

# ClearBridge RARE Application Form

May 2023

## ClearBridge RARE Infrastructure Value Fund - Hedged Class A Units

ARSN: 121 027 709 APiR Code: TGP0008AU

## ClearBridge RARE Infrastructure Value Fund - Unhedged Class A Units

ARSN: 150 677 017 APiR Code: TGP0034AU

## ClearBridge RARE Infrastructure Income Fund - Hedged Class A Units

ARSN: 132 182 631 APiR Code: TGP0016AU

## ClearBridge RARE Infrastructure Income Fund - Unhedged Class A Units

ARSN: 647 332 321 APiR Code: SSB6649AU

## ClearBridge RARE Emerging Markets Fund

ARSN: 132 182 462 APiR Code: TGP0015AU

ClearBridge Investments Limited  
(ClearBridge)  
Investment Manager

ABN 84 119 339 052 AFSL 307727  
[www.clearbridgeinvestments.com.au](http://www.clearbridgeinvestments.com.au)

Franklin Templeton Australia Limited  
(Franklin Templeton)  
Responsible Entity

ABN 76 004 835 849 AFSL 240827  
[www.franklintempleton.com.au](http://www.franklintempleton.com.au)

**ClearBridge**  
Investments

# APPLICATION FORM

## Welcome to the ClearBridge Investments Limited (“ClearBridge”) Application Form

Thank you for choosing to invest in ClearBridge RARE Funds, we are delighted to welcome you on board.

Please read over the following pages carefully as they contain important information regarding your investment, along with the requirements to ensure your application can be processed as efficiently as possible.

If you have any queries regarding the information contained in the following pages, or if you are having any difficulties completing this form, please contact our ClearBridge Client Service Team on +61 2 9397 7351 or at [auclientservice@clearbridge.com](mailto:auclientservice@clearbridge.com).

Please post your completed Application Form with an **original signature(s)** and **originally certified supporting documents** to the following address and ensure that funding of the application is made at the time the Application Form is sent.

**Link Market Services Limited  
Locked Bag 5038  
Parramatta NSW 2124  
Attention: MFO Registry Operations**

Once your application has been successfully processed, you will receive an application confirmation statement which will include your new account details. If we require any further information or documentation before processing your application, one of our ClearBridge Client Service Team members will contact you.

If there is anything we can provide in the meantime please do not hesitate to contact us.

Thank you again for your investment and welcome to ClearBridge.

### ARE YOU AN EXISTING INVESTOR\*?

**Additional investments should not be completed on this form. Please refer to the Additional Investment Form which can be obtained from ClearBridge’s website: [www.clearbridgeinvestments.com.au](http://www.clearbridgeinvestments.com.au).**

\*an Existing Investor should only complete this form if they are seeking to invest in a new ClearBridge RARE Fund using the same investor entity details as those used for their existing investment(s) in other ClearBridge RARE Fund(s).

**No**, complete section 1 onwards

**Yes**, account number is

**Existing unit holders** quoting their existing account number only need to complete sections 4, 6, 7 and 8.

### 1 WHAT TYPE OF INVESTOR IS APPLYING?

Please complete the following fields as applicable to the Applicant type. All fields marked with\* are compulsory.

#### 1.1 - TRUST / SUPERANNUATION FUND / ESTATE APPLICANTS

If the Trust / Superannuation Fund / Estate has an **Individual(s) as Trustee(s)**, please **ALSO** complete **section 1.2** with the Trustee's details.

If the Trust / Superannuation Fund / Estate has a **Company as Trustee**, please **ALSO** complete **section 1.3** with the Trustee's details.

**Account Designation\***

**Full Name of Trust / Superannuation Fund / Estate\***

**Trustee Type\*** **Corporate** **Individual(s)**

**Type of Trust / Superannuation Fund / Estate\***  
(e.g Self Managed Super Fund, Discretionary Trust etc.)

**Country where Trust / Superannuation Fund / Estate was established\***

**For Regulated Trust Applicants\*** **ABN**  
(e.g Self Managed Super Fund)

**For Unregulated Trust Applicants please complete all fields below\*** **ABN/TFN**  
(e.g Estates, Discretionary Trust, Family Trust etc.)

Please provide the full name and date of birth of all Beneficiaries of the Trust below:

	First Name	Family Name	Date of Birth (dd/mm/yyyy)	
Beneficiary 1			/	/
Beneficiary 2			/	/
Beneficiary 3			/	/
Beneficiary 4			/	/

Please provide full names of all Beneficial Owners who are individuals who own 25% or more of the Trust income or assets or who control (whether directly or indirectly) the Trust below:

	First Name	Family Name	Date of Birth (dd/mm/yyyy)	
Beneficial Owner 1			/	/
Beneficial Owner 2			/	/
Beneficial Owner 3			/	/
Beneficial Owner 4			/	/

At the time the Trust was established, did the Settlor of the Trust make a material asset contribution to the Trust of more than \$10,000?

Yes                  No

If Yes, please provide the full name of the Settlor

#### Supporting Documents required for Trust / Estate Applicants

Please provide the following:

- Originally certified copy of the Trust Deed *or*
- Originally certified copy of the Will with Grant of Probate *or*
- ASIC Register/APRA Extract (for Managed Investment Schemes registered with ASIC)

# CLEARBRIDGE RARE FUNDS

## APPLICATION FORM - CLASS A UNITS

### 1.2 - INDIVIDUAL / JOINT / SOLE TRADER APPLICANTS

Account Designation\*

#### Applicant 1

Title\*                      First Name\*                      Family Name\*                      Date of Birth (dd/mm/yyyy)\*  
/                      /

TFN / Exemption Code <sup>(1)</sup>                      Country of Residence\*                      Occupation\*

Residential Address\* (PO Box not accepted)                      Suburb\*                      State\*                      Postcode\*

#### Applicant 2

Title\*                      First Name\*                      Family Name\*                      Date of Birth (dd/mm/yyyy)\*  
/                      /

TFN / Exemption Code <sup>(1)</sup>                      Country of Residence\*                      Occupation\*

Residential Address\* (PO Box not accepted)                      Suburb\*                      State\*                      Postcode\*

#### Supporting Documents required for Individual / Joint / Sole Trader Applicants

For each applicant, please provide the following:

- Originally certified copy of Drivers Licence *or*
- Originally certified copy of Passport *or*
- Originally certified copy of National ID Card

If one of the above is not able to be provided, please contact our ClearBridge Client Service Team and they will advise of acceptable alternative documents.

<sup>(1)</sup> Applicants may, but are not required to, supply their Tax File Number (TFN) or TFN Exemption Code. If the Applicant does not provide a TFN or Exemption Code, withholding tax may be deducted from any distributions made to the Applicant.

### 1.3 - COMPANY APPLICANTS

Account Designation\*

Full Name of Company\*

ACN/ABN\*                      TFN

Registered Address\*  
(PO Box not accepted)

Country\*                      Suburb\*                      State\*                      Postcode\*

Nature of Business\*

If the company is an Australian listed company, write the name of the relevant market/exchange it is listed on here.

If the company is a majority owned subsidiary of an Australian listed company, write the name of the Australian listed company and the name of the relevant market/exchange it is listed on here.

**For Proprietary and Unlisted Public Companies, please list the full name and date of birth of each of the Beneficial Owners of the Company below.\*** A Beneficial Owner is an individual who owns or holds (directly or indirectly) 25% or more of the Company's issued share capital. *Please note this is not required for Listed Public Companies (or majority owned subsidiaries thereof).*

	First Name	Family Name	Date of Birth (dd/mm/yyyy)
Beneficial Owner 1			/ /
	Residential Address		

	First Name	Family Name	Date of Birth (dd/mm/yyyy)
Beneficial Owner 2			/ /
	Residential Address		

	First Name	Family Name	Date of Birth (dd/mm/yyyy)
Beneficial Owner 3			/ /
	Residential Address		

	First Name	Family Name	Date of Birth (dd/mm/yyyy)
Beneficial Owner 4			/ /
	Residential Address		

**For Proprietary Companies, please provide the full name and date of birth of each Director of the Company below:\***

	First Name	Family Name	Date of Birth (dd/mm/yyyy)
Director 1			/ /
Director 2			/ /
Director 3			/ /
Director 4			/ /

**Supporting Documents required for Company Applicants**

Please provide a copy of the following:

- ASIC Current Company Extract <sup>(\*)</sup>
- Certificate of Incorporation

For **Proprietary and Unlisted Public Companies**, please **ALSO** provide the documents requested in section 1.2 for each of the Beneficial Owners. For **Listed Public companies (or majority owned subsidiaries thereof)**, please **ALSO** provide a full list of Directors along with a Signatory List and Policy.

<sup>(\*)</sup> If the Company is a foreign company, an extract showing the registration of the foreign company may be supplied as an alternative.



### 1.4 - CUSTODIAN

**No** - go to section 1.5

**Yes** - please complete the questions below, then go to section 1.5

No Yes

a) Do you provide a custodial or depository service of the kind described in item 46 of table 1 in subsection 6(2) of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) (**AML/CTF Act**)?

b) Do you hold an AFSL or are you exempt from the requirement to hold such license? If Yes, AFSL Number or specify the grounds for exemption:

c) Are you enrolled as a reporting entity with AUSTRAC, or do you satisfy one of the 'geographical link' tests in subsection 6(6) of the AML/CTF Act?

d) Have you carried out all applicable customer identification procedures (**ACIP**) and ongoing customer due diligence (**OCDD**) requirements in accordance with Chapter 15 of the AML/CTF Rules in relation to your underlying customers (including where you have relied on a member of your designated business group or an Agent to perform the ACIP and OCDD)?

### 1.5 - ARE YOU INVESTING USING FUNDS BORROWED UNDER A MARGIN LOAN?

**No** - go to section 2

**Yes** - please complete below details

Name of Margin Lender

Name of Borrower

Borrower's TFN

Loan Number

## 2 HOW SHOULD WE CONTACT YOU?

Please provide your preferred contact details for communications.

Name of Investor\*

Address of Investor\*

Suburb\*

State\*

Postcode\*

Phone Number\*

Email Address(es)<sup>(2)</sup>

Postal Address (if different to above)

Suburb

State

Postcode

<sup>(2)</sup> By providing your email address you agree that you may be provided with information including statements, transaction confirmations, reports and other material by email.

# CLEARBRIDGE RARE FUNDS

## APPLICATION FORM - CLASS A UNITS

### 3 DO YOU WISH TO HAVE A FINANCIAL ADVISER LISTED ON THIS ACCOUNT?

If you received financial advice and would like to have your financial adviser on your account, please provide the details below:

Name of Adviser\* Authorised Representative Number\*

Name of Practice / Advisory Office\*

Dealer Group / AFSL Name\* AFSL\*

Address of Adviser\* Suburb\* State\* Postcode\*

Phone Number\* Email Address<sup>(2)</sup>

<sup>(2)</sup> By providing their email address, you agree that they may be provided with information including statements, transaction confirmations, reports and other material by email.

### 4 INVESTMENT DETAILS AND DISTRIBUTION INSTRUCTIONS

I/We received professional financial advice before deciding to invest in the Fund/s

Please note the minimum investment amount is \$20,000.

Fund name:	Distribution Preference <sup>(3)</sup> :		Investment Amount (\$):
	Reinvest	Cash	
ClearBridge RARE Infrastructure Value Fund - Hedged Class A Units (APIR Code: TGP0008AU)			(\$)
ClearBridge RARE Infrastructure Value Fund - Unhedged Class A Units (APIR Code: TGP0034AU)			(\$)
ClearBridge RARE Infrastructure Income Fund - Hedged Class A Units (APIR Code: TGP0016AU)			(\$)
ClearBridge RARE Infrastructure Income Fund - Unhedged Class A Units (APIR Code: SSB6649AU)			(\$)
ClearBridge RARE Emerging Markets Fund (APIR Code: TGP0015AU)			(\$)

<sup>(3)</sup> If no distribution preference is selected, distributions will automatically be reinvested.

#### Source of Funds:

- |                              |   |
|------------------------------|---|
| Savings                      | Inheritance   |
| Investment                   | Normal course of business                           |
| Superannuation contributions | Asset sale  |
| Commission                   | Other - write the source and origin of funds below: |
| Donation/Gift                |   |

### 5 YOUR BANK ACCOUNT DETAILS FOR DISTRIBUTION AND REDEMPTION PAYMENTS

Please provide your bank account details below. Please note only bank accounts in the name of the Investor / Investing Entity will be accepted. No third-party payments can be made.

Account Name\*

Bank or Financial Institution Name\*

BSB\*

Account Number\*

### 6 HOW WOULD YOU LIKE TO TRANSFER THE FUNDING?

Please select one of the payment methods below to indicate how the funding for this application will be transferred to our registry, Link Market Services Limited:

#### Cheque

Please make payable to "CLB Applications Account" and include the cheque with this Application Form when posting.

#### Electronic Funds Transfer

Please include the name of the Investor as a reference on the transfer.

**Bank:** JP Morgan Chase Bank

**BSB:** 212-200

**Account no:** 86024870

**Account name:** CLB Applications Account



### 7

### TAX INFORMATION FORM

*All investors must complete this section*

#### Why you need to complete this section

The Foreign Account Tax Compliance Act (**FATCA**) and Common Reporting Standard (**CRS**) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and a number of other foreign Governments have an agreement which requires us to obtain certain information from investors, including taxation information. You may be liable to a penalty if you provide information that is false or misleading in a material particular. We may not be able to process your application unless we have all required information. For more information, visit [ato.gov.au](http://ato.gov.au).

Please contact your accountant or legal adviser if you have any questions on this form.

#### Which sections of the form should you complete?

**Superannuation funds, testamentary trusts, registered charities – section 7.1**

**Individuals – section 7.2**

**Companies and other trusts – section 7.3**

- **Corporate trustee – section 7.3**
- **Individual trustee – section 7.2**

#### HELP

##### Tell me about tax residence

You can be a resident of more than one country for tax purposes. Whether you are tax resident of a particular country for tax purposes is often based on the amount of time you spend in a country and the location of your residence and/or place of work. If you pay tax or have a tax liability somewhere, you are probably a tax resident there. Dual citizenship often brings dual tax residency. It depends on the country. For the US, tax residency can be as a result of citizenship or residency for tax purposes.

## 7.1 - SUPERANNUATION FUNDS AND OTHER SPECIAL TRUSTS

### 1. Are you a superannuation or other special type of trust?

I am the trustee of a **regulated superannuation fund**, or this includes a self-managed superannuation fund

I am a trustee of a **testamentary trust**, or

I am a trustee of a **registered charity**

#### HELP

**Regulated superannuation fund:** means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled super trusts.

**Testamentary trust:** this is a trustee of a trust set up in a deceased's will.

Where to now?

I ticked a box ► go to **section 8 Declaration and Signatures**

I did not tick a box ► go to **section 7.2** if you are an individual, or **section 7.3** if you are a company or another type of trust

## 7.2 - INDIVIDUALS

Do not complete **section 7.2** if you are a non-superannuation trustee or you are a company ► complete **section 7.3** instead.

### Individual 1

### 2. Are you a US resident for tax purposes?

No ► go to **question 3**

Yes – please tell us your TIN ► go to **question 3**

#### HELP

##### What is a TIN?

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

TIN

# CLEARBRIDGE RARE FUNDS

## APPLICATION FORM - CLASS A UNITS

**3. Are you a resident of any other country for tax purposes?  
Other than the US or Australia.**

No ► go to **section 8 Declaration and Signatures (if this is a joint holding, please also ensure 'Individual 2' is completed below)**

Yes – please tell us which ones, using the following table.  
► then go to **section 8 Declaration and Signatures**

Country	TIN	No TIN? Which reason? See HELP box above
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		

### Individual 2

**4. Are you a US resident for tax purposes?**

No ► go to **question 5**

Yes – please tell us your TIN ► go to **question 5**

TIN

#### HELP

**No TIN? Reasons we accept are:**

#1 This country does not issue TINs

#2 I have asked for a TIN, but have not yet been given one – **you must tell us when received**

#3 The laws of this country do not require me to disclose my TIN

#4 I have an exemption under the laws of this country from holding a TIN – **write a code or give us details**

#### HELP

**What is a TIN?**

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

#### HELP

**No TIN? Reasons we accept are:**

#1 This country does not issue TINs

#2 I have asked for a TIN, but have not yet been given one – **you must tell us when received**

#3 The laws of this country do not require me to disclose my TIN

#4 I have an exemption under the laws of this country from holding a TIN – **write a code or give us details**

**5. Are you a resident of any other country for tax purposes?  
Other than the US or Australia?**

No ► go to **section 8 Declaration and Signatures**

Yes – please tell us which ones, using the following table.  
► then go to **section 8 Declaration and Signatures**

Country	TIN	No TIN? Which reason? See HELP box above
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		

*If there are more than two individuals, please provide further individual details on another page.*

### 7.3 - COMPANIES AND NON-SUPERANNUATION TRUSTS

6. Are you a US resident for tax purposes?

No ► go to **question 7**

Yes – please tell us your TIN ► go to **question 7**

TIN

**HELP**

**What is a TIN?**

See HELP box on the previous page.

7. Are you a resident of any other country for tax purposes?  
Other than the US or Australia.

No ► go to **question 8**

Yes – please tell us which ones, using the following table ► then go to **question 8**

Country	TIN	No TIN? Which reason? See HELP box above
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		

8. Are you a 'financial institution'?

Be careful – financial Institution is broadly defined – see HELP box

Not relevant - I wrote my TIN in question 6 ► go to **question 9**

No ► go to **question 9**

Yes – please tell us your GIIN – see HELP box

GIIN

Where to now?

I ticked **YES** and completed my GIIN ► go to **question 9**

I ticked **YES** but did not write a GIIN – tell us below why you did not write a GIIN ► then go to **question 9**

Excepted Financial Institution

Deemed Compliant Financial Institution

Exempt Beneficial Owner

Non-participating Financial Institution

Non-reporting IGA Financial Institution

Sponsored financial institution – their GIIN is

GIIN

**HELP**

**What is a GIIN?**

This stands for Global Intermediary Identification Number. GIINs are 19 digits long, issued by US tax authorities (the IRS) to non US financial institutions and sponsoring entities for purposes of identifying their registration with the IRS under US tax laws (called FATCA).

**HELP**

**What is a financial institution?**

**This includes:**

1. an investment entity - any entity that conducts certain activities or operations for or on behalf of a customer, including:
  - 'trading in money market instruments' and other relevant instruments
  - 'individual and collective portfolio management'
  - 'investing, administering, or managing funds or money on behalf of other persons'.

However, any trading, investing, administering or managing of financial assets on behalf of other persons must be done as a business. Note that financial assets does not include direct interests in real property.

An entity is also an investment entity if it is managed by another investment entity, depository institution, custodial institution or other prescribed entity and its gross income is primarily attributable to investing reinvesting or trading in financial assets.

So, as general rules:

- managed investment schemes are investment entities

Continued

### 9. Are you a public company listed on a stock exchange?

No ► go to **question 10**

Yes ► go to **section 8 Declaration and Signatures**

### 10. Are you 'active' or 'passive'?

I am an 'active' non financial entity ► go to **section 8 Declaration and Signatures**

I am a 'passive' non financial entity ► go to **question 11**

### 11. Do you have any 'controlling persons' who are resident of another country for tax purposes?

I am passive, and **YES** I do have controlling persons who are resident of another country for tax purposes

Complete the **controlling persons details** in the table below ► then go to **section 8 Declaration and Signatures**

If there is not enough room in the table, please copy the page and attach it to your completed form.

I am passive, but **NO** I do not have controlling persons who are resident of another country for tax purposes

Please ensure you read the definitions of a controlling person in the **HELP** box.

If you're sure ► go to **section 8 Declaration and Signatures**

- trusts with professional corporate trustees (and often professional corporate investment managers) often are investment entities, such as unregistered (wholesale) managed investment schemes

- discretionary family trusts are not usually investment entities, even if they have someone managing the trust's assets for them.

The ATO gives some help in this, and it's worth seeking advice if you are unsure: [ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/FATCA-detailed-guidance](http://ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/FATCA-detailed-guidance)

2. a depository institution

you accept deposits in the ordinary course of a banking or similar business e.g. a bank

3. a custodial institution

a substantial portion of your business (20% or more of gross income) has been held in financial assets for the account of others for the previous three years or since the establishment of the entity e.g. a custodian

4. certain prescribed entities

e.g. types of insurance companies that have cash value products or annuities.

#### HELP

##### What is 'active' and 'passive'?

A non-financial entity (NFE) is any entity that is not a financial institution as defined above.

You will be a passive NFE if you are not an active NFE.

Generally, you will be an active NFE if:

- your stock (or a related entity's stock) is regularly traded on established securities market
- less than 50% of your gross income for the previous reporting period was passive income and less than 50% of your assets during that period produce or were held to produce passive income
- you are a Governmental entity, an international organisation, a central bank or an entity wholly owned by one of the above
- you are exempt from income tax in your residential jurisdiction and were established and operated exclusively for religious, charitable, scientific, artistic, athletic or educational purposes and meet certain other specific criteria, or
- you have not been a financial institution in the past five years and are in the process of liquidating your assets or reorganising with the intent to recommence operations other than as a financial institution.

If you are unsure whether you are an Active or Passive NFE, please get advice.

#### HELP

##### Controlling persons

Controlling persons are natural persons who exercise control over an entity.

For trusts, controlling persons includes any trustees, settlors, beneficiaries, classes of beneficiaries or any other person who has the power to effectively control the trust.

For companies, controlling persons generally include any person who holds (directly or indirectly) more than 25% of the shares in the company and any person who has the power to influence decisions about the company's financial and operating policies, such as senior managing officials or directors.

# CLEARBRIDGE RARE FUNDS

## APPLICATION FORM - CLASS A UNITS

### Controlling person

Title First Name

Family

Date of birth (DD/MM/YYYY)

/ /

City and country of birth

### Controlling person

Title First Name

Family

Date of birth (DD/MM/YYYY)

/ /

City and country of birth

### Residential address

Number Street name

Suburb/City

State

Postcode/Zip

Country

### Residential address

Number Street name

Suburb/City

State

Postcode/Zip

Country

	Country of tax residence	TIN	No TIN? Which reason? See HELP at questions 3 or 5 (page 10)
1			
2			
3			
4			

	Country of tax residence	TIN	No TIN? Which reason? See HELP at questions 3 or 5 (page 10)
1			
2			
3			
4			

### 8 INVESTOR DECLARATION AND SIGNATURE

In applying for units in any of the Fund(s), the Applicant acknowledges and declares that:

- I/We have received, read and understood the latest copy of the relevant PDS and Additional Information Booklet (available at [www.clearbridgeinvestments.com.au](http://www.clearbridgeinvestments.com.au)) and agree to be bound by the provisions set out in the PDS and the Fund's constitution, as amended from time to time.
- I/We are at least 18 years of age or am a duly incorporated body.
- I/We will provide further information or personal details to Franklin Templeton if required to meet their obligations under any Anti-Money Laundering and Counter Terrorism Financing (AML/CTF) law, Common Reporting Standard (CRS), FATCA and other rules and regulations.
- All the details in this Application Form are true and correct, and I/we agree to notify the Franklin Templeton immediately if there is any change to such details.
- The acceptance of my/our Application Form will be at the sole discretion of Franklin Templeton.
- If the Application Form is incomplete or monies are dishonoured, Franklin Templeton will not process my/our Application and will notify me/us.
- I/We have read the information on privacy and personal information contained in the PDS and consent to our personal information being collected, used and disclosed in accordance with the PDS and Franklin Templeton's Privacy Policy.
- If signed under Power of Attorney, the Attorney hereby declares that they are authorised under that Power to execute this document and has not received notice of revocation of that Power.
- I/We are not a US Person(s), and I/we have provided all information in relation to allowing me/us and Franklin Templeton to comply with all obligations under AML/FATCA/CRS, and that this information is true and correct. Notwithstanding the foregoing, if any information about me/us (including my/our AML/FATCA and/or international tax status) changes, I/we will promptly notify Franklin Templeton and provide Franklin Templeton on request (and at any other time) with any information and documentation which is necessary or desirable for Franklin Templeton to comply with any obligations it may have in connection with AML/FATCA/CRS and/or any other laws or taxation laws that may exist from time to time.

The Applicant acknowledges that investments in the Fund/s are subject to investment risk, including possible delays in repayment and loss of income and capital invested. None of Franklin Templeton or any of its related bodies corporate, affiliates, associates or officers guarantees any particular rate of return or the performance of the Fund/s, nor do they guarantee repayment of capital from the Fund/s.

#### Who needs to sign this Form

**Individual** – where the investment is in one name, the account holder must sign.

**Joint Holding** – where the investment is in more than one name, all of the account holders must sign.

**Companies** – where the company has a sole director who is also the sole company secretary, this Form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this Form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the Form is signed.

**Trust** – the trustee(s) must sign this Form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the 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 document that includes Certificate of Witness and Statement of Acceptance and certified Identification Document of the Power of Attorney. I/we attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

#### Signatory Name\*

Signature\*

Date\*  
(dd/mm/yyyy)

/ /

#### Signatory Name\*

Signature\*

Date\*  
(dd/mm/yyyy)

/ /



### 9 ARE THERE ANY ADDITIONAL AUTHORISED SIGNATORIES FOR THIS ACCOUNT?

The Applicant hereby authorises any of the following person(s) to make written communication or take action on the Applicant's behalf in relation to the Fund investment, and:

- agrees that ClearBridge may act upon an instruction where it is reasonable for ClearBridge to assume that the instruction was from an Authorised Officer/s; and
- certifies that the true signature of each Authorised Officer has been recorded, and that this may be relied upon until it is replaced by another advice bearing a later date or is cancelled.

Each Authorised Officer may: provide investment instructions with respect to the account; prepare, sign and provide requests to redeem units in the Fund; give directions in relation to payment of distributions; advise of changes to details; and obtain information in respect of the investment.

**Signatory Name\***

**Email\***

**Phone Number\***

**Signature\***

**Date\***  
(dd/mm/yyyy)

/ /

**Signatory Name\***

**Email\***

**Phone Number\***

**Signature\***

**Date\***  
(dd/mm/yyyy)

/ /

If the Applicant authorises more than two persons to act on its behalf, please forward the full Authorised Signatories List and Policy to ClearBridge together with this form.

#### **Supporting Documents required for Authorised Officers**

For each Authorised Officer, please provide the following:

- Originally certified copy of Drivers Licence *or*
- Originally certified copy of Passport *or*
- Originally certified copy of National ID Card

If one of the above is not able to be provided, please contact our ClearBridge Client Service Team and they will advise of acceptable alternative documents.

Annual/Half Annual Financial Reports are available at our website: <https://www.clearbridgeinvestments.com.au/forms-downloads/>

ClearBridge Investments Limited  
(ClearBridge)  
Investment Manager

ABN 84 119 339 052 AFSL 307727  
[www.clearbridgeinvestments.com.au](http://www.clearbridgeinvestments.com.au)

Franklin Templeton Australia Limited  
(Franklin Templeton)  
Responsible Entity

ABN 76 004 835 849 AFSL 240827  
[www.franklintempleton.com.au](http://www.franklintempleton.com.au)

# ClearBridge Investments