

Identification form — Australian & foreign companies


- ALLAN GRAY AUSTRALIA EQUITY FUND
- ALLAN GRAY AUSTRALIA BALANCED FUND
- ALLAN GRAY AUSTRALIA STABLE FUND

CLIENT SERVICES CONTACT DETAILS

 1300 604 604 (within Australia)

 clientservices@allangray.com.au

 +61 2 8224 8604 (outside Australia)

 allangray.com.au

PLEASE COMPLETE THIS FORM IF YOU ARE A COMPANY INVESTING WITH ALLAN GRAY IN AUSTRALIA FOR THE FIRST TIME. PLEASE COMPLETE THIS FORM IN CAPITAL LETTERS AND USING A BLACK PEN.



Australian listed public company

1. Please complete section 1 of this identification form in capital letters, using a black pen.
2. Include this identification form with your initial application form when you send it to us. You do not need to provide any ID documents.



Australian private company and Australian unlisted public company

1. Please complete sections 1 and 3 of this identification form in capital letters, using a black pen.
2. Sections 4 and 5 must be completed if your company is:
 - a. not a majority owned subsidiary of an Australian listed public company; or
 - b. not 'regulated',and has shareholders who own, directly or indirectly, more than 20% of the company's issued capital or are beneficial owners of the company. For this purpose, a 'regulated' company is defined as any company that is licensed and subject to oversight by a statutory regulator, that is ASIC, Australian Prudential Regulation Authority (APRA) or Australian Tax Office (ATO).
3. Include this identification form and original certified copies of your ID documents with your initial application form when you send it to us.



Foreign listed public company

1. Please complete sections 2 and 5 of this identification form in capital letters, using a black pen.
2. Make copies of the relevant ID documents as applicable and arrange for them to be certified. Please refer to the 'Forms & Documents' section of our website for more information on getting your documents certified.
3. Include this identification form and original certified copies of your ID documents with your initial application form when you send it to us.



Foreign private company and foreign unlisted public company

1. Please complete sections 2, 3, 4 and 5 of this identification form in capital letters and using a black pen.
2. Make copies of the relevant ID documents and arrange for them to be certified. Please refer to the 'Forms & Documents' section of our website for more information on getting your documents certified.
3. Include this identification form and original certified copies of your ID documents with your initial application form when you send it to us.

Legal notices

Equity Trustees Ltd AFSL No. 240975 (EQT) is the issuer of units in the Allan Gray Australia Equity Fund, Allan Gray Australia Balanced Fund and the Allan Gray Australia Stable Fund (together Funds).

Personal information is collected on this form by EQT and Allan Gray including their delegates, such as OneVue Fund Services Pty Ltd and Orbis, (together us), for the purposes of maintaining the register of unitholders, facilitating distribution payments and other unitholder communications required or permitted by the Corporations Act 2001 or other legislation. Your personal information may be disclosed to external service companies such as print or mail service providers, to Allan Gray, Orbis or to the Funds' custodian, or as otherwise required or permitted by law. If you would like details of your personal information held by us, or you would like to correct information that is inaccurate, incorrect or out of date, please contact Allan Gray. Our privacy policy is available on our website, www.allangray.com.au In accordance with the Corporations Act 2001, you may be sent material (including marketing material) approved by EQT, Allan Gray or Orbis in addition to general corporate communications. You may elect not to receive marketing material by contacting Allan Gray using the details on this form. Allan Gray means Allan Gray Australia Pty Ltd AFSL No. 298487 as manager for the Funds. Orbis means Orbis Investment Advisory Pty Ltd AFSL No. 237862 and its associates.

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1. AUSTRALIAN COMPANY

Company details

Full name of company

(as registered by ASIC if incorporated in Australia)

Registration number (for example ABN)

Registered office address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/
building name

(if applicable)

Address

Suburb

State

Postcode

Country

Place of business (if different to regulated office address)

Property name/
building name

(if applicable)

Address

Suburb

State

Postcode

Country

Regulatory/listing details

Regulator name

Licence details

Name of stock exchange

Australian listed company name
if majority owned subsidiary of an
Australian listed company

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2. FOREIGN COMPANY

Company details

Full name of company

Country of formation/incorporation/
registration

Registration/identification number

Name of foreign registration body
(if applicable)

Registered office address. If registered as a foreign company in Australia, please provide Australian address.

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

Property name/
building name

(if applicable)

Address

Suburb

State

Postcode

Country

Place of business (if different to registered office address)

Property name/
building name

(if applicable)

Address

Suburb

State

Postcode

Country

Regulatory/listing details

Regulator name

Licence details

Name of stock exchange

Australian listed company name
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Australian listed company

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3. DIRECTOR DETAILS

Please complete if the company is a private company or an unlisted public company. Do not complete for public listed companies.

Directors details

How many directors are there?

Provide full name of each director

Director 1

Title Full name(s)

Surname

Director 2

Title Full name(s)

Surname

Director 3

Title Full name(s)

Surname

Director 4

Title Full name(s)

Surname

If there are more directors, please provide details on a separate sheet and attach this with your form.

4. BENEFICIAL OWNER DETAILS

Please complete for private and unlisted public companies that are not regulated companies and are not a majority owned subsidiary of an Australian listed public company. Provide details of all beneficial owners of the company.

Beneficial owner: Is someone who directly or indirectly owns 25% or more of an entity and/or exercises control over that entity by way of determining decisions about the financial and operating policy. All beneficial owners will need to complete the applicable identification form for individuals, sole traders, companies, trusts or trustees (as relevant), which can be found at www.allangray.com.au/b/forms-documents.

Beneficial Owner 1

Title Full name(s)

Surname

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Residential address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/ building name	<input type="text"/>		
(if applicable)	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
		Postcode	<input type="text"/>
Country	<input type="text"/>		

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are they an immediate family member or a business associate of such a person?

No **Yes, please give details:**

Beneficial Owner 2

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

Residential address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/ building name	<input type="text"/>		
(if applicable)	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
		Postcode	<input type="text"/>
Country	<input type="text"/>		

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are they an immediate family member or a business associate of such a person?

No **Yes, please give details:**

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Beneficial Owner 3

Title Full name(s)

Surname

Residential address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/
building name

(if applicable)

Address

Suburb State Postcode

Country

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are they an immediate family member or a business associate of such a person?

No Yes, please give details:

Beneficial Owner 4

Title Full name(s)

Surname

Residential address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/
building name

(if applicable)

Address

Suburb State Postcode

Country

Does the beneficial owner named above hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international organisation or are they an immediate family member or a business associate of such a person?

No Yes, please give details:

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5. VERIFICATION PROCEDURE - COMPANIES

Verification of a company

TICK	ENCLOSE A CERTIFIED COPY OF THE FOLLOWING CURRENT DOCUMENTS
<input type="checkbox"/>	Certificate of registration (or equivalent) issued by the relevant registration/regulatory body indicating: i. The company's identification/registration number ii. The date it was incorporated or formed, and iii. The company's registered address.
<input type="checkbox"/>	The company's register of members indicating each member's residential address and percentage of ownership. However, if the company is listed on a stock exchange, the register of members only needs to show the top 20 members, their residential addresses and percentage of ownership.

Note: If the certificate of registration does not indicate any of the above details, you should enclose certified copies of other documents issued by independent third parties indicating the above details in addition to enclosing the certificate of registration. Australian private companies should consider providing a 'Current company extract' sourced directly from ASIC in the previous 3 months (a small fee is levied by ASIC for this report) or the company's last annual statement issued by ASIC.

Verification of a company's beneficial owners – individuals

For each beneficial owner who is an Australian resident, please enclose an original certified copy of ONE of the first three documents listed below. This document must show your date of birth, photo and signature. For each beneficial owner who is a foreign resident, you must enclose original certified copies of at least TWO of the following current documents. The TWO documents together must show ALL of the following:

- Your photo
- Date of birth
- Residential address
- Signature (If your documents do not show your signature, please sign your name on the original certified copy of the document.)

TICK	ENCLOSE A CERTIFIED COPY OF THE FOLLOWING CURRENT DOCUMENTS
<input type="checkbox"/>	Driver's licence
<input type="checkbox"/>	Passport
<input type="checkbox"/>	Any identification card issued under a state or territory in Australia or by an overseas government
<input type="checkbox"/>	A document issued by a local government body or utilities provider within the preceding three months which records the provision of services to your address or to you (this document must contain your name and address as indicated on this form)

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Verification of a company's beneficial owners – companies

For each beneficial owner which is a company, please enclose a certified copy of the following current documents.

TICK	ENCLOSE A CERTIFIED COPY OF THE FOLLOWING CURRENT DOCUMENTS
<input type="checkbox"/>	<p>Certificate of registration (or equivalent) issued by the relevant registration/regulatory body indicating:</p> <ol style="list-style-type: none">The company's identification/registration numberThe date it was incorporated or formed, andThe company's registered address.
<input type="checkbox"/>	<p>The beneficial owner's register of members indicating each member's residential address and percentage of ownership and:</p> <ol style="list-style-type: none">Each member who is an individual must provide documents as outlined under the heading 'Verification of a company's beneficial owners – individuals', andEach member who is a company must provide a certified copy of the documents outlined under the heading 'Verification of a company's beneficial owners – companies'. <p>If the company is listed on a stock exchange, the register of members only needs to show the top 20 members, their residential addresses and percentage of ownership.</p>

Note: If the certificate of registration does not indicate any of the above details, you should enclose certified copies of other documents issued by independent third parties indicating the above details, in addition to enclosing the beneficial owner's certificate of registration. Australian private companies should consider providing a 'Current company extract' sourced directly from ASIC in the previous 3 months (a small fee is levied by ASIC for this report) or the company's last annual statement issued by ASIC.

Documents written in a language other than English must be accompanied by an English translation provided by an accredited translator.