deeds must include the name of the Trust, Trustees, Beneficiaries, Settlor/s and Appointers (where applicable).

12E. Foreign companies

Please complete the FSC identification form for **foreign companies**, which is available on **antarescapital.com.au/forms**

Please contact Client Services on **1300 738 355** to discuss your application further.

12F. Associations

Please complete the FSC identification form for **associations**, which is available on **antarescapital.com.au/forms**

12G. Government bodies

Please complete the FSC identification form for **government bodies**, which is available on **antarescapital.com.au/forms**

12H. Registered co-operatives

Please complete the FSC identification form for **registered co-operatives**, which is available on **antarescapital.com.au/forms**

12I. Partnerships

Please complete the FSC identification form for **partnerships and partners**, which is available on **antarescapital.com.au/forms**

12J. Custodian

Custodial arrangement (if the custodian does not satisfy the requirements set out in section 3D, you must also complete the FSC identification form for **Australian companies and Australian regulated trusts** or **unregulated Australian trusts and foreign trusts**, which is available on, which is available on **antarescapital.com.au/forms**

⁶ An accredited translator is a person currently accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI) at the level of Professional Translator, or above, to translate from a language other than English into English or an overseas standard comparable to the Australian NAATI accreditation.

13. DECLARATION

I/We declare that:

- All details in this Initial Application Form, relevant FSC Identification Form(s) and all documents provided are true and correct. I/We agree to advise MLC Investments Limited (MLC) (ABN 30 002 641 661) (AFSL 230705) of any change in circumstances in future including changes affecting my/our declared tax residency status within 30 days and I/we agree to indemnify MLC against any liabilities whatsoever arising out of it acting on any of these details or any future details provided by me/us in connection with this application;
- I/We have received a copy of the current PDS, Product Guide (as applicable) and any website updates for the relevant Fund(s) to which this application relates and have read it and agree to the terms contained in it and to be bound by the provisions of the Constitution for the relevant Fund(s) (as amended from time to time), and accepted the offer of units in the relevant Fund(s) made in the PDS, Product Guide (as applicable) and any website updates in Australia;
- I/We have legal power to invest in the relevant Fund(s) in accordance with this application and have complied with all applicable laws in making this application;
- I/We am/are over the age of 18 years;
- In the case of joint applications, the joint investors agree that unless otherwise expressly indicated on this Initial Application Form, the units will be held as joint tenants and either investor is able to operate the account and bind the other investor for future transactions, including additional investments and withdrawals;
- I/We have read and understood the terms and conditions of the use of electronic communications to give instructions on my/our account in the relevant PDS and Product Guide (as applicable) and agree to release and indemnify MLC against any liabilities whatsoever arising out of it acting on any communication received by email;
- I/We acknowledge that I/we have read page 3 in the Initial Application Form containing additional information about the Direct Debit Service Agreement (if applicable);
- I/We acknowledge that I/we have read pages 2 and 3 of this application form containing the information under the heading 'Privacy notification' and the privacy policy at mlcam.com.au/privacy
- I/We am/are aware that until I/we inform MLC otherwise, I/we will be taken to have consented to the uses of my/our personal information (including marketing) and, if applicable, I/we have consented that my/our Financial Adviser may provide such further personal information to MLC as is reasonably required under applicable law;
- If I/we have provided information about another person, I/we declare that I/we have the permission of that party to do so and I/we understand that it is my/our responsibility to inform that person that I/we have done so, and to refer them to the privacy policy at mlcam.com.au/privacy;
- I/We understand that if I/we fail to provide any information requested in this Initial Application Form or do not agree to any of the possible exchanges or uses detailed above, my/our application may not be accepted by MLC and I/we agree to release and indemnify MLC in respect of any loss or liability arising from its inability to accept my/our application due to inadequate details having been provided;
- I/We acknowledge that an investment in the Fund(s) is subject to investment risk, including possible delays in repayment and loss of income and principal invested, and agree that those risks are appropriate for a person in my/our circumstances and with my/our investment objectives;
- I/We acknowledge that none of MLC or any other member of the Insignia Financial Group, guarantees the performance of the Fund(s) or the repayment of the capital or any particular rate of return or distribution from the Fund(s);
- If investing as trustee on behalf of a superannuation fund or trust, I/we confirm that I/we am/are acting in accordance with my/our designated powers and authority under the trust deed. In the case of superannuation funds, I/we also confirm that it is a complying fund under the *Superannuation Industry (Supervision) Act 1993*;
- Unless an alternative authority for signature is notified to and accepted by MLC, the person/persons that signs/sign this form is/are able to operate the account on behalf of themselves/the relevant entity (as applicable) and bind themselves/the entity for future transactions, including additional deposits and withdrawals;
- If I/we have elected in Section 9 of this Initial Application Form to receive communications by email, I/we consent to receive all disclosures required to be made to me/us by MLC under the Corporations Act 2001 in electronic format; and
- I/We have read and understood the terms and conditions of identity verification documents in the relevant PDS and the Product Guide (as applicable) as required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*, and agree to release and indemnify MLC against any liabilities whatsoever arising out of it withholding redemption requests due to incomplete identity documentation.

14. SIGNATURES

If this form is signed under a Power of Attorney, the Attorney declares that he/she has not received notice of rescindment or revocation of that Power of Attorney and he/she attests that the investor is still living (a certified copy of the Power of Attorney should be submitted with this application unless MLC has already sighted it).

<input type="checkbox"/> Investor 1 ⁷	<input type="checkbox"/> Individual trustee 1	<input type="checkbox"/> Sole Director 1 ⁸	<input type="checkbox"/> Director 1 ⁸
<input type="checkbox"/> Attorney 1 ⁹	<input type="checkbox"/> Partner 1	<input type="checkbox"/> Authorised signatory ¹⁰	

Signature Date signed (DD/MM/YYYY)

/ /

Full name Date of birth (DD/MM/YYYY)

/ /

<input type="checkbox"/> Investor 2 ⁷	<input type="checkbox"/> Individual trustee 2	<input type="checkbox"/> Director 2 ⁸	<input type="checkbox"/> Secretary ⁸
<input type="checkbox"/> Attorney 2 ⁹	<input type="checkbox"/> Partner 2	<input type="checkbox"/> Authorised signatory ¹⁰	

Signature Date signed (DD/MM/YYYY)

/ /

Full name Date of birth (DD/MM/YYYY)

/ /

7 Joint investors must both sign.

8 Company applications must be signed by two directors, a director and secretary or the sole director of the company. These people must be identified.

9 Attorney's signature(s) must be witnessed on the next page.

10 A certified copy of the Authorised Signatory List must be submitted to Registry Services.

For accounts with more than one signatory, please select account signing authority: withdrawal requests, additional investment, and change of details forms must be signed by:

Investor 1 only Investor 2 only Either 1 or 2 Both 1 and 2 Refer to attached signatory list & instructions

Signature of witness to Attorney 1

Signature of witness to Attorney 1 signature (witness must be a third party, i.e. not the investor or the named Attorney)
I declare I have witnessed the signature of the named Attorney

Witness name (print)

Date signed (DD/MM/YYYY)
 / /

Residential Address

Unit/Level Street number Street name

Suburb/Town

State Postcode Country

Signature of witness to Attorney 2

Signature of witness to Attorney 2 signature (witness must be a third party, i.e. not the investor or the named Attorney)
I declare I have witnessed the signature of the named Attorney

Witness name (print)

Date signed (DD/MM/YYYY)
 / /

Residential Address

Unit/Level Street number Street name

Suburb/Town

State Postcode Country

If you have any questions, please contact Client Services on **1300 738 355**, or visit **antarescapital.com.au**

Important notes

The offer of units in the Fund(s) is made by MLC Investments Limited (MLC) ABN 30 002 641 661 AFSL 230705.

This Initial Application Form must not be handed to any person unless accompanied by the current PDS and Product Guide (as applicable) for the Fund(s). MLC may in its absolute discretion refuse any application for units. Persons external to MLC who market MLC products act as independent Financial Advisers and are not agents of MLC. MLC will not be bound by representations or statements which are not contained in information disseminated by MLC.