NIKKO AM INVESTMENT FUNDS
Application Booklet
Issued 1 August 2019

Funds
• Nikko AM Conservative Fund
  ARSN 092 026 161
• Nikko AM Balanced Fund
  ARSN 103 973 020
• Nikko AM Growth Fund
  ARSN 092 026 090

Contact details
Nikko AM Investor Services
Address: GPO Box 804
          Melbourne VIC 3001
Phone:  1800 251 589
        8.30am to 5.30pm (Sydney time)
        Monday to Friday
Fax:    1300 362 722
Email:  transactions@registry.nikkoam.com.au
Web:    www.nikkoam.com.au

Issued by Nikko Asset Management Australia Limited (Nikko AM Australia) ABN 34 002 542 038, AFSL 229664.
Important
This booklet contains an application form for the Nikko AM Investment Funds (Funds). An application to invest in one or more of the Funds can only be made using this form if you have also received a copy of the current Product Disclosure Statement (PDS) for each Fund you wish to invest in. A copy of the current PDS for each Fund is available at www.nikkoam.com.au/pds or on request from your financial adviser or Nikko AM Investor Services. Please ensure you read and understand each applicable PDS before submitting an application.
It is also essential that you receive the application form and PDS(s) in Australia. We will not accept an application from a person who we believe received the documents outside of Australia.

Instructions for completing the application form
To apply to invest in a Fund or Funds complete the relevant sections of the application form included in this booklet using a black pen. Please print well within the boxes in CAPITAL LETTERS and leave a space between words and/or numbers. Indicate your choices with a X (cross).
If you make an error, do not use correction fluid. Simply cross out the mistake and initial your change.
If you have an adviser, he or she should complete the ‘Financial adviser details’ section at the end of the application form.
The relevant sections of the application form will depend on what type of investor you are and the options you choose.

Type of investor

<table>
<thead>
<tr>
<th>Type of Investor</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual or joint investor</td>
<td>Complete Sections 1 and 2, then Section 5 onwards, as applicable.</td>
</tr>
<tr>
<td>Company</td>
<td>Complete Sections 1 and 3, then Section 5 onwards, as applicable.</td>
</tr>
<tr>
<td>Trust or superannuation fund (including self-managed super funds)</td>
<td>Complete Sections 1, 2 and 4 if you are an individual trustee or Sections 1, 3 and 4 if you are a trust with a company as trustee, then Section 5 onwards, as applicable.</td>
</tr>
</tbody>
</table>

Payment options
You can submit your investment amount using one of the options outlined below.

Cheque
Please make your cheque payable to ‘Nikko Asset Management Australia Limited’ and attach to your completed application form.

Direct debit
To make a payment by direct debit please ensure you read and understand the Direct Debit Service Agreement included at the end of this Application Booklet and complete and sign the direct debit request in Section 8 of the application form.

BPAY®
You can make an investment by BPAY using your financial institution’s phone or internet banking service. You will need to quote your Reference Number and the Biller Code corresponding to the Fund you are investing in.

<table>
<thead>
<tr>
<th>Biller Code</th>
<th>Refer to table below</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reference Number</td>
<td>Your Investor Number</td>
</tr>
</tbody>
</table>

Reference Number
If you select BPAY for your initial investment, a Nikko AM Investor Services team member will contact you once we receive your application form to advise your Investor Number to enable you to make your payment. Your Investor Number can be used as your Reference Number for your initial and/or any additional investments.

Biller Codes

<table>
<thead>
<tr>
<th>Fund</th>
<th>Biller Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nikko AM Conservative Fund</td>
<td>190199</td>
</tr>
<tr>
<td>Nikko AM Balanced Fund</td>
<td>190223</td>
</tr>
<tr>
<td>Nikko AM Growth Fund</td>
<td>190249</td>
</tr>
</tbody>
</table>

Please note, if you are investing in more than one Fund, you will need to make a separate payment for each applicable Fund.

For more information about making a payment using BPAY go to www.bpay.com.au

BPAY® is registered to BPAY Pty Ltd ABN 69 079 137 518

Direct credit
Please contact Nikko AM Investor Services for details of the account to credit your payment to and instructions for confirming your payment.
Appointment of an authorised representative (optional)

You may authorise a person (your authorised representative) to operate your investment on your behalf. In general, an authorised representative can do everything you can do with your investment, except appoint another authorised representative.

We may act on the sole instructions of the authorised representative until you advise us in writing that the appointment of your authorised representative has terminated.

We may also terminate or vary an appointment of an authorised representative by giving you 14 days’ prior notice.

If you appoint an authorised representative, you agree to release, discharge and indemnify us from and against any loss, expense, action, claim or other liability which may be suffered by you or brought against you, or suffered or brought against us, for any actions or omissions by you or your authorised representative, whether authorised by you or not.

If an authorised representative is a partnership or a company, any one of the partners or any director of the company, is individually deemed to have the powers of the authorised representative.

Signing your application form

Please ensure you sign your application form. We are unable to accept application forms that are not signed by the appropriate signatory(ies). Information about who is required to sign is provided in Section 13 of the application form.

Verifying your identity – Anti-Money Laundering and Customer Identification Requirements

Australia’s Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) legislation requires us to collect identification information and documentation from our investors.

If you are investing with us for the first time you must complete the applicable investor customer identification form and provide suitable identification documents to enable us to establish your identity. If you have an adviser, he or she may be able to assist you with this process.

Copies of the customer identification forms are available at www.nikkoam.com.au/forms-brochures or on request from your adviser or Nikko AM Investor Services.

We will be unable to process your application without a completed customer identification form and adequate identification documentation.

Foreign Account Tax Compliance Act (FATCA)

FATCA is a US tax law effective 1st July 2014 and impacts investors within our Funds who are citizens or residents of the United States of America for tax purposes.

New investors will be required to provide their US Tax Identification Number (TIN), or confirm that they are not a US person for FATCA purposes. This declaration is included within the customer identification forms for each investor type from 1st July 2014.

Copies of the customer identification forms are available at www.nikkoam.com.au/forms-brochures or on request from your adviser or Nikko AM Investor Services. We may also be required to request this information from existing investors.

The Australian government has entered into arrangements with the US government to implement FATCA. As a result, information about you, your investments and tax status may be provided to the Australian Taxation Office (ATO) who may also report this information to overseas tax authorities, including the United States Internal Revenue Service (IRS).

Common Reporting Standard (CRS)

CRS provides a global standard for the collection of financial account information by financial institutions on account holders who are foreign tax residents, the reporting of that information to the local tax authorities, and the exchange of that information with the foreign residents’ home tax authorities, with effect from 1 July 2017 in Australia.

If you are a new investor in the Fund, we will require you to declare certain details about your tax residency status prior to processing your application. For existing investors in the Fund, we may request details about your tax residency status at a later date. Some investors may be exempt from this requirement.

Under CRS, we will be required to report details about your investments and tax residency status to the ATO. If you are a tax resident in another country, the ATO may exchange details about your investments with that foreign country’s relevant tax authority.

Privacy

Personal information you provide is used by us and our delegates, including OneVue Fund Services Pty Limited (as administrator of the Funds), to administer your investment, make distribution payments and to provide investor communications required or permitted by the Corporations Act 2001 or other legislation. We may also from time-to-time send you other material, including marketing material, unless you request otherwise.

We may disclose your personal information to third parties such as related entities, your adviser (if nominated), other service providers such as printers and mail houses, and government departments.

Your privacy is important to us and we have rules and procedures in place that cover the collection, use and disclosure of personal information we hold about investors. These rules and procedures are set out in the Nikko AM Australia Privacy Policy, available at www.nikkoam.com.au or free of charge on request from Nikko AM Investor Services.

By completing this application form you acknowledge the statements and disclosures made in our Privacy Policy and consent to us using and disclosing your personal information as outlined in our Privacy Policy and this document.

You can request details of your personal information held by us by contacting Nikko AM Investor Services. Please also contact Nikko AM Investor Services to notify us if your information is incorrect or requires updating.
Please send your completed application form together with your customer identification form and documents, and cheque, as applicable, to:

Nikko AM Investment Funds
GPO Box 804
Melbourne VIC 3001
NIKKO AM INVESTMENT FUNDS
Application Form
August 2019

Nikko Asset Management Australia Limited (Nikko AM Australia) ABN 34 002 542 038, AFSL 229664.
This application form relates to and accompanies the Product Disclosure Statement (PDS) for each Nikko AM Investment Fund (Fund).
Each PDS contains important information about investing in the relevant Fund and you should read the applicable PDS before making an application to invest in a Fund. The law prohibits any person passing this application form on to another person unless it is accompanied by a complete PDS.
Nikko AM Australia will provide a paper or electronic copy of a current PDS and any document which updates a PDS on request and without charge. An application can only be made by a person receiving the applicable PDS and application form in Australia.

Please complete this form in CAPITAL LETTERS using a black pen.
If you make a mistake, simply cross out and initial your change. Do not use correction fluid.
For assistance with this form, contact Nikko AM Investor Services on 1800 251 589.
Please send your original application form, supporting customer identification form and documents, and cheque (if applicable) to Nikko AM Investor Services GPO Box 804 Melbourne VIC 3001.

1. Do you have an existing investment in a Nikko AM Investment Fund?

☐ No. Go to Section 2 or 3, as applicable
☐ Yes. My investor number is ________________ Go to Section 5

2. Individuals
Please complete if you are investing as an individual, joint investor, individual trustee or partnership.

Investor 1

Personal details
Title ________________ Full given names ________________
Surname ________________
Date of birth ________________
D D M M YY YY

Residential address
A PO Box/RMB/Locked Bag is not acceptable.
Property name/building name (if applicable)

Address

Nikko AM Investor Services Phone: 1800 251 589 Fax: 1300 362 722 Email: transactions@registry.nikkoam.com.au Web: www.nikkoam.com.au
Postal address (if different to residential address)
A PO Box/RMB/Locked Bag is acceptable.

Property name/building name (if applicable)

Address

PO Box/RMB/Locked Bag

Suburb State Postcode

Country

Contact details
Home number (include area code)

Business number (include area code)

Mobile number

Email address

Preferred method of communication
By providing an email address, you agree that this email address is the default address for investor correspondence (such as transaction confirmations, statements, reports and other material) and you agree to the Terms for Electronic Communication available at www.investor.nikkoam.com.au or on request from Nikko AM Investor Services. From time to time we may still send you correspondence in the post.

Please indicate here if you prefer to receive all correspondence by post instead of email

Tax details – Australian residents
Collection of Tax File Number (TFN) information is authorised and its use and disclosure is strictly regulated by tax laws and the Privacy Act. You are not obliged to quote your TFN, however if you do not quote your TFN, or provide exemption details, we are required to withhold tax from your distributions at the highest marginal tax rate plus Medicare levy.

The TFN provided below will automatically be applied to any future investments you make in the Fund(s) unless you indicate, at any time, that you do not wish to quote that TFN for a particular investment.

Tax File Number

OR

Reason for exemption
**Tax details – Non-Australian residents**
If you are not an Australian resident for tax purposes, please indicate your country of residence for tax purposes.

<table>
<thead>
<tr>
<th>Country</th>
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**Investor 2 (if applicable)**

**Personal details**

<table>
<thead>
<tr>
<th>Title</th>
<th>Full given names</th>
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<tr>
<th>Surname</th>
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</table>

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<thead>
<tr>
<th>Date of birth</th>
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**Residential address**
A PO Box/RMB/Locked Bag is **not** acceptable.

<table>
<thead>
<tr>
<th>Property name/building name (if applicable)</th>
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<th>Address</th>
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<th>Suburb</th>
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<th>Postcode</th>
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<tr>
<th>Country</th>
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**Postal address (if different to residential address)**
A PO Box/RMB/Locked Bag is acceptable.

<table>
<thead>
<tr>
<th>Property name/building name (if applicable)</th>
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<table>
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<tr>
<th>Country</th>
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</thead>
</table>

**Application Form**

**Contact details**

Home number (include area code)

Business number (include area code)

Mobile number

Email address

@ Please note: All correspondence will be sent to the address provided for Investor 1. However, you also agree to the Terms for Electronic Communication available at www.investor.nikkoam.com.au or on request from Nikko AM Investor Services.

**Tax details – Australian resident**

Collection of Tax File Number (TFN) information is authorised and its use and disclosure is strictly regulated by tax laws and the Privacy Act. You are not obliged to quote your TFN, however if you do not quote your TFN, or provide exemption details, we are required to withhold tax from your distributions at the highest marginal tax rate plus Medicare levy.

The TFN provided below will automatically be applied to any future investments you make in the Fund(s) unless you indicate, at any time, that you do not wish to quote that TFN for a particular investment.

Tax File Number

OR

Reason for exemption

**Tax details – Non-Australian residents**

If you are not an Australian resident for tax purposes, please indicate your country of residence for tax purposes.

**Joint investors**

Please complete this section to nominate the signing authority for this investment.

If no selection is made, both to sign will be assumed.

- Either to sign
- Both to sign
3. Companies

Please complete if you are investing as a company or as a trust with a company as trustee.

**Company details**

Full name of company (as registered by ASIC if incorporated in Australia)

<table>
<thead>
<tr>
<th>Name</th>
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ABN (for foreign companies provide registration number)

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<tr>
<th>Number</th>
<th></th>
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</table>

Australian Tax File Number (TFN)

<table>
<thead>
<tr>
<th>Number</th>
<th></th>
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</thead>
</table>

**Registered office address**

A PO Box/RMB/Locked Bag is **not** acceptable.

Property name/building name (if applicable)

<table>
<thead>
<tr>
<th>Name</th>
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Address

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|---|---|---|

Suburb

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State

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Postcode

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Country

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</table>

**Postal address (if different to registered office address)**

A PO Box/RMB/Locked Bag is acceptable.

Property name/building name (if applicable)

<table>
<thead>
<tr>
<th>Name</th>
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<th></th>
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</table>

Address

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|---|---|---|

PO Box/RMB/Locked Bag

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|---|---|---|

Suburb

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|---|---|---|

State

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|---|

Postcode

| | |
|---|

Country

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</thead>
</table>
**Contact person at company**

**Title**

**Full given names**

**Surname**

**Business number (include area code)**

**Mobile number**

**Email address**

@

**Preferred method of communication**

By providing the email address for the company contact person, you agree that this email address is the default address for all investor correspondence (such as transaction confirmations, statements, reports and other material) and you agree to the Terms for Electronic Communication available at www.investor.nikkoam.com.au or on request from Nikko AM Investor Services. From time to time we may still send you correspondence in the post.

Please indicate here if you prefer to receive all correspondence by post instead of email

**4. Trusts or superannuation funds**

Please complete if you are investing as a trust or superannuation fund. The Trustee(s) must also complete Section 2 or Section 3.

**Trust or superannuation fund details**

**Name of trust or superannuation fund**

**ABN (if applicable)**

**Australian Tax File Number (TFN)**
5. Investment details

Please enter the amount to be invested and select a distribution option for your investment.

Please note:
1. If you do not select a distribution method, distributions will be reinvested in the fund from which the distribution was made.
2. If you select to have distributions deposited directly into your nominated financial institution account and a payment is rejected by your financial institution, that distribution and all future distributions will be automatically reinvested in the fund from which the distribution was made.

<table>
<thead>
<tr>
<th>Fund name</th>
<th>Minimum initial investment</th>
<th>Minimum additional investment</th>
<th>Investment amount</th>
<th>Distribution Option (indicate preference with an X)</th>
<th>Deposit in nominated account</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nikko AM Conservative Fund</td>
<td>$2,000</td>
<td>$1,000</td>
<td>A$</td>
<td>Reinvest</td>
<td></td>
</tr>
<tr>
<td>Nikko AM Balanced Fund</td>
<td>$2,000</td>
<td>$1,000</td>
<td>A$</td>
<td>Reinvest</td>
<td></td>
</tr>
<tr>
<td>Nikko AM Growth Fund</td>
<td>$2,000</td>
<td>$1,000</td>
<td>A$</td>
<td>Reinvest</td>
<td></td>
</tr>
</tbody>
</table>

Source of Funds (mandatory)
What is the source of your investment? Source of Funds refers to the origin of the funds.
Please select all options that apply:

- [ ] Salary/Wages
- [ ] Superannuation/Pension
- [ ] Savings
- [ ] Redundancy
- [ ] Commission
- [ ] Loan
- [ ] Inheritance
- [ ] Bonus
- [ ] Insurance payment
- [ ] Gift/Donation
- [ ] Business income/earnings
- [ ] Compensation payment
- [ ] Government benefits
- [ ] Windfall
- [ ] Investment income/earnings
- [ ] Other (specify source below)
- [ ] Tax refund
- [ ] Rental income
- [ ] Sale of assets
- [ ] Others (please list below)

Source of Wealth (mandatory)
What is the source of your wealth (accumulated net worth)? Source of Wealth refers to the origin of your financial standing or total net worth (i.e., how you have generated your wealth?).
Please select all options that apply:

- [ ] Employment income/earnings
- [ ] Insurance payment
- [ ] Inheritance
- [ ] Redundancy
- [ ] Compensation payment
- [ ] Gift/Donation
- [ ] Business income/earnings
- [ ] Government benefits
- [ ] Windfall
- [ ] Investment income/earnings
- [ ] Owns real estate/property
- [ ] Rental income
- [ ] Sale of assets
- [ ] Superannuation/Pension
- [ ] Other (specify source below)
6. Payment method

Please select your payment method and complete the relevant section if applicable. All payments must be made in Australian dollars.

Cheque   □ Please make cheque payable to ‘Nikko Asset Management Australia Limited’.

Direct debit   □ Please complete the Direct Debit Request in Section 8.

Direct credit   □ Please contact Nikko AM Investor Services for account details and instructions for making and confirming your payment.

More info: www.bpay.com.au

Registered to BPAY Pty Ltd ABN 69 079 137 518.

7. Regular Savings Plan (optional)

A minimum of $100 per month is required to start a Regular Savings Plan.

I/We would like to establish a Regular Savings Plan   □ Yes

Monthly investment amount   A$ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ (Minimum $100 per month)

Please complete the Direct Debit Request below

8. Direct debit request – Australian bank accounts only

Please complete this section if you wish to:
• make this investment by Direct Debit and/or
• set up a Regular Savings Plan via Direct Debit.

Financial institution name

Branch name

BSB number – Account number

Account name
I/We request and authorise Nikko Asset Management Australia Limited ABN 34 002 542 038 (User ID 251590) to arrange for the amount(s) specified in Section 5 and/or Section 7 to be debited from the financial institution account nominated above through the Bulk Electronic Clearing System.

I/We acknowledge and agree to the terms and conditions governing the debit arrangements as set out in the Direct Debit Request Service Agreement, contained in the Application Booklet.

Signature of account holder A  Signature of account holder B (if applicable)

Please print full name  Please print full name

Date  Date

D D M M Y Y Y Y  D D M M Y Y Y Y

9. Financial institution account details

Please provide details of the financial institution account you wish to be credited with payments from Nikko AM Australia including:
- distributions from the Fund(s) (if this option is selected in Section 5) and/or
- the proceeds of any future withdrawals you request from your investment.

Please note, you can only nominate an Australian financial institution account that is held in the name(s) of the investor(s). Payments to third party accounts will not be made.

Financial institution name

Branch name

BSB number  Account number

Account name
10. Authorised representative appointment (optional)

Complete this section if you wish to appoint a person to act in a legal capacity as your authorised representative and to operate your investment in the Fund(s) on your behalf.

The appointment of an authorised representative is subject to the terms and conditions set out in the ‘Appointment of Authorised Representative’ section of the Application Booklet.

**Authorised representative details**

<table>
<thead>
<tr>
<th>Title</th>
<th>Full given names</th>
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<tbody>
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</tbody>
</table>

Surname

Signature of authorised representative

Date

DD MMYYYY

11. Identification and verification

Please tick one box only:

- [ ] I am a new investor and will complete the relevant customer identification form available at www.nikkoam.com.au or on request from Nikko AM Investor Services.
- [ ] I am an existing investor and have previously completed a customer identification form.
- [ ] I am a new investor and my adviser will complete the relevant customer identification form on my behalf. Your adviser should also complete the ‘Financial adviser details’ section of this application form.

12. Investment and marketing updates

Nikko AM Australia produces a range of regular investment and market updates in addition to updates on products and services.

- [ ] Please tick the box if you would like to receive regular investment and market updates as well as updates on new Nikko AM Australia products and services. This will be in addition to your regular account statements and notifications.
13. Acknowledgements and signatures

By signing this application form I/we confirm that:

• I/we have received and read a paper or electronic copy of the PDS and the Additional Information to the Product Disclosure Statement of the Nikko AM Investment Funds (which forms part of the PDS), together referred to below as ‘the PDS’, for each Fund I am/we are investing in.
• I/we agree to be bound by the terms of the constitution and PDS of each Fund I am/we are investing in and the Terms for Electronic Communication available at www.investor.nikkoam.com.au
• I/we declare that all details given by me/us on this application form are correct and that (if an individual) I am/we are at least 18 years of age.
• I/we consent to the collection, use and disclosure of my/our personal information as described in the ‘Privacy’ section of the Application Booklet and to Nikko AM Australia sending me/us information about its financial products from time to time.
• I/we agree to indemnify Nikko AM Australia and any other entity involved in this offering against any loss, liability, damage, claim, cost or expense incurred as a result of any information, representation, declaration, statement, acknowledgment or confirmation in this application form being untrue or incorrect, or as a result of, or in connection with, my Direct Debit Request (if applicable).
• I/we acknowledge that Nikko AM Australia does not guarantee the repayment of capital or the performance of any of the Funds, or any particular rate of return from the Funds.

Signing instructions

Individual – where the investment is in one name, the investor must sign.

Joint Holding – where the investment is in more than one name, all investors must sign.

Company – two directors or a director and a company secretary must sign, unless you are a sole director and sole company secretary.

Trust – the trustee(s) must sign. Trustees signing on behalf of a trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the applicable trust deed.

Power of Attorney – if you have not already lodged the Power of Attorney with us, please attach a certified copy of the Power of Attorney. If signed by an attorney, at the time of signing the attorney acknowledges that the Power of Attorney has not been rescinded or revoked.

Signature of Investor 1 / Director / Authorised Signatory

Please print full name

Date

Company officer (please indicate company capacity)

Director

Sole Director and Company Secretary

Authorised Signatory

Signature of Investor 2 / Director / Company Secretary / Authorised Signatory

Please print full name

Date

Company officer (please indicate company capacity)

Director

Company Secretary

Authorised Signatory
## Financial adviser details

This section should be completed by your financial adviser if applicable. Please note, your financial adviser will have online access to information about your investment and may receive copies of your statements by email or mail.

**Notice to financial adviser:** By completing this section of the application form, you confirm that you hold, or are authorised by, a current Australian Financial Services Licence (AFSL) and are authorised to advise on this product.

### Dealer group name

#### Adviser name

#### AFSL number

#### Contact number (include area code)

#### Email address

### Dealer group/Financial adviser contact details (if not previously provided)

**Business address**

A PO Box/RMB/Locked Bag is **not** acceptable.

#### Property name/building name (if applicable)

#### Address

#### Suburb

#### State

#### Postcode

#### Country
Postal address (if different to business address)
A PO Box/RMB/Locked Bag is acceptable.

Property name/building name (if applicable)

Address

PO Box/RMB/Locked Bag

Suburb

State

Postcode

Country

Contact details
Business number (include area code)

Mobile number

Identification and verification

Please complete this section if you are a financial adviser identifying and verifying your client.

As the investor’s financial adviser, I:
• have completed either the relevant customer identification form available at www.nikkoam.com.au or on request from Nikko AM Investor Services, or the relevant Financial Services Council (FSC) form, and will provide any supporting identification and verification documents
• have followed and complied with the FSC Guidance Note No. 24 (GN 24) in identifying and verifying the investor and any other applicable anti-money laundering and counter-terrorism financing legislation (AML laws) and will continue to comply with GN 24
• will provide with the customer identification form a certified copy of the original identification and verification documents
• have kept a record of the investor’s identification and verification and will retain these for a period of seven years after the investor/adviser relationship has ended
• will, if requested, update and re-verify the investor and provide any other additional information regarding the investor
• will not knowingly do anything to cause Nikko AM Australia to breach AML laws and will notify Nikko AM Australia if I become aware of anything that would cause it to breach AML laws, and
• confirm that the details provided in the customer identification form are true and correct.

Please note, Nikko AM Australia reserves the right to reject the applicable customer identification form attached to this application form for whatever reason (for example, if it has been incorrectly completed). This may cause delays in processing this investment.

Signature of financial adviser

Date

D D M M Y Y Y Y
This is your Direct Debit Service Agreement with Nikko Asset Management Australia Limited ABN 34 002 542 038 (User ID 251590). It explains what your obligations are when undertaking a Direct Debit arrangement with us. It also details what our obligations are to you as your Direct Debit provider. Please keep this agreement for future reference. It forms part of the terms and conditions of your Direct Debit Request (DDR) and should be read in conjunction with your DDR authorisation.

Definitions

account means the account held at your financial institution from which we are authorised to arrange for funds to be debited.

agreement means this Direct Debit Request Service Agreement between you and us.

banking day means a day other than a Saturday or a Sunday or a public holiday listed throughout Australia.

debit day means the day that payment by you to us is due.

debit payment means a particular transaction where a debit is made.

direct debit request means the Direct Debit Request between us and you.

us or we means Nikko Asset Management Australia Limited ABN 34 002 542 038 (User ID 251590) which you (the Debit user) have authorised by requesting a Direct Debit Request.

you means the customer who has signed or authorised by other means the Direct Debit Request.

your financial institution means the financial institution nominated by you on the Direct Debit Request at which the account is maintained.

1. Debiting your account

1.1 By signing a Direct Debit Request or by providing us with a valid instruction, you have authorised us to arrange for funds to be debited from your account. You should refer to the Direct Debit Request and this agreement for the terms of the arrangement between us and you.

1.2 We will only arrange for funds to be debited from your account as authorised in the Direct Debit Request.

1.3 If the debit day falls on a day that is not a banking day, we may direct your financial institution to debit your account on the following banking day. If you are unsure about which day your account has or will be debited you should ask your financial institution.

2. Amendments by us

2.1 We may vary any details of this agreement or a Direct Debit Request at any time by giving you at least fourteen (14) days written notice.

3. Amendments by you

3.1 You may change, stop or defer a debit payment, or terminate this agreement by providing us with at least fourteen (14) days notification by writing to:

Nikko AM Investor Services
GPO Box 804
Melbourne VIC 3001
Australia

or

by telephoning us on 1800 251 589 during business hours;

or

arranging it through your own financial institution, which is required to act promptly on your instructions.

4. Your obligations

4.1 It is your responsibility to ensure that there are sufficient clear funds available in your account to allow a debit payment to be made in accordance with the Direct Debit Request.

4.2 If there are insufficient clear funds in your account to meet a debit payment:

(a) you may be charged a fee and/or interest by your financial institution;

(b) you may also incur fees or charges imposed or incurred by us; and

(c) you must arrange for the debit payment to be made by another method or arrange for sufficient clear funds to be in your account by an agreed time so that we can process the debit payment.

4.3 You should check your account statement to verify that the amounts debited from your account are correct.

5. Dispute

5.1 If you believe that there has been an error in debiting your account, you should notify us directly on 1800 251 589 and confirm that notice in writing with us as soon as possible so that we can resolve your query more quickly. Alternatively you can take it up directly with your financial institution.

5.2 If we conclude as a result of our investigations that your account has been incorrectly debited we will respond to your query by arranging for your financial institution to adjust your account (including interest and charges) accordingly. We will also notify you in writing of the amount by which your account has been adjusted.

5.3 If we conclude as a result of our investigations that your account has not been incorrectly debited we will respond to your query by providing you with reasons and any evidence for this finding in writing.
6. Accounts
   You should check:
   (a) with your financial institution whether direct debiting is available from your account as direct debiting is not available on all accounts offered by financial institutions.
   (b) your account details which you have provided to us are correct by checking them against a recent account statement; and
   (c) with your financial institution before completing the Direct Debit Request if you have any queries about how to complete the Direct Debit Request.

7. Confidentiality
   7.1 We will keep any information (including your account details) in your Direct Debit Request confidential. We will make reasonable efforts to keep any such information that we have about you secure and to ensure that any of our employees or agents who have access to information about you do not make any unauthorised use, modification, reproduction or disclosure of that information.
   7.2 We will only disclose information that we have about you:
      (a) to the extent specifically required by law; or
      (b) for the purposes of this agreement (including disclosing information in connection with any query or claim).

8. Notice
   8.1 If you wish to notify us in writing about anything relating to this agreement, you should write to:
      Nikko AM Investor Services
      GPO Box 804
      Melbourne VIC 3001
      Australia
   8.2 We will notify you by sending a notice in the ordinary post to the address we have recorded for you in our registry.
   8.3 Any notice will be deemed to have been received on the third banking day after posting.