

This Application Form relates to the Information Memorandum dated 1 November 2017 issued by JamiesonCooteBonds Pty Ltd ABN 12 165 890 282, AFSL 459018 ('JCB' or 'Trustee'). Please read the Information Memorandum in full before completing this Application Form. Unless otherwise specified, terms defined in the Information Memorandum have the same meaning in this Application Form.

INDIVIDUALS, COMPANIES, TRUSTS & TRUSTEES

PART A: INVESTOR & INVESTMENT DETAILS


Is this an application from a new investor or an existing investor?

NEW INVESTOR – please refer to page 16 of the Information Memorandum for correct naming convention

New Investor Name:

Type of Investor: (Please tick applicable box)

Superannuation Fund Other Trust Individual /Joint Individuals Company Other

 Please continue below to *Section 1. Contact Details*

EXISTING INVESTOR – If this is an application from an existing investor please provide your investor number (and only proceed with this form if your details have changed significantly as advised on page 16 of the Information Memorandum):

Investor Number:

1. Contact Details

Full given name(s)

Surname

Company name / Trustee Name (if applicable)

Telephone

Facsimile

Email (required, will be used for all correspondence)

Street Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

2. Investment Details

Amount AUD \$

Please note the minimum initial investment amount is 50,000.00 and the minimum additional investment amount is \$10,000.00.

Source of funds being invested : (Please tick applicable box)

Retirement Income Employment Income Business Activities Sale of Assets Inheritance/Gift
 Financial Investments Other – please specify:

3. Payment Details

Please advise how your payment will be made. (Select one of the following options)

<input type="checkbox"/> Cheque – Please make payable to:	Mainstream Fund Services Pty Ltd as Custodian for JamiesonCooteBonds Pty Ltd - Jamieson Coote Bonds Active Fund Application Account
<input type="checkbox"/> Electronic Funds Transfer (EFT) to:	Bank: NAB BSB: 082-401 Account Number: 9126-45733 Account Name: Mainstream Fund Services Pty Ltd as Custodian for JamiesonCooteBonds Pty Ltd - Jamieson Coote Bonds Active Fund Application Account Reference: Investor Name

4. Taxation Details

Where the investment in the Fund is held jointly by 2 or more Unit Holders taxation details for each Unit Holder need to be provided. If there are more than 2 investors provide details on a separate sheet of paper and attach it to your Application Form.

INVESTOR 1 – Name

Are you a resident of Australia for taxation purposes? (Select one of the following options)

<input type="checkbox"/> Yes Please complete Tax File Number details below ▼	<input type="checkbox"/> No Please provide country of tax residence:
---------------------------------------------------------------------------------	-------------------------------------------------------------------------

Tax File Number (TFN) or Australian Business Number (ABN):

Please indicate to whom this TFN or ABN belongs (Select one of the following options)

Company Trust or Superannuation Fund Individual Other – please specify:

Exemption Number (if applicable):

INVESTOR 2 – Name

Are you a resident of Australia for taxation purposes? (Select one of the following options)

<input type="checkbox"/> Yes Please complete Tax File Number details below ▼	<input type="checkbox"/> No Please provide country of tax residence:
---------------------------------------------------------------------------------	-------------------------------------------------------------------------

Tax File Number (TFN) or Australian Business Number (ABN):

Please indicate to whom this TFN or ABN belongs (Select one of the following options)

Company Trust or Superannuation Fund Individual Other – please specify:

Exemption Number (if applicable):

PLEASE NOTE: You are not obliged to provide either your TFN or ABN but if you do not provide either your TFN or ABN and unless you claim a TFN exemption, the Trustee will be required to deduct tax at the highest marginal tax rate (plus Medicare levy). By inserting the ABN and signing this Application Form, you declare that this investment is made in the course or furtherance of your enterprise. Collection of TFN information is authorised and its use and disclosure are strictly regulated by the tax laws and the *Privacy Act 1988* (Cth).

5. Distributions

Please confirm how you would like to receive any distributions – either paid into an Australian bank account or automatically reinvested as additional units in the Fund. (Select one of the following options) **If NO election is made, any distributions will be reinvested.**

Reinvestment Payment into bank account (the distributions will be paid to bank account provided in Section 6)

6. Bank Account

IMPORTANT INFORMATION: Please provide us your bank account details for the purpose of payment of future withdrawal proceeds. If this section is not completed it may cause a delay in processing of your redemption proceeds. Additional security checks to verify bank account changes will be performed at the time of payment of your redemption proceeds.

If you reside in Australia distributions and withdrawal proceeds can only be paid to an Australian bank account in the name of the unitholder and cannot be paid by cheque or to third party accounts. By completing this section you confirm that any distributions and withdrawal proceeds sent by EFT to a designated bank account are sent at your risk insofar as the onus to provide bank account details rests solely on you

Please pay distributions and withdrawal proceeds to the following bank account:

Beneficiary Bank	
Branch Name	
BSB	Account Number
Account Name	

7. Advisor Fee

(Tick box if applicable)

I/we have received advice or transactional services from the advisor listed below and I/we consent to a fee being paid to the advisor by the fund manager for introduction to the fund.

Advisor	Advisor Representative Name
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PART B: INVESTOR IDENTIFICATION

If you are a new investor please complete both **PART A: Investor & Investment Details** and **PART B: Investor Identification**, and send all documents to Mainstream Fund Services at the address below. If your investor type does not fall into any of the three investor categories in sections 1 - 3 of PART B: Investor Identification in this form please contact Mainstream Fund Services to enquire about what information and documentation is required for identification purposes under Anti-Money Laundering/ Counter Terrorism Financing legislation.

The document requirements (including certified identification evidence) in respect of the information requested are included for your reference at the end of this part.

Please send your completed Application Form and Identification Documents to:

JCB Active Fund Unit Registry
C/- Mainstream Fund Services
GPO Box 4968, Sydney NSW 2001

Section 1 - Investor Type : All Trusts (Including Superannuation Funds)

1.1 General Information

Full name of trust
Full name of the Trustee/(s) of the trust
Country where trust established

1.2 Type of Trust *(Select only one of the following trust types and provide the information requested)*

<input type="checkbox"/> Registered managed investment scheme	Australian Registered Scheme Number (ARSN)
<input type="checkbox"/> Regulated trust (e.g. Self-Managed Superfund)	Name of the regulator (e.g. ASIC, APRA, ATO)
	Trust's ABN or registration / licensing details
<input type="checkbox"/> Government superannuation fund	Name of the legislation establishing the fund
<input type="checkbox"/> Other trust type	Trust description (e.g. unregistered, fixed, family, unit)

For **other trust type** please also provide the following documentation:

- Certified copy* or certified extract of the trust deed; or
- Notice of assessment or certified copy** of assessment issued by the ATO in the last 12 months.

* For the definition of certified copy and list of people that can certify documents refer to Section 6 on page 15 of this Application Form.

** The person(s) who settles the initial sum or assets to create the trust. This will be verified against the trust deed which should outline the full name of the settlor(s).

1.3 Trustee Details

How many trustees are there?	Provide details for each trustee <i>If there are more trustees, provide details on a separate sheet of paper and attach it to your Application Form.</i>
Trustee 1 – Full given name(s) or Company name	Surname
Trustee 2 – Full given name(s) or Company name	Surname

For all trust types please complete the following additional sections:

- If you are completing this form as an **Individual Trustee** please complete *Section 3 - Investor Type: Individual* for at least ONE of the trustees in addition to completing applicable Sections 1.3 and 1.4 and 1.5.
- If you are completing this form as a **Corporate Trustee** please complete *Section 2 - Investor Type: Company* in addition to completing applicable Sections 1.3 and 1.4.
- If you are completing this form both as **Individual and Corporate Trustee** please complete *Section 3 -Investor Type: Individual* and *Section 2 - Investor Type: Company* in addition to completing applicable Sections 1.3 and 1.4.

1.4 Beneficiary Details *(Only complete if "Other trust type" is selected in Section 1.2)*

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (e.g. SMSF) or government superannuation fund.

Do the terms of the trust identify the beneficiaries by reference to membership of a class?

<input type="checkbox"/> Yes Provide details of the membership class/es <i>(e.g. Unit Holders, family members of named person, charitable purpose)</i>	
<input type="checkbox"/> No How many beneficiaries are there?	Provide full name of each beneficiary <i>If there are more beneficiaries, provide details on a separate sheet of paper and attach it to your Application Form.</i>
Full given name(s)	Surname
1	
2	
3	

1.5 Beneficiary Ownership Details *(Only complete if "Other trust type" is selected in Section 1.2)*

Do NOT complete if the trust is a registered managed investment scheme, regulated trust (e.g. SMSF) or government superannuation fund.

Provide the names of the individuals that directly or indirectly control* the trust. If this is confirmed to be the individual identified as the trustee above, they must be listed again below to confirm that they are the trust's beneficial owners.

**includes control by acting as trustee; or by means of trusts, agreements, arrangements, understandings and practices; or exercising control through the capacity to direct the trustees; or the ability to appoint or remove the trustees.*

Beneficial Owner 1		/ / Date of Birth (dd/mm/yyyy)	
Full given name(s)		Surname	
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Occupation		Role (such as trustee or appointer)	

Beneficial Owner 2		/ / Date of Birth (dd/mm/yyyy)	
Full given name(s)		Surname	
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Occupation		Role (such as trustee or appointer)	

Beneficial Owner 3		/ / Date of Birth (dd/mm/yyyy)	
Full given name(s)		Surname	
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Occupation		Role (such as trustee or appointer)	

If there are more beneficial owners, provide details on a separate sheet of paper and attach it to your Application Form.

Identification Documents for Beneficial Owners

For all Individual beneficial owners please provide the following information in addition to completing this section:

- **Original Certified copy* of a Primary Photographic Identification Document** (see page 10 for definition); **or**
- **Original Certified copy* of a Primary Non-Photographic Identification Document AND a Secondary Identification Document** (see page 10 for definitions).

** For the definition of certified copy and list of people that can certify documents refer to Section 6 on page 15 of this Application Form.*

Section 2 - Investor Type : Australian & Foreign Company

Please note, if you are an Australian Company acting as trustee of a fund, please also complete Section 1.

2.1 General Information

Full Name as registered by ASIC or foreign registration body

Registration number

(Select the following categories which apply to the company and provide the information requested)

ACN

ARBN

Foreign body registration number

Name of the foreign registration body

Country of formation / incorporation / registration

Registered Office Street Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

Principal Place of Business Street Address (if any) (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

2.2 Regulatory/ Listing Details (Select the following categories which apply to the company and provide the information requested)

Regulated company (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence Number

Australian listed company or Foreign listed company as defined in the IFSA/FPA Guidelines

Name of market / exchange

Majority-owned subsidiary of an Australian listed company

Australian listed company name

Name of market or exchange

Foreign company

Country of formation / incorporation / registration

2.3 Company Type (Select only ONE of the following categories)

Public Section 2 complete ➡ continue to Section 4

Proprietary/Private ➡ Go to Section 2.4 and 2.5

Other ➡ Go to Section 2.4 and 2.5

2.4 Directors *(Only needs to be completed for proprietary, private and other companies)*

This section does NOT need to be completed for public and listed companies.

How many directors are there? Provide full name of each director
If there are more directors, provide details on a separate sheet of paper
and attach it to your Application Form.

	Full given name(s)	Surname
1		
2		
3		
4		

■ If the company is a regulated company (as selected in Section 2.2) Section 2 is now COMPLETE ➡ continue to Section 4.

2.5 Beneficial Owners

(Only needs to be completed for proprietary, private or other companies that are not regulated companies as selected in Section 2.2)

Shareholder beneficial owners

Provide details of **ALL individuals** who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings). *If there are more shareholder beneficial owners, provide details on a separate sheet of paper and attach it to your Application Form.*

Shareholder 1

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)		Surname	
Residential Street Address <i>(PO Box is NOT acceptable)</i>			
Suburb	State	Postcode	Country
Occupation		Role <i>(such as trustee or appointer)</i>	

Shareholder 2

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)		Surname	
Residential Street Address <i>(PO Box is NOT acceptable)</i>			
Suburb	State	Postcode	Country
Occupation		Role <i>(such as trustee or appointer)</i>	

Other beneficial owners

If there are no individuals who meet the requirements of shareholder beneficial owners, provide the names of the individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more; or power of veto. If no such person can be identified then the most senior managing officials of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

Beneficial Owner 1

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)		Surname	
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Occupation		Role (such as trustee or appointer)	

Beneficial Owner 2

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)		Surname	
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Occupation		Role (such as trustee or appointer)	

Beneficial Owner 3

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)		Surname	
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Occupation		Role (such as trustee or appointer)	

If there are more beneficial owners, provide details on a separate sheet of paper and attach it to your Application Form.

- If the company is an Australian company or **Foreign company registered with ASIC** the form is now COMPLETE.
- If the company is a **Foreign company NOT registered with ASIC** please also attach certified copy* of the certification of registration issued by the relevant foreign registration body.

* For the definition of certified copy and list of people that can certify documents refer to Section 6 on page 15 of this Application Form.

Identification Documents for Beneficial Owners

For all Individual beneficial owners please provide the following information in addition to completing this section:

- **Original Certified copy* of a Primary Photographic Identification Document** (see page 10 for definition); **or**
- **Original Certified copy* of a Primary Non-Photographic Identification Document AND a Secondary Identification Document** (see page 10 for definitions).

* For the definition of certified copy and list of people that can certify documents refer to Section 6 on page 15 of this Application Form.

Section 3 - Investor Type : Individual

Please note, if you are an individual(s) acting as trustee(s) of a fund, please also complete Section 1.

Investor 1 – Investor’s name must match investor’s ID exactly.

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)

Surname

Residential Street Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full business name

ABN (if any)

Principal Place of Business Street Address (if any) (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

Investor 2 – Investor’s name must match investor’s ID exactly.

/ /
Date of Birth (dd/mm/yyyy)

Full given name(s)

Surname

Residential Street Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER

Full business name

ABN (if any)

Principal Place of Business Street Address (if any) (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

If there are more than 2 joint individual investors, provide details on a separate sheet of paper and attach it to your Application Form.

Identification Documents for Individual Owners

For all Individual investors please provide the following information in addition to completing this section:

- **Original Certified copy* of a Primary Photographic Identification Document** (see page 10 for definition); **or**
- **Original Certified copy* of a Primary Non-Photographic Identification Document AND a Secondary Identification Document** (see page 10 for definitions).

* For the definition of certified copy and list of people that can certify documents refer to Section 6 on page 15 of this Application Form.

What are the Identification Documents?

Primary Photographic Identification Documents;

1. Licence or permit issued by State or Territory of Australia or equivalent authority of a foreign country for the purpose of driving a vehicle that contains a photograph of the person in whose name the document is issued.
2. Passport issued by Commonwealth of Australia.
3. Passport issued for purpose of international travel that is issued by a foreign government and contains a photograph and the signature of a person in whose name the document is issued (accompanied by a written translation prepared by accredited translator where required).
4. Card issued by a State or Territory of Australia for the purpose of proving a person's age that contains a photograph of the person in whose name the document is issued.
5. National Identity Card issued by a foreign government, for the purpose of identification that contains a photograph of the person in whose name the document is issued (accompanied by a written translation prepared by accredited translator where required).

Primary Non-Photographic Identification Documents;

1. Birth Certificate or Birth Extract issued by a State or Territory of Australia.
2. Citizenship Certificate issued by Commonwealth of Australia.
3. Citizenship Certificate issued by a foreign Government (accompanied by a written translation prepared by accredited translator where required).
4. Birth certificate issued by a foreign government (accompanied by a written translation prepared by accredited translator where required).
5. Pension card issued by Centre Link that entitles financial benefits to the person in whose name the card is issued.

Secondary Identification Documents;

1. A notice that was issued to an individual by the Commonwealth, a State or Territory of Australia within the preceding 12 months that contains the name of the individual and his or her residential address and records the provision of financial benefits to the individual under a law of the Commonwealth, State or Territory.
2. A notice that was issued to an individual by a local government or utilities provider in Australia within the preceding 3 months that contains the name of the individual and his or her residential address and records the provision of services by that local government body or utilities provider to that address or to that person.

Section 4 – Foreign Account Tax Compliance Act (FATCA) Self-certification Declaration

This certification must be completed **BY ALL INVESTORS** to declare their FATCA and CRS status. Please refer to section 8 for explanations of FATCA terms before completing this form. Neither the Trustee of the Fund or Mainstream Fund Services is able to provide you with tax or professional advice in respect of FATCA or CRS and we strongly encourage you to seek the advice of an experienced tax or professional adviser in relation to completing this form.

What are FATCA & CRS?

The U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) are two ways in which a large number of governments are seeking the same thing – to improve global tax compliance. Both require financial institutions to capture relevant information on foreign tax payers, as follows:

- FATCA promotes cross border tax compliance by U.S. taxpayers, by implementing an international standard for the automatic exchange of information related to those taxpayers. Australia has entered into an inter-governmental agreement (IGA) with the U.S. to implement FATCA in Australia, to be administered through the ATO. The AUS-USA FATCA IGA requires the ATO to obtain detailed account information for U.S. citizens and/or taxpayers on an annual basis. The effect of this is that, to satisfy their FATCA obligations, relevant Australian financial institutions must identify any U.S. taxpayers and report those taxpayers' financial account data to the ATO.
- CRS is a global reporting standard, developed by the OECD, for the automatic exchange of information (AEOI). Its goal is to allow tax authorities to obtain a clearer understanding of financial assets held abroad by their residents, for tax purposes. Over 88 countries (*refer to OECD link in section VI for participating jurisdictions*) have agreed to share information on residents' assets and incomes in accordance with defined reporting standards. Once again, this means that financial institutions around the globe must provide tax authorities with taxpayer financial account data, and the financial institutions must therefore collect this information from their customers and pass it on.

I. Individual & Joint Investors

Please provide details for each individual. If there are more than 2 individuals please provide their details on a separate page.

FATCA

1. Are you a U.S. citizen or U.S. resident for tax purposes? No ➔ *continue to Question 2*
 Yes ➔ Provide your Name & U.S. Taxpayer Identification Number (TIN) below and *continue to Question 2*

Individual 1: Full Name	Individual 2: Full Name
TIN	TIN

CRS

2. Are you a tax resident of any other country outside of Australia? No ➔ *skip to Section IV*
 Yes ➔ Provide details below and skip to Section IV. If resident in more than one jurisdiction please include details for all jurisdictions below (if more than 2 jurisdictions please provide them on a separate piece of paper)

Individual 1	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.			
2.			
Individual 2	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.			
2.			

If TIN or equivalent is not provided, please provide reason from the following options:

Reason A: The country/jurisdiction where the entity is resident does not issue TINs to its residents

Reason B: The entity is otherwise unable to obtain a TIN or equivalent number
 (Please explain why the entity is unable to obtain a TIN below if you have selected this reason)

Reason C: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

If Reason B selected, explain why you are unable to obtain a TIN:

II. Superannuation Funds

Full legal name of the Superannuation Fund

3. Are you an Australian Retirement Fund? (refer to FATCA definitions in Section VI)

Yes ➤ Skip to Section IV

No ➤ Continue to Section III

III. Entities (Company, Trust, Partnership, Association etc.)

Full legal name of the Entity

FATCA

4. Select only ONE of the following three FATCA categories that best describes the entity and provide the information requested.

U.S. person as defined under FATCA and U.S. Internal Revenue Code – including but not limited to company, trust or partnership established under the laws of the U.S. and considered a U.S. resident for tax purposes.

(a) U.S. federal tax classification ➤ Please confirm entity's U.S. federal tax classification below

Single-member LLC C Corporation S Corporation Partnership Trust/estate

Limited liability company - C corporation Limited liability company - S corporation

Limited liability company - Partnership Other ➤ Please specify: _____

(b) Are you exempt from FATCA reporting?

Yes Please provide your FATCA exemption code

No Please provide your U.S. Taxpayer Identification Number (TIN)

Financial institution (FFI) ➤ Select one option from (a) to (e) to confirm which type of FFI you are

(a) Reporting IGA FFI or Participating FFI ➤ Provide entity's GIIN & continue to Question 5

GIIN

(b) Sponsored FFI or Trustee Documented Trust ➤ Complete details of Sponsoring entity or Trustee & continue to Question 5

Name of Sponsoring entity or Trustee

GIIN of Sponsoring entity or Trustee

(c) FFI that does not need to register (e.g. Non-Reporting IGA FFI) ➤ Complete details below & continue to Question 5

FATCA status

GIIN (if applicable)

(d) Non-participating FFI ➤ Note that information about you will be reported to ATO and IRS. Continue to Question 5

(e) Exempt Beneficial Owner ➤ Continue to Question 5

Non-Financial Foreign Entity (NFFE) ➤ Select one option from (a) to (c) to confirm which type of NFFE you are

(a) Active NFFE ➤ Continue to Question 5

(b) Passive NFFE with no controlling U.S. persons ➤ Continue to Question 5

(c) Passive NFFE with controlling persons (refer to FATCA definitions in Section VI) who are U.S. citizens or U.S. residents for tax purposes ➤ Provide details of each of the controlling U.S. persons below (if there are more than 2 controlling U.S. persons please provide their details on a separate page and attach to this form) & continue to Question 5

U.S. Person 1 Beneficiary Trustee Owner Controlling Person

Director Other ➤ Please specify: _____

Full Name

U.S. Taxpayer Identification Number (TIN)

Residential Street Address (PO Box is NOT acceptable)

U.S. Person 2 Beneficiary Trustee Owner Controlling Person

Director Other ➤ Please specify: _____

Full Name

U.S. Taxpayer Identification Number (TIN)

Residential Street Address (PO Box is NOT acceptable)

5. Are you a tax resident of any other country outside of Australia? No ➔ Continue to Question 6
 Yes ➔ Provide details below & continue to Question 6. If resident in more than one jurisdiction please include details for all jurisdictions below (if more than 2 jurisdictions please provide them on a separate piece of paper)

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1.			
2.			

If TIN or equivalent is not provided, please provide reason from the following options:

Reason A: The country/jurisdiction where the entity is resident does not issue TINs to its residents

Reason B: The entity is otherwise unable to obtain a TIN or equivalent number
 (Please explain why the entity is unable to obtain a TIN below if you have selected this reason)

Reason C: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

If Reason B selected, explain why you are unable to obtain a TIN:

6. Are you a Financial Institution for the purposes of CRS? Yes ➔ Continue to Question 7 No ➔ Skip to Question 8
7. Are you an Investment Entity (Financial Institution) located in a Non-Participating Jurisdiction for CRS purposes and managed by another Financial Institution? Yes ➔ Continue to Question 9 No ➔ Skip to Section IV
8. Are you an Active Non-Financial Entity (Active NFE)?
 Yes ➔ Specify the type of Active NFE below and then skip to Section IV
 Less than 50% of the Active NFE's gross income from the preceding calendar year is passive income and less than 50% of its assets during the preceding calendar year are assets held for the production of passive income
 Corporation that is regularly traded or a related entity of a regularly traded corporation
 Governmental Entity, International Organisation or Central Bank
 No ➔ You are a Passive Non-Financial Entity (Passive NFE) continue to Question 9

9. Controlling Persons: Does one or more of the following apply to you:
 • Is any natural person that exercises control over you (for corporations, this would include directors or beneficial owners who ultimately own 25% or more of the share capital) a tax resident of any country outside of Australia?
 • If you are a trust, is any natural person including trustee, protector, beneficiary, settlor or any other natural person exercising ultimate effective control over the trust a tax resident of any country outside of Australia?

- Yes ➔ Complete details below for these persons & continue to Section IV No ➔ Skip to Section IV

Person 1: If there are more than 2 controlling persons, please list them on a separate piece of paper

Full Name	Date of Birth (dd/mm/yyyy)	/	/
Residential Street Address (PO Box is NOT acceptable)			
Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided	

Person 2:

Full Name	Date of Birth (dd/mm/yyyy)	/	/
Residential Street Address (PO Box is NOT acceptable)			
Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided	

If TIN or equivalent is not provided, please provide reason from the following options:

Reason A: The country/jurisdiction where the entity is resident does not issue TINs to its residents

Reason B: The entity is otherwise unable to obtain a TIN or equivalent number
 (Please explain why the entity is unable to obtain a TIN below if you have selected this reason)

Reason C: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

If Reason B selected, explain why you are unable to obtain a TIN:

IV. Declaration

By completing and signing this form

- I/we declare that the information provided in this form is correct and where relevant reflects my/our tax status for purposes of FATCA & CRS
- I/we will promptly notify the Trustee or Mainstream Fund Services (“MFS”) and provide it with any changes to the information provided by me/us in connection with this form and on request provide any further information reasonably required by Trustee/MFS to comply with any obligation under FATCA or CRS
- I/we acknowledge that any personal information I/we provide to MFS will be collected and handled in accordance with the Trustee's or Mainstream Fund Services privacy policy, a copy of which can be found at www.mainstreambpo.com/mbpo/Privacy-Policy or posted / emailed to us if we contact MFS on 1300 133 451 or registry@mainstreamgroup.com. By submitting this form or any other paperwork relating to my/our investment I/we consent to my/our personal information being collected and handled by the unit registry in accordance with that policy.

1	Signature	/ /	Date (dd/mm/yyyy)
Name (Block letters please)			
Title (select one) <input type="checkbox"/> Individual <input type="checkbox"/> Sole Director <input type="checkbox"/> Director <input type="checkbox"/> Trustee			
<input type="checkbox"/> Partner <input type="checkbox"/> Other ► Please specify: _____			

2	Signature	/ /	Date (dd/mm/yyyy)
Name (Block letters please)			
Title (select one) <input type="checkbox"/> Individual <input type="checkbox"/> Sole Director <input type="checkbox"/> Director <input type="checkbox"/> Trustee			
<input type="checkbox"/> Partner <input type="checkbox"/> Other ► Please specify: _____			

Please note it is up to the investor to ensure Mainstream Fund Services have been notified of authorised signatories on this account. Where the signature cannot be matched to the initial application form or signatory list provided there maybe delays in processing of this form.

V. Submitting the form

Please return the completed form to:

1. Scan & email to: registry@mainstreamgroup.com, or
2. Post to: JCB Active Fund Unit Registry
C/- Mainstream Fund Services
GPO Box 4968
Sydney NSW 2001

If you have any questions about this form please contact us on 1300 133 451 or registry@mainstreamgroup.com.

► Please refer to next page for explanations

VI. Explanations

Common terms

Financial institution (also referred to as Foreign financial institution or “FFI” under FATCA) – an entity created or organised outside of the U.S. and includes:

- a) **Depository institution** – entity that accepts deposits in the ordinary course of banking or similar business (banks, credit unions), or
- b) **Custodial institution** – entity that holds financial assets for the account of others as a substantial portion of its business (brokers, custodians), or
- c) **Investments entity** – any entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:
 - trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange; interest rate and index instruments; transferable securities; or commodity futures trading;
 - individual and collective portfolio management; or
 - otherwise investing, administering, or managing funds or money on behalf of other persons.

Non-Financial Foreign Entity (“NFFE”) – any non-U.S. entity that is not a financial institution. NFFE can be either Active NFFE or Passive NFFE (refer below for more details).

U.S. citizen or U.S. resident for tax purposes – includes:

- anyone born in the U.S. (who hasn’t renounced their citizenship)
- anyone living in the U.S.
- a green card holder
- U.S. passport holder
- U.S. companies, trusts or partnerships

Controlling Persons – the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

GIIN – Global Intermediary Identification Number – an IRS registration number for financial institutions.

TIN – U.S. Taxpayer Identification Number and may include Social Security Number (SSN) or Employer Identification Number (EIN).

IGA – Agreement between the Government of Australia and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA.

Australian Retirement Fund:

1. Any plan, scheme, fund, trust, or other arrangement operated principally to administer or provide pension, retirement, superannuation, or death benefits that is a superannuation entity or public sector superannuation scheme (including an exempt public sector superannuation scheme) as defined in the *Superannuation Industry (Supervision) Act 1993*, or a constitutionally protected fund as defined in the *Income Tax Assessment Act 1997*.
2. A pooled superannuation trust as defined in the *Income Tax Assessment Act 1997*.
3. Any Entity that is wholly owned by, and conducts investment activities, accepts deposits from, or holds financial assets exclusively for or on behalf of, one or more plans, schemes, funds, trusts, or other arrangements referred to in subparagraphs (1) or (2) of this paragraph.

Further information about FATCA & CRS can found at:

www.irs.gov/fatca

treasury.gov.au/Policy-Topics/Taxation/Tax-Treaties/HTML/Intergovernmental-Agreement

www.aph.gov.au/About_Parliament/Parliamentary_Departments/Parliamentary_Library/pubs/rp/rp1314/QG/FATCA

www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/

www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/MCAA-Signatories.pdf

FATCA status

FATCA status refers to entity classification under FATCA and may include:

1. **Active NFFE** – any NFFE that meets following criteria:
 - NFFE where less than 50% of income is passive income (i.e. dividends, interest, annuities etc.) and less than 50% of its assets produce passive income; or
 - Entity’s stock is regularly traded on established securities market (e.g. entity listed on ASX) or affiliated group of such entity; or
 - Entity organised in U.S. Territory and owned by its residents; or
 - Foreign government; or
 - International organisation; or
 - Foreign Central Bank of Issue; or
 - Any other specifically identified class of entities, including those posing a low risk of tax evasion, as determined by the IRS (e.g. start-up entities, entities in liquidation, not-for profit entities etc.)
2. **Passive NFFE with controlling U.S. persons** – any NFFE that is not an Active NFFE or is not a withholding foreign partnership or trust and has controlling U.S. persons.
3. **Passive NFFE with no controlling U.S. persons** – any NFFE that is not an Active NFFE or is not a withholding foreign partnership or trust and where none of the entity’s controlling persons are U.S. persons.
4. **Participating FFI** – an FFI that enters into an agreement with the IRS to undertake certain due diligence, withholding and reporting requirements for U.S. account holders in accordance with FATCA and is generally able to provide GIIN.
5. **Exempt Beneficial Owner** – this is non-reporting entity under FATCA and may include:
 - the Australian Government, State and local governments and local authorities and their wholly owned agencies or instrumentalities, including certain named entities;
 - International, intergovernmental and supranational organisations;
 - Reserve Bank of Australia and its subsidiaries;
 - Complying Australian superannuation funds (including self-managed super funds);
 - Investment entity wholly owned by exempt beneficial owners;
6. **Non-Reporting IGA FFI** – this is non-reporting entity (certified or registered deemed-compliant FFI) under FATCA and may include:
 - Financial institution with Australian client base (must satisfy all condition listed in paragraph III. A of Annex II of the IGA, including at least 98% of the U.S. dollar value of all account balances must be held by Australian residents);
 - Small local banks that meet criteria listed in the IGA;
 - Financial Institution that is not an Investment Entity with only Low-Value Accounts (i.e. with value of U.S.\$ 50,000 or less) and with total assets of no more than U.S.\$50 million;
 - Qualified credit card issuer (with customer deposits of U.S.\$50,000 or less);
 - Trustee-Documented Trust – a trust established under the laws of Australia to the extent that the trustee of the trust is a Reporting U.S. Financial Institution, Reporting Model 1 FFI, or Participating FFI and reports all information required to be reported pursuant to the Agreement with respect to all U.S. Reportable Accounts of the trust;
 - Sponsored investment entity – an investment entity established in Australia that has a Sponsoring entity;
 - Certain Investment Manager and Investment Advisors;
 - Certain Collective Investment Vehicles that meet criteria listed in the IGA.
7. **Non-Participating FFI** – an entity that does not comply with FATCA and generally will not fall into any of the below categories:
 - Participating FFI; or Reporting FFI; or Exempt Beneficial Owner

Section 5 – Declaration and Signature

I/we acknowledge declare and agree that by signing this Application Form:

- I acknowledge declare and agree that by signing this application form:
- I have received and read the Information Memorandum to which this Application Form applies and have received and accepted the offer to invest in Australia.
- I declare that I am a wholesale client as defined in section 761G of the Corporations Act
- If I have received the Information Memorandum from the internet or other electronic means that I received it personally or a print out of it, accompanied by this Application Form.
- All details provided by me in this Application Form are true and correct.
- I agree to be bound by the terms and conditions of the current Information Memorandum and of the Constitution of the Fund, as amended.
- That JCB is authorised to apply the TFN or ABN provided above to all future applications for units, including reinvestments, unless I notify the Trustee otherwise.
- JCB or any other person does not guarantee the repayment of capital invested in, the Fund, the performance of nor any particular return from the Fund and I understand the risks involved in investing in the Fund.
- I acknowledge that JCB may be required to pass on information about me or my investment to the relevant regulatory authority in compliance with the AML Act. I will provide such information and assistance that may be requested by JCB to comply with its obligations under the AML Act and I indemnify it against any loss caused by my failure to provide such information or assistance.
- I acknowledge that JCB may be required to pass on information about me or my investment to the relevant regulatory authority in compliance with the US Foreign Account Tax Compliance Act (“FATCA”). I will provide such information and assistance that may be requested by the Trustee to comply with its obligations under the FATCA Act and I indemnify it against any loss caused by my failure to provide such information or assistance.
- The monies used to fund my investment in the Fund are not derived from or related to any money laundering, terrorism financing or other illegal activities, whether prohibited under Australian law, international law or convention (‘illegal activity’) and the proceeds of my investment in the Fund will not be used to finance any illegal activities.
- I am not a ‘politically exposed’ person or organisation for the purpose of any AML law.
- I acknowledge that any personal information I provide to Mainstream Fund Services (“MFS”) will be collected and handled in accordance with JCB’s and MFS’s privacy policy, a copy of which can be posted / emailed to me if I contact MFS on 1300 133 451 or registry@mainstreamgroup.com . By submitting this form or any other paperwork relating to my investment I consent to my/our personal information being collected and handled by the unit registry in accordance with that policy.
- I confirm that JCB and MFS are authorised to accept and act upon any instructions in respect of this application and the units to which it relates given by me by facsimile. If instructions are given by facsimile, the onus is on me to ensure that such instructions are received in legible form and I undertake to confirm them in writing. I indemnify JCB and MFS against any loss arising as a result of any of them acting on facsimile instructions. JCB and MFS may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons.
- I acknowledge that JCB reserves the right to reject any application.

Account operating instructions (if no selection is made, all individuals to sign will be assumed)

Any individual to sign Any TWO individuals to sign

ALL individuals to sign Other (please specify – e.g. per attached Power of Attorney)

1		/	/
	Signature	Date (dd/mm/yyyy)	
	Title	Name (Block letters please)	

2		/	/
	Signature	Date (dd/mm/yyyy)	
	Title	Name (Block letters please)	

3		/	/
	Signature	Date (dd/mm/yyyy)	
	Title	Name (Block letters please)	

4		/	/
	Signature	Date (dd/mm/yyyy)	
	Title	Name (Block letters please)	

Section 6 – Certified Copy of an Original Document

Certified copy means a document that has been certified as a true copy of an original document.

Certified extract means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described in the sub-paragraphs below.

People who can certify documents or extracts are:

- a **lawyer** - a person who is enrolled on the roll of the Supreme Court of a State or Territory, or High Court of Australia, as a legal practitioner (however described);
- a **judge** of a court;
- a **magistrate**;
- a **chief executive officer** of a Commonwealth court;
- a **registrar** or **deputy registrar** of a court;
- a **Justice of Peace**;
- a **notary public** (for the purposes of the *Statutory Declaration Regulations 1993*);
- a **police officer**;
- a **postal agent** - an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
- the **post office** - a **permanent employee** of The Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
- an **Australian consular officer** or an **Australian diplomatic officer** (within the meaning of the *Consular Fees Act 1955*);
- an **officer** with 2 or more continuous years of service with one or more **financial institutions** (for the purposes of the *Statutory Declaration Regulations 1993*);
- a **finance company officer** with 2 or more continuous years of service with one or more financial companies (for the purposes of the *Statutory Declaration Regulations 1993*);
- an **officer** with, or **authorised representative** of, a **holder of an Australian financial services licence**, having 2 or more continuous years of service with one or more licensees; and
- an **accountant** - a member of the institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

The eligible certifier must include the following information:

- Their full name
- Address
- Telephone number
- The date of certifying
- Capacity in which they are eligible to certify, and
- An official stamp/seal if applicable

The certified copy must include the statement, *“I certify this is a true copy of the original document”*.

For photographic documents, the certified copy must include the statement, *“I certify this is a true copy of the original document and the photograph is a true likeness”*.

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

If you are investing less than \$500,000 you will need to complete this form or submit an equivalent qualified accountants certificate to satisfy the Trustee that you are a wholesale client/professional investor

To: JamiesonCooteBonds Pty Ltd (Trustee)

Please:

- Complete Section 1; and
- Complete Section 2 – either complete *Option B* and have your accountant sign it OR complete *Option A*; and
- Sign and Date Section 3

Section 1: Investor Details

Full given name(s) or Company name		Surname	
Residential Street Address – if an investor or company registered office address (<i>PO Box is NOT acceptable</i>)			
Suburb	State	Postcode	Country
Telephone		Facsimile	
Email			

I acknowledge that:

- (a) this Certificate is given to the Trustee to determine whether it is able to make certain offers of securities to me in compliance with the Corporations Act 2001;
- (b) offers of securities made to me by the Trustee may be made on the basis of this certificate;
- (c) I may be required to observe certain selling restrictions in Australia in relation to securities offered to me as a registered Sophisticated Investor;
- (d) if I have completed Section 2 Option A, the Trustee is authorised to send the renewal certificate to my certified accountant on my behalf; and
- (e) I may only act as principal.

Section 2: Certification

OPTION A: Professional Investor Category

I certify that I am (tick whichever box is applicable):

- A person who controls at least \$10 million (including any amount held by an associate or under a trust that the person manages) for the purpose of investment in securities; or
- A person who is a licensed or exempt dealer and is acting as principal. License No.: _____ ; or
- A regulated superannuation fund, an approved deposit fund, a pooled superannuation trust, or a public sector superannuation scheme within the meaning of the Superannuation Industry (Supervision) Act 1993 if the fund, trust or scheme has net assets of at least \$10 million.

Details of the Managed Fund or Superannuation Fund/Trust/Scheme (*block letters please*)

Name			
Residential Street Address – if an investor or company registered office address (<i>PO Box is NOT acceptable</i>)			
Suburb	State	Postcode	Country
Telephone		Facsimile	
Email			

NOTE: The Trustee may require independent verification of your professional investor status.

OPTION B: Qualified Accountant's Certification

Details of the Qualified Accountant* (block letters please):

Accountant's name			
Name of firm			
Residential Street Address (PO Box is NOT acceptable)			
Suburb	State	Postcode	Country
Telephone		Facsimile	
Email			

I certify that the following is true and correct in every particular:

- I am a qualified accountant* within the meaning of section 9 of the Corporations Act 2001;
- This certificate is given at the request of the investor described in Section 1 of this certificate ("Investor");
- This certificate is given for the purpose of Chapter 7 of the Corporations Act 2001; and
- The Investor:
 - has net assets of at least \$2,500,000.00; or
 - has a gross income for each of the last two financial years of at least \$250,000.00; or
 - is investing an amount greater than \$500,000.00; or
 - is a business employing at least 20 people (or if the business includes the manufacture of goods, at least 100 people); or
 - is a Wholesale Investor as defined in the Corporations Act 2001; and
 - satisfies the provisions of section 761G (7) of the Corporations Act.

Signature		/ /	
		Date (dd/mm/yyyy)	
Title	Name (Block letters please)		

* "Qualified accountant" means a member of a professional body that is approved by ASIC in writing for the purpose of the definition. ASIC has indicated that it will approve any member of:

- The Australian Society of Certified Practising Accountants ("ASPCA"), who is entitled to use the post-nominals "CPA" or "FCPA", and is subject to and complies with the ICAA's continuing professional development requirements;
- The Institute of Chartered Accountants in Australia ("the ICAA"), who is entitled to use the post-nominals of "CA", "ACA" or "FCA", and is subject to and complies with the ICAA's continuing professional education requirements; or
- The National Institute of Accountants ("the NIA"), who is entitled to use the post-nominals "MNIA" or "FNIA", and it subject to and complies with NIA's continuing professional education requirements.

Section 3: Investor's Signature

I declare that I have read and understood this form, and that the information set out is true and correct.

Please sign below:

Signature		/ /	
		Date (dd/mm/yyyy)	
Title	Name (Block letters please)		

POST THIS FORM

Please return the completed certificate to:

MAIL: JCB Active Fund Unit Registry, C/- Mainstream Fund Services, GPO Box 4968, Sydney NSW 2001

ADDITIONAL APPLICATION FORM JCB ACTIVE FUND

JCB

JAMIESON COOTE BONDS

This form should be used by existing Unit Holders provided your details have not changed.

Investor Number	Investor Name
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AMOUNT OF ADDITIONAL INVESTMENT

Please indicate how much you wish to invest \$AUD

Please note the minimum initial investment amount is \$50,000.00 and the minimum additional investment amount is \$10,000.00. Please make payment net of all bank changes. Only the net amount received will be invested in the Fund.

PAYMENT DETAILS

Please advise how your payment will be made. (Select one of the following options)

<input type="checkbox"/>	Cheque – Please make payable to:	Mainstream Fund Services Pty Ltd as Custodian for JamiesonCooteBonds Pty Ltd - Jamieson Coote Bonds Active Fund Application Account
<input type="checkbox"/>	Electronic Funds Transfer (EFT) to:	Bank: NAB BSB: 082-401 Account Number: 9126-45733 Account Name: Mainstream Fund Services Pty Ltd as Custodian for JamiesonCooteBonds Pty Ltd - Jamieson Coote Bonds Active Fund Application Account Reference: Investor Name

IMPORTANT: All EFT payments must be accompanied by a notification email to registry@mainstreamgroup.com in order to ensure that the investor account is properly credited.

CONTACT DETAILS

Contact Name	Contact Number
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DECLARATION AND AUTHORISATION

Please make sure you have completed the section above.

In signing, I/we authorise that these instructions be made on my/our behalf and acknowledge that this form is provided on the basis that the Trustee will affect it according to the terms and conditions of the current Information Memorandum.

1	Signature	Date (dd/mm/yyyy)
	Title	Name (Block letters please)
2	Signature	Date (dd/mm/yyyy)
	Title	Name (Block letters please)

NOTE: It is up to the investor to ensure Mainstream Fund Services have been notified of authorised signatories on this account. Where we cannot match the signature to the initial application form or signatory list provided there maybe delays in processing of this request.

POST or EMAIL THIS FORM

Please return the completed form with your cheque (if applicable) to:

MAIL: JCB Active Fund Unit Registry, C/- Mainstream Fund Services, GPO Box 4968, Sydney NSW 2001

Scan and EMAIL: registry@mainstreamgroup.com.

NOTE: If you are funding the application via cheque you'll need to post the documents to us. No investment will be allocated to an investor until both funds, and a valid application form and identification documents (where applicable), have been received by the Administrator.

REDEMPTION REQUEST FORM

JCB ACTIVE FUND

JCB

JAMIESON COOTE BONDS

Investor Number	Investor Name
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REDEMPTION AMOUNT

Please indicate if you would like to withdraw the total amount of your investment or a partial amount.

Class or Series (if applicable) :

Full withdrawal

Partial withdrawal – please state amount or units to be withdrawn:

\$AUD

UNITS

CONTACT DETAILS

Contact Name	Contact Number
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PAYMENT OF PROCEEDS

Pay into the account previously advised OR Pay redemption proceeds into following account:

IMPORTANT INFORMATION: *Additional security checks to verify bank account changes will be performed before the payment of your redemption proceeds if the bank account provided does not match bank account that is currently recorded in our records under your investment or if you have changed your bank account details.*

Account Name	Bank
BSB	Account Number

DECLARATION AND AUTHORISATION

Please make sure you have completed the 'Redemption Amount' section above.

In signing, I/we authorise that these instructions be made on my/our behalf and acknowledge that this form is provided on the basis that the Trustee will affect it according to the terms and conditions of the current Information Memorandum.

1	Signature	Date (dd/mm/yyyy)
	Title	Name (Block letters please)
2	Signature	Date (dd/mm/yyyy)
	Title	Name (Block letters please)

NOTE: It is up to the investor to ensure Mainstream Fund Services have been notified of authorised signatories on this account. Where we cannot match the signature to the initial application form or signatory list provided there maybe delays in processing of this request.

POST or EMAIL THIS FORM

Please return the completed form with your cheque (if applicable) to:

MAIL: JCB Active Fund Unit Registry, C/- Mainstream Fund Services, GPO Box 4968, Sydney NSW 2001

Scan and EMAIL: registry@mainstreamgroup.com.