



Customer Identification Forms

The Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cwlth) requires the Issuer to confirm the identity of each applicant for a daVinci Australia product. If the Issuer is not able to confirm an applicant's identity it may not be able to issue the Product to that applicant.

This form should be used for the following entities who are issuing or arranging a financial product investment.

daVinci Funds Management Limited
QuantumWarrants Pty Ltd
Blackstone Securities (Aust.) Pty Ltd

The Customer Identification Form will assist the Issuer in confirming your identity. If you want to acquire the Product, you should complete and return the appropriate Customer Identification Form together with any other document that the table below instructs you to provide.

You can lodge your completed Customer Identification Form with your Application Form for a daVinci product to:

Mail to:	Deliver to:
daVinci Australia	daVinci Australia
GPO Box 2593	Level 24, Grosvenor Pl
Sydney NSW 2001	225 George St
	Sydney NSW 2000

If you are not sure how to complete the form please call 1300 360 949 Monday to Friday (9.00am to 5.00pm, Sydney time).

What identification do you need to provide?

The correct form you need to complete and the documents that must be included with the form will depend on how you will hold your Product and whether you are an individual or a company or some other kind of entity. Use the table below to work out which form to complete and the documents to include.

If an application is being made as a joint holder, each joint holder must complete, and provide documentation in accordance with, this Customer Identification Form. For this purpose, additional copies of this Customer Identification Form can be downloaded from www.davinciadvisors.com.au.

Type of Applicant	Form to complete	What to include with the Customer Identification Form
If you will hold the Product on your own behalf and you are a company	<input type="checkbox"/> Form A	<ul style="list-style-type: none"> An original certified copy of the Certificate of the Registration of the Company as issued by ASIC. A search of the relevant ASIC database (including the name and addresses of those shareholders of unregulated proprietary companies that hold more than 25% of the issued share capital in the company) A search of the relevant stock exchange (where company advises it is listed) A search of the licence or other records of the relevant regulator (where company advises it is regulated)
If you will hold the Product on your own behalf and you are an individual	<input type="checkbox"/> Form B	<p>One of the following documents:</p> <ul style="list-style-type: none"> An original certified copy of your drivers licence. Your drivers licence must be current and contain a photograph of you. Please make a copy of both the front and back of the drivers licence. <p>OR</p> <ul style="list-style-type: none"> An original certified copy of your passport. Your passport must be current or have expired no more than two years before the date of this form. The passport must contain a photograph of you. If your passport is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.
If you will hold the Product as trustee of a trust and <ul style="list-style-type: none"> you are a company ; and the company is incorporated in Australia; and the trust is: <ul style="list-style-type: none"> (i) a registered managed investment scheme; (ii) a managed investment scheme that only has wholesale clients and does not make small scale offerings; (iii) a government superannuation fund established by legislation; or 	<input type="checkbox"/> Form A and <input type="checkbox"/> Form D	<ul style="list-style-type: none"> An original certified copy of the Certificate of the Registration of the Company as issued by ASIC. A search of the relevant ASIC database (including the name and addresses of those shareholders of unregulated proprietary companies that hold more than 25% of the issued share capital in the company) A search of the relevant stock exchange (where company advises it is listed) A search of the licence or other records of the relevant regulator (where company advises it is regulated) <p>AND</p> <ul style="list-style-type: none"> An original certified copy of a document that indicates that the trust is a registered managed investment scheme or only has wholesale clients and does not make small scale offerings or is a government superannuation fund established by legislation.
If you will hold the Product as trustee of a trust and: <ul style="list-style-type: none"> you are a company ; and the company is incorporated in Australia; and the trust is not: <ul style="list-style-type: none"> (i) a registered managed investment scheme; (ii) a managed investment scheme that only has wholesale clients and does not make small scale offerings; (iii) a government superannuation fund established by legislation; or 	<input type="checkbox"/> Form A and <input type="checkbox"/> Form C	<ul style="list-style-type: none"> An original certified copy of the Certificate of the Registration of the Company as issued by ASIC. A search of the relevant ASIC database (including the name and addresses of those shareholders of unregulated proprietary companies that hold more than 25% of the issued share capital in the company) A search of the relevant stock exchange (where company advises it is listed) A search of the licence or other records of the relevant regulator (where company advises it is regulated) <p>AND</p> <ul style="list-style-type: none"> An original certified copy of an extract of the trust deed showing the trust's name. <p>AND</p> <ul style="list-style-type: none"> Document providing list of each beneficiary or the details of each class of beneficiary

Type of Applicant	Form to complete	What to include with the Customer Identification Form
<p>If you will hold the Product as trustee of a trust and:</p> <ul style="list-style-type: none"> • you are an individual ; and • the trust is: <ul style="list-style-type: none"> (i) a registered managed investment scheme; (ii) a managed investment scheme that only has wholesale clients and does not make small scale offerings; (iii) a government superannuation fund established by legislation; or 	<input type="checkbox"/> Form B and <input type="checkbox"/> Form D	<ul style="list-style-type: none"> • An original certified copy of an extract of the trust deed showing the trust's name. <p>AND</p> <ul style="list-style-type: none"> • An original certified copy of a document that indicates that the trust is a registered managed investment scheme or only has wholesale clients and does not make small scale offerings or is a government superannuation fund established by legislation. <p>AND</p> <p>One of the following documents:</p> <ul style="list-style-type: none"> • An original certified copy of your drivers licence. Your drivers licence must be current and contain a photograph of you. Please make a copy of both the front and back of the drivers licence. <p>OR</p> <ul style="list-style-type: none"> • An original certified copy of your passport. Your passport must be current or have expired no more than two years before the date of this form. The passport must contain a photograph of you. If your passport is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.
<p>If you will hold the Product as trustee of a trust and:</p> <ul style="list-style-type: none"> • you are an individual ; and • the trust is not: <ul style="list-style-type: none"> (i) a registered managed investment scheme; (ii) a managed investment scheme that only has wholesale clients and does not make small scale offerings; (iii) a government superannuation fund established by legislation; or (iv) registered and subject to the regulatory oversight of a Commonwealth statutory regulator in relation to its activities as a trust <p>If there is more than one trustee of the trust, then Form B needs to be completed for all of the trustees.</p>	<input type="checkbox"/> Form B and <input type="checkbox"/> Form C	<ul style="list-style-type: none"> • An original certified copy of an extract of the trust deed showing the trust's name. • Document providing list of each beneficiary or the details of each class of beneficiary <p>AND</p> <p>One of the following documents:</p> <ul style="list-style-type: none"> • An original certified copy of your drivers licence. Your drivers licence must be current and contain a photograph of you. Please make a copy of both the front and back of the drivers licence. <p>OR</p> <ul style="list-style-type: none"> • An original certified copy of your passport. Your passport must be current or have expired no more than two years before the date of this form. The passport must contain a photograph of you. If your passport is written in a language other than English, it must be accompanied by an English translation prepared by an accredited translator.

Details of certification

Each document provided with this form must be certified by an acceptable certifier. The Issuer will not accept photocopies or faxes of a certification.

Please ask the certifier to include the following certification on the front page of the document.

Details of certifier:

- their full name;
- by reference to the listing below, a statement as to which category of authorised certifier the person is;
- a statement either the same as or to the effect of:
 - "I certify this is a true and correct copy of the original document which I have sighted" (for use where there is only a single page); or
 - "I certify that this page and the following [XX] pages are true and correct copies of the original document which I have sighted" ; and
- date of certification.

Acceptable Certifiers

- a legal practitioner enrolled in a Supreme Court of a State, or Territory or the High Court of Australia
- 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 the Peace
- a notary public
- a police officer
- an agent of the Australian Postal Corporation who is in charge of an office supplying postal services
- a permanent employee of the Australian Postal Corporation who supplies postal services
- an Australian consular officer or Australian diplomatic officer
- an officer with two or more continuous years service with one or more financial institutions
- a finance company officer with two or more continuous years service with one or more finance companies
- an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more years continuous service with one or more licensees
- a member of the Institute of Chartered Accountants in Australia, CPA Australia, or the National Institute of Accountants with two or more years continuous membership

The Customer Identification Form requires you to provide information that may be personal information for the purposes of the Privacy Act 1988 (Cwlth). See the relevant section of the Product Disclosure Statement for disclosure about how the Issuer handles personal information.



daVinci

daVinci Funds Management Limited ABN 37 086 965 684 AFSL 237301
QuantumWarrants Pty Ltd ABN 18 112 141 009 AFSL 284983

Company Identification – Form A

This form is important. If you are in doubt as to how to deal with it, please call the 1300 360 949 Monday to Friday (9.00am to 5.00pm, Sydney time).

This form assumes that you will hold the Product as a company incorporated in Australia.
If you will hold the Product as a trustee of a trust, you must also complete Form C or D.

Please provide the following information
Full name of the company as registered with ASIC

A

Full address of the company's registered office
Street Number Street Name

B

Suburb State Postcode

Full address of the company's principal place of business
Street Number Street Name

C

Suburb State Postcode

Your ACN

D

Your Australian financial services licence number (if applicable)

Is the company registered by ASIC as a proprietary company or public company?

E Proprietary Public

Note: a proprietary company is typically identified by the use of "Pty Ltd" or "Pty Limited" at the end of its name. A public company is one that is typically identified by the use of "Ltd" or "Limited".

Registry use only

If you are a proprietary company list the names of each director of the company

Director 1

F

Director 2

Director 3

Director 4

Note: If the company has more than 4 directors please provide additional details on a separate piece of paper that is marked with the name of the company and ACN and include it with this Identification Form.

Tick here if you have included details of additional directors

If you are a proprietary company and you do not hold an Australian financial services licence list the name and address of each beneficial owner of the company

Beneficial Owner 1:

Given Name(s)

Surname

G

Street Number

Street Name

Suburb

State

Postcode

Beneficial Owner 2:

Given Name(s)

Surname

Street Number

Street Name

Suburb

State

Postcode

Note: A beneficial owner is any individual who owns through one or more share holdings more than 25% of the issued capital of the company. Beneficial owners must be individuals and cannot be companies or trustees. There cannot be more than 4 beneficial owners of a company. If the company has more than 2 beneficial owners please provide additional details on a separate piece of paper that is marked with the name of the company and ACN and include it with this Identification Form.

Tick here if you have included details of additional beneficial owners

Enter your contact details

Contact Name

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Telephone Number – Business Hours/After Hours

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Individual Identification – Form B

This form is important. If you are in doubt as to how to deal with it, please call 1300 360 949 Monday to Friday (9.00am to 5.00pm, Sydney time).

This assumes that you will hold the Product as an individual.
If you will hold the Product jointly with another person, each person must complete an Identification Form.
If you will hold the Product as a trustee of a trust, you must also complete Form C or D.

Please provide the following information

Your full name

Given Name(s)

A

Surname

Your residential address (must not be a PO Box)

Street Number

Street Name

B

Suburb

State

Postcode

Country

If you are not an Australian resident, your country of citizenship

C

Your date of birth (DD/MM/YYYY)

D

Enter your contact details

Contact Name

Telephone Number – Business Hours/After Hours

E

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Registry use only



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Individual Identification – Form B

This form is important. If you are in doubt as to how to deal with it, please call 1300 360 949 Monday to Friday (9.00am to 5.00pm, Sydney time).

This assumes that you will hold the Product as an individual.
If you will hold the Product jointly with another person, each person must complete an Identification Form.
If you will hold the Product as a trustee of a trust, you must also complete Form C or D.

Please provide the following information

Your full name

Given Name(s)

A

Surname

Your residential address (must not be a PO Box)

Street Number

Street Name

B

Suburb

State

Postcode

Country

If you are not an Australian resident, your country of citizenship

C

Your date of birth (DD/MM/YYYY)

D

Enter your contact details

Contact Name

Telephone Number – Business Hours/After Hours

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Registry use only

<input type="text"/>	<input type="text"/>
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daVinci

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Trust Identification – Form C

This form is important. If you are in doubt as to how to deal with it, please call 1300 360 949 Monday to Friday (9.00am to 5.00pm, Sydney time).

You must complete this form if you hold the Product as a trustee and the trust is NOT:

- a registered managed investment scheme;
- a managed investment scheme that only has wholesale clients and does not make small scale offerings;
- a government superannuation fund established by legislation.

Please provide the following information

Full name of the trust

A	
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Full business name (if any) of the trustee in respect of the trust

B	
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Note: A trust need not have a trustee which has a business name.

The type of trust

C	
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Note: Common examples of a type of trust would be "Family Trust", "Superannuation Fund" or "Deceased Estate".

The country where the trust was established

D	
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Enter the full name and address of each trustee of the trust

Trustee 1:
Given Name(s)

E	
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Surname

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Street Number Street Name

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Suburb State Postcode

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Country

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Registry use only

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Trustee 2:
Given Name(s)

E

Surname

Street Number

Street Name

Suburb

State

Postcode

Country

Note: If the trust has more than two trustees please provide additional details on a separate piece of paper that is marked with the name of the trust and include it with this Identification Form.

Tick here if you have included details of additional trustees

Information must be collected regarding the beneficiaries of the trust. This is either:

Where beneficiaries are identified by name, the full names of each beneficiary of the trust:

Beneficiary 1

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Beneficiary 2

Beneficiary 3

Beneficiary 4

Note: If the trust has more than 4 Beneficiaries please provide additional details on a separate piece of paper that is marked with the name of the trust and include it with this Identification Form.

Tick here if you have included details of additional beneficiaries

OR

Where the beneficiaries are identified by reference to membership of a class, details of the class:

Enter your contact details

Contact Name

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Telephone Number – Business Hours/After Hours

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daVinci

daVinci Funds Management Limited ABN 37 086 965 684 AFSL 237301
QuantumWarrants Pty Ltd ABN 18 112 141 009 AFSL 284983

Trust Identification – Form D

This form is important. If you are in doubt as to how to deal with it, please call the 1300 360 949 Monday to Friday (9.00am to 5.00pm, Sydney time).

You must complete this form if you are a registered company incorporated in Australia and you will hold the Product as a trustee and the trust is:

- a registered managed investment scheme;
- a managed investment scheme that only has wholesale clients and does not make small scale offerings;
- a government superannuation fund established by legislation

Please provide the following information

Full name of the trust

A

Full business name (if any) of the trustee in respect of the trust

B

Note: A trust need not have a trustee which has a business name.

Type of trust

C

Note: Common examples of a type of trust would be "Family Trust", "Superannuation Fund" or "Deceased Estate".

The country where the trust was established

D

If the trust is a registered scheme, the scheme's ARSN

E

If the trust is a government superannuation fund established under legislation, the name of that legislation

F

Is the trust an unregistered managed investment scheme that only has wholesale clients and does not make small scale offerings?

G Yes No

Enter your contact details

Contact Name

H

Telephone Number – Business Hours/After Hours

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Registry use only