

# SECTION 7: APPLICATION FORMS

## Before you start

- On-line** An on-line application facility is available from our website at [www.memecapital.com.au](http://www.memecapital.com.au). This guided facility includes identification verification and is generally simpler than using the paper-based forms provided here.
- Print** **If you do wish to use the paper-based forms provided here please print clearly. Choose a dark pen. Cross out and initial any changes (do not use liquid paper). If you run out of room please attach the extra information clearly.**
- Faxes?** We do not accept emails for initial applications. All paper-based initial applications (including relevant identification documentation) must be mailed.
- Questions?** Contact us. Our details are in the Contacts section of this IM.

## The Forms

The forms required to make an application to invest in the Fund will vary depending on the type of investor, and should be completed as indicated below.

Form	Pages	Investor Type			
		Individual(s)	Company	Trust (incl. SMSF)	
Application Forms				Individual Trustee	Corporate Trustee
Part A – Investor & Investment Details	27 - 29	✓	✓	✓	✓
Part B – Investor Identification					
Section B.1. Companies	30 - 32		✓		✓
Section B.2. Trusts	33 - 34			✓	✓
Section B.3. Individuals	35 - 36	✓		✓	
Part C – FATCA & CRS Self-Declaration	37 - 39	✓	✓	✓	✓
Part D – Declaration & Signature	41 - 42	✓	✓	✓	✓
Other Forms					
Sophisticated or Professional Investor Certificate <i>(if a wholesale client investing less than \$500,000)</i>	43 - 45	<i>As required</i>	<i>As required</i>	<i>As required</i>	<i>As required</i>
Adviser's Certificate	46	<i>As required</i>	<i>As required</i>	<i>As required</i>	<i>As required</i>
Additional Application Form	47	<i>As required</i>	<i>As required</i>	<i>As required</i>	<i>As required</i>
Redemption Request Form	48	<i>As required</i>	<i>As required</i>	<i>As required</i>	<i>As required</i>

## Checklist

- complete and sign the appropriate Application and Identification Forms
- attach certified copies of the correct documents to your Identification Form
- attach your cheque or transfer your application monies to:
 

**Theta AML ATF Meme Australian Share Fund – Application Account**
- give all of this to your financial adviser or send it to our administrator:

**Meme Capital Management Pty Ltd**  
**Att: Meme – Unit Registry**  
**PO Box 191**  
**Cottesloe WA 6911**

## Examples of correct names and required signatures

Type of Investor	<input checked="" type="checkbox"/> Correct Name	<input checked="" type="checkbox"/> Incorrect Name	Signature Required
<b>Individual/joint</b> <ul style="list-style-type: none"> <li>use full name of each applicant, do not use initials</li> </ul>	Alexander John Smith Laura Sue Barden	Alex Smith Laura S Barden	<ul style="list-style-type: none"> <li>signature of each applicant</li> </ul>
<b>Company</b> <ul style="list-style-type: none"> <li>use full company title, do not use abbreviations</li> </ul>	ABC Pty Ltd  XYZ Limited	ABC P/L ABC Co.  XYZ Inc.	<ul style="list-style-type: none"> <li>by two directors, or</li> <li>by a director and a secretary, or</li> <li>if there is only one director by that sole director</li> </ul>
<b>Trusts/minors</b> <ul style="list-style-type: none"> <li>use trustee(s)/ individual(s) name(s)</li> <li>use trust/minor name as designation</li> </ul>	Paul Ryan Smith ATF <Smith Family Trust>  Paul Ryan Smith <Joel Smith>	Paul Smith Family Trust  Joel Smith	<ul style="list-style-type: none"> <li>signature of each trustee/individual</li> <li>if trustee is a company, see above</li> </ul>
<b>Superannuation fund</b> <ul style="list-style-type: none"> <li>use trustee(s) personal name(s)</li> <li>use fund name as designation</li> </ul>	Amy Rachel Wood ATF <Amy Wood Super Fund>  ABC Pty Ltd ATF <Smith Superannuation Fund>	A R Wood Super Fund  Smith Super Fund	<ul style="list-style-type: none"> <li>Signature of each Trustee</li> <li>if trustee is a company, see above</li> </ul>
<b>Deceased estates</b> <ul style="list-style-type: none"> <li>use executor(s) personal names, do not use name of the deceased</li> </ul>	John Smith <Est Jane Smith A/c>	Estate of the Late Jane Smith	<ul style="list-style-type: none"> <li>signature of the executor(s)</li> </ul>

## How to Invest

To invest in the Fund you will need to complete and sign the attached Application Form.

- Supply of Tax File Numbers (“TFN”) is discretionary. It is not an offence if you decide not to supply your TFN. If you do not supply your TFN, however, tax will be deducted from your income earned at the highest marginal tax rate (plus Medicare levy) and forwarded to the Australian Taxation Office. These deductions will appear on your statements. A form is attached for your convenience.
- Joint applications must be signed by all applicants. Joint investments will be deemed to be held as Joint Tenants.
- Applications under Power of Attorney must be accompanied by a certified copy or the original of the Power of Attorney with specimen signatures.

The minimum initial investment in the Fund is \$20,000 and the minimum additional investment is \$5,000. Applications lower than these minimums will be at the discretion of the Investment Manager. All investors will need to qualify as a wholesale client (as the Corporations Act defines this) or if a non-wholesale client will be subject to the exceptions provided in Section 1012E of the Corporations Act (see Section 5). The Trustee may vary the minimum investment amounts from time to time. Any interest on monies received prior to processing days is credited to the portfolio generally.

Application monies should be received by 4.00pm Perth time 1 business day prior to the last business day of the week (i.e. normally by 4:00pm Perth time on Thursday) by cheque or by electronic transfer to:

Bank: NAB  
Account Name: Theta Asset Management Limited ATF Meme Australian Share Fund – Application Account  
BSB: 082 080  
Account number: 941849620

NB: Cash cannot be accepted.

Application forms received and monies received 1 business day prior to the last business day of the week will receive the unit price that is calculated for the next valuation date (for applications). Please send completed Application Forms (and cheques if applicable) to:

**Meme Capital Management Pty Ltd**  
**Att: Meme – Unit Registry**  
**PO Box 191**  
**Cottesloe WA 6911**

### ***How do you qualify as a wholesale client?***

If you are applying for \$500,000 or more (and you are not using superannuation sourced monies to invest<sup>5</sup>) you'll be automatically deemed a wholesale client and no additional documentation is required. If you are a wholesale client investing less than \$500,000 additional documentation will be required to certify that you are a wholesale client in the form of:

1. An accountant's certificate certifying that you have, or that you control entities that have:
  - net assets of at least A\$2.5million, or
  - gross income for each of the last two financial years of at least \$250,000.

OR

2. A statutory declaration that you:
  - are a trustee of a superannuation fund within the meaning of the Superannuation Industry (Supervision) Act 1993 with net assets of at least A\$10 million,
  - control at least A\$10 million (including any amount held by an associate or under a trust that the investing entity manages),
  - are a manufacturer and employ 100 or more people, or the investing entity is not a manufacturer and employs 20 or more people,
  - hold an Australian financial services licence, or
  - are a 'professional investor' as otherwise defined in the Corporations Act.

Please contact the Administrator if you need assistance in providing the appropriate documentation to certify that you are a wholesale client.

### ***Regular Information***

Following acceptance of your application, you will be sent an application advice. You should check the details on the advice carefully and contact the Administrator if you have any questions.

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<sup>5</sup> 'Superannuation-sourced monies' is relatively narrowly defined as those monies which you know the superannuation trustee will pay to a person as a superannuation lump sum or has been paid as an eligible termination payment or lump sum superannuation benefit during the previous 6 months.

### ***Additional Investment***

Additional investments can be made using the Additional Application Form on page 45 of this IM.

### ***If You Have Any Questions...***

If you have any questions about any matter relating to the Fund, please telephone the Trustee, Investment Manager or Administrator as appropriate. Refer to the Contacts page at the end of the IM or at [www.memecapital.com.au](http://www.memecapital.com.au).

The completed (and signed) application (and cheque for payment of the total application amount, if applicable) should be forwarded to:

**Meme Capital Management Pty Ltd**  
**Att: Meme – Unit Registry**  
**PO Box 191**  
**Cottesloe WA 6911**

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# Meme Australian Share Fund

## Application Form

This Application Form relates to the Information Memorandum dated 30<sup>th</sup> June, 2015 (Information Memorandum) issued by Theta Asset Management Ltd (ABN 37 071 807 684, AFSL 230920). 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 provide the name of the holding (in a format that you want to appear on the Register of unitholders)

New Investor Name:

*Please continue below to 1. Contact Details*

**EXISTING INVESTOR** - If this is an application from an existing investor please provide your investor number

Investor Number:

I / We am / are an existing investor and I / we have previously completed the Identification Documentation parts of this document sufficient for Anti-Money Laundering/Counter Terrorism Financing Legislation

Yes - please continue to next question

No - please complete this form in full including PART B: Investor Identification (sections 1 through 3 as applicable)

If you are an existing investor, have there been any significant changes in your circumstances or Identification Documents since your last application?

No - please complete the Additional Application Form on page 45 instead of this form

Yes - please complete PART B: Investor Identification (sections 1 through 3 as applicable)

#### 1. Contact Details

Full given name(s)

Surname

Company name / Trustee Name / Account Name

Telephone

Facsimile

Email Please provide contact email address that is to be used for all correspondence to ensure more effective communication.

Mailing Address

Street or  
Box no.

Suburb

State

Postcode

Country

## 2. Investment Details

Amount

AUD \$

**Please note the minimum initial investment amount is \$20,000.00 and the minimum additional investment amount is \$5,000.00.**

## 3. Payment Details

Please tick the box to advise how your payment will be made:

Cheque – Please make payable to: Theta Asset Management Limited ATF Meme Australian Share Fund – Application Account

Electronic Funds Transfer (EFT) to: Bank: NAB  
 BSB: 082 080  
 Account Number: 941849620  
 Account Name: Theta AML ATF Meme Australian Share Fund – Application Account

## 4. Taxation Details

*Where the investment in the Fund is held jointly by 2 or more unitholders taxation details for each unitholder 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.*

<b>INVESTOR 1</b>												
<b>Name:</b>												
<b>Are you a resident of Australia for taxation purposes?</b> (Select <input checked="" type="checkbox"/> one of the following options)												
<input type="checkbox"/> Yes - please complete the below												
<input type="checkbox"/> No – please provide country of residence: _____												
<input type="checkbox"/> Tax File Number (TFN) or <input type="checkbox"/> Australian Business Number (ABN)												
<b>Please indicate to whom this TFN or ABN belongs</b> (Select <input checked="" type="checkbox"/> one of the following options):												
<input type="checkbox"/> Company												
<input type="checkbox"/> Trust or Superannuation Fund												
<input type="checkbox"/> Individual												
<input type="checkbox"/> Other – please specify: _____												
<b>Exemption Number (if applicable):</b>												

<b>INVESTOR 2</b>												
<b>Name:</b>												
<b>Are you a resident of Australia for taxation purposes?</b> (Select <input checked="" type="checkbox"/> one of the following options)												
<input type="checkbox"/> Yes - please complete the below												
<input type="checkbox"/> No – please provide country of residence: _____												
<input type="checkbox"/> Tax File Number (TFN) or <input type="checkbox"/> Australian Business Number (ABN)												
<b>Please indicate to whom this TFN or ABN belongs</b> (Select <input checked="" type="checkbox"/> one of the following options):												
<input type="checkbox"/> Company												
<input type="checkbox"/> Trust or Superannuation Fund												
<input type="checkbox"/> Individual												
<input type="checkbox"/> Other – please specify: _____												
<b>Exemption Number (if applicable):</b>												

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 and withdrawal proceeds

**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.

Reinvestment  Payment into bank account (please provide bank account details below)

If no election is made, any distributions will be reinvested.

### Your bank account details

Distributions and withdrawal proceeds are generally only 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



## PART B: INVESTOR IDENTIFICATION

If you are a new investor please complete all relevant sections of the Application Form (see page 22), and send all documents to the Administrator at the address below.

If your investor type does not fall into any of the three investor categories in sections 1 - 3 of this form please contact Meme Capital Management to enquire about what information and documentation is required for identification purposes under Anti-Money Laundering/Counter Terrorism Financing legislation.

Our verification procedure and requirements (including certified identification evidence) is included for your reference. If you are an existing investor making an additional investment, you may email a scanned copy of your instruction to the Administrator at [mail@memecapital.com.au](mailto:mail@memecapital.com.au). Existing investors whose details have changed must also complete the Identification Documentation section and send all documents to the Administrator at the address below.

Please send your completed Application Form and Identification Documents to:

**Meme Capital Management Pty Ltd**  
**Att: Meme – Unit Registry**  
**PO Box 191**  
**Cottesloe WA 6911**

### SECTION B.1 - INVESTOR TYPE : AUSTRALIAN OR FOREIGN COMPANY

Please note, if you are an Australian Company acting as trustee of a fund, please also complete Section 2.

#### 1.1 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

Please also provide name of the foreign registration body below:

Country of formation / incorporation / registration

Registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Principal place of business (if any) (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

**1.2 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 FSC/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

**1.3 Company Type** (select  only ONE of the following categories)

**Public** Section 1 now completed, continue to Section 4

**Proprietary/Private** Go to Section 1.4 and 1.5 below.

**Other** Go to Section 1.4 and 1.5 below

**1.4 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 below.

	Full given name(s)	Surname
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

*If there are more directors, please provide details on a separate sheet of paper and attached it to your Application Form.*

*If the company is a regulated company (as selected in 1.2 above) Part B is now completed, please continue to Part C.*

## 1.5 Shareholders

(only needs to be completed for proprietary, private or other companies **that are not regulated companies** as selected in Section 1.2)

Provide details of **ALL individuals** who are beneficial owners through one or more shareholdings of more than 25% of the company's issued capital.

### Shareholder 1

Full given name(s)

Surname

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

### Shareholder 2

Full given name(s)

Surname

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

### Shareholder 3

Full given name(s)

Surname

Residential address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

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

If the company is an Australian company or Foreign company **registered with ASIC** Part B is now COMPLETE.

If the company is a **Foreign company not registered with ASIC** please also attach certified copy<sup>1</sup> of the certification of registration issued by the relevant foreign registration body.

<sup>1</sup> For the definition of certified copy and list of people that can certify documents refer to Part D of this Application Form.

## SECTION B.2 - INVESTOR TYPE : ALL TRUSTS (INCLUDING SUPERANNUATION FUNDS)

### 2.1 General Information

Full name of trust

Full name of the  
Trustee/(s) of the trust

Country where trust  
established

### 2.2 Type of Trust (select only one of the following trust types and provide the information requested)

Registered managed investment scheme

Provide Australian Registered Scheme Number (ARSN)

Regulated trust (e.g. a Self-Managed Superannuation Fund)

Provide name of the regulator (e.g. ASIC, APRA, ATO)

Provide the trust's ABN or registration / licensing  
details

Government superannuation fund

Provide name of the legislation establishing the fund

Other trust type

Trust description (e.g. unregistered, fixed, family, unit)

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

Certified copy<sup>1</sup> or certified extract of the trust deed; or

Notice of assessment or certified copy<sup>1</sup> of assessment issued by the ATO in the last 12 months.

### 2.3 Trustee Details

How many trustees are there?

<sup>1</sup> For the definition of certified copy and list of people that can certify documents refer to Part D of this Application Form.

## 2.3 Trustee Details (continued)

### Trustee 1

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

### Trustee 2

Full given name(s) or Company name

Surname

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

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

### For all trust types please complete the following additional sections:

- If you are completing this form as an **Individual Trustee** please complete 'Section B.3 - Investor Type: Individual' for at least ONE of the trustees in addition to completing applicable sections 2.3 and 2.4.
- If you are completing this form as a **Corporate Trustee** please complete 'Section B.1 - Investor Type: Company' in addition to completing applicable sections 2.3 and 2.4.
- If you are completing this form both as **Individual** and **Corporate Trustee** please complete 'Section B.3 - Investor Type: Individual' and 'Section B.1 - Investor Type: Company' in addition to completing applicable sections 2.3 and 2.4.

## 2.4 Beneficiary Details (only complete if "Other trust type" is selected in section 2.2 above)

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?

- Yes** Provide details of the membership class/es (e.g. unit holders, family members of named person, charitable purpose)

- No** How many beneficiaries are there?

Provide full name of each beneficiary below:

Full given name(s)

Surname

1

2

3

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

## SECTION B.3 - INVESTOR TYPE : INDIVIDUAL

### INVESTOR 1

*Investor's name must match investor's ID exactly.*

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Residential address** (PO Box is NOT acceptable)

Street	<input type="text"/>			
Suburb	State	Postcode	Country	<input type="text"/>

**COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER**

Full business name	ABN (if any)
<input type="text"/>	<input type="text"/>

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

Street	<input type="text"/>			
Suburb	State	Postcode	Country	<input type="text"/>

### INVESTOR 2

*Investor's name must match investor's ID exactly.*

Full given name(s)	Surname	Date of Birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Residential address** (PO Box is NOT acceptable)

Street	<input type="text"/>			
Suburb	State	Postcode	Country	<input type="text"/>

**COMPLETE THIS PART IF INDIVIDUAL IS A SOLE TRADER**

Full business name	ABN (if any)
<input type="text"/>	<input type="text"/>

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

Street	<input type="text"/>			
Suburb	State	Postcode	Country	<input type="text"/>

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

## IDENTIFICATION DOCUMENTS FOR INDIVIDUAL INVESTOR(S):

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

- **Certified copy**<sup>1</sup> of a **Primary Photographic Identification Document** (see below for definition); or
- **Certified copy**<sup>1</sup> of a **Primary Non-Photographic Identification Document AND a Secondary Identification Document** (see below for definitions).

### 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.*

<sup>1</sup> For the definition of certified copy and list of people that can certify documents refer to Part D of this Application Form.

## PART C: FATCA and CRS Self-Declaration

ALL investors must complete this section

FATCA (a US regulatory requirement) and the CRS (a regulatory requirement developed by the Organisation for Economic Co-operation and Development (OECD)) aim to deter tax evasion. The Australian government has entered into an Inter-Governmental Agreement (IGA) with the US Government for the exchange of US tax payer information and has signed up to the CRS and enacted domestic law to implement the CRS. Under the IGA and domestic laws, Australian financial institutions (including managed investment schemes) must identify all of its account holders (eg. investors) and report account information of foreign tax residents to the Australian Taxation Office (ATO). The ATO may then exchange this information with the foreign jurisdiction of which the account holder is a tax resident (if that jurisdiction is the US or is otherwise participating in the CRS). To meet these obligations, each investor must complete the Self-certification Declaration form included within the application form or provided by the registry. Failure to provide the requested information may result in withholding tax being deducted or penalties imposed by the tax authorities. Neither Theta nor the Manager are able to provide you with any tax or professional advice in respect of FATCA, the IGA, the CRS or domestic tax legislation and we encourage you to seek the advice of a tax or professional advisor in relation to completing the form.

If you are unsure of any of the answers please seek professional advice. Not enough room? Write their details clearly and attach them.

### SECTION I – INDIVIDUALS

*Please fill this Section I only if you are an individual. If you are an entity, please fill Section II.*

Are you a US citizen or resident of the US for tax purposes?

- Yes: Provide your Taxpayer Identification Number (TIN) below. Continue to question 2

TIN	
-----	--

- No: Continue to question 2

Are you a tax resident of any other country outside of Australia?

Yes: Provide the details below and skip to question 12. If resident in more than one jurisdiction please include details for all jurisdictions

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1			
2			
3			

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 in the below table 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 has been selected above, explain why you are not required to obtain a TIN

- No: Skip to question 12

### SECTION II – ENTITIES

*Please fill this Section II only if you are an entity. If you are an individual, please fill Section I.*

Are you an Australian Retirement Fund?

- Yes: Skip to question 12  
 No: Continue to question 4

#### A. FATCA

Are you a US Person?

- Yes: Continue to question 5  
 No: Skip to question 6



**5. Are you a Specified US Person?**

Yes: Provide your Taxpayer Identification Number (TIN) below and skip to question 7

TIN	
-----	--

No: Please indicate exemption type and skip to question 7  
Type: \_\_\_\_\_

**6. Are you a Financial Institution for the purposes of FATCA?**

Yes: Provide your GIIN below and continue to question 7

GIIN	
------	--

If you do not have a GIIN, please provide your FATCA status below and continue to question 7

- Exempt Beneficial Owner  
Type: \_\_\_\_\_
- Deemed-Compliant FFI (other than a Sponsored FI or a Trustee Documented Trust)  
Type: \_\_\_\_\_
- Non-Participating FFI  
Type: \_\_\_\_\_
- Sponsored Financial Institution. Please provide the Sponsoring Entity's name and GIIN.  
Sponsoring Entity's Name: \_\_\_\_\_ Sponsoring Entity's GIIN: \_\_\_\_\_
- Trustee Documented Trust. Please provide your Trustee's name and GIIN.  
Trustee's Name: \_\_\_\_\_ Trustee's GIIN: \_\_\_\_\_
- Other  
Details: \_\_\_\_\_

No: continue to question 7

**B. CRS**

**7. Are you a tax resident of any country outside of Australia?**

Yes: Provide the details below and continue to question 8. If resident in more than one jurisdiction please include details for all jurisdictions

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided
1			
2			
3			

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

- o **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents
- o **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 in the below table if you have selected this reason)
- o **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 has been selected above, explain why you are not required to obtain a TIN

No: Continue to question 8

**8. Are you a Financial Institution for the purposes of CRS?**

- Yes: Specify the type of Financial Institution below and continue to question 9
  - Reporting Financial Institution
  - Non-Reporting Financial Institution: Specify the type of Non-Reporting Financial Institution below
    - Trustee Documented Trust
    - Other: Please Specify \_\_\_\_\_

No: Skip to question 10

**9. Are you an Investment Entity resident in a Non-Participating Jurisdiction for CRS purposes and managed by another Financial Institution?**

- Yes: Skip to question 11
- No: Skip to question 12

**C. NON-FINANCIAL ENTITIES**

**10. Are you an Active Non-Financial Entity (Active NFE)?**

- Yes: Specify the type of Active NFE below and skip to question 12
- 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
  - Other: Please Specify \_\_\_\_\_
- No: You are a Passive Non-Financial Entity (Passive NFE). Continue to question 11.

**D. CONTROLLING PERSONS**

**11. 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 and continue to question 12

	Name	Date of Birth	Residential Address	Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
1						
2						
3						

If there are more than 3 controlling persons, please list them on a separate piece of paper.

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 in the below table 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 has been selected above, explain why you are not required to obtain a TIN

- No: Continue to question 12

**E. DECLARATION**

**12. Signature**

I undertake to provide a suitably updated self-certification within 30 days of any change in circumstances which causes the information contained herein to become incorrect.

I declare the information above to be true and correct.

<b>Signed</b>		<b>Name of authorised representative</b>	
<b>Date</b>		<b>Name of entity/individual</b>	

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## PART D: DECLARATION AND SIGNATURE

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

- I/We have received and read the Information Memorandum to which this Application Form applies and have received and accepted the offer to invest in Australia or otherwise in a jurisdiction in which it is lawful for me/us to receive and accept the offer to invest.
- I/We am/are at least 18 years of age.
- I/We declare that I/we am/are a wholesale client as defined in sections 761G or 761GA of the *Corporations Act 2001 (Cth)*
- If I/we have received the Information Memorandum from the internet or other electronic means that I/we received it personally or a print-out of it, accompanied by this Application Form.
- All details provided by me/us in this Application Form are true and correct.
- I/We agree to be bound by the terms and conditions of the current Information Memorandum and of the Deed of the Fund, as amended.
- That the Trustee is authorised to apply the TFN or ABN provided by me/us to all future applications for units, including reinvestments, unless I/we notify the Trustee otherwise.
- None of the Trustee, the Investment Manager or any other person guarantees the repayment of capital invested in the Fund, the performance of the Fund nor any particular return from the Fund and I/we understand the risks involved in investing in the Fund.
- I/We acknowledge that the Fund is not currently registered with the Australian Securities and Investments Commission but may be at some future point in time. By investing in the Fund, I/we consent to the Fund being registered at some future point should the Trustee consider it appropriate. I/We also consent to registration taking place without the Trustee holding a meeting of investors to approve the application for registration.
- I/We acknowledge that units may be redeemed or monies deducted from my/our withdrawal proceeds without me/us asking in order to pay any performance fees owing to the Investment Manager and authorise the Trustee to redeem such number of units or deduct such monies as is necessary to meet any performance fees I/we owe the Investment Manager. I/We acknowledge this may have tax consequences for my/our investment in the Fund.
- I/We acknowledge that the Trustee may be required to pass on information about me/us or my/our investment to the relevant regulatory authority in compliance with the AML laws (**AML Act**). I/We will provide such information and assistance that may be requested by the Trustee to comply with its obligations under the AML Act and I/we indemnify it against any loss caused by my/our failure to provide such information or assistance.
- The monies used to fund my/our 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/our investment in the Fund will not be used to finance any illegal activities.
- I/We am/are not a 'politically exposed' person or organisation for the purpose of the AML Act.
- I/We consent to details about my/our application and holdings being disclosed in accordance with the **Privacy** section of the Information Memorandum.
- I/We confirm that the Trustee and Administrator are authorised to accept and act upon any instructions in respect of this application and the units to which it relates given by me/us by facsimile. If instructions are given by facsimile, the onus is on me/us to ensure that such instructions are received in legible form and I/we undertake to confirm them in writing. I/We indemnify the Trustee and Administrator against any loss arising as a result of any of them acting on facsimile instructions. The Trustee and Administrator 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/We acknowledge that the Trustee 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): \_\_\_\_\_

	Signature	Name and title (block letters please)	Date
1	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>
2	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>

3	Signature <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	Name and title (block letters please) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	Date <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
4	Signature <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	Name and title (block letters please) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	Date <div style="border: 1px solid black; height: 40px; width: 100%;"></div>

## 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.

# SOPHISTICATED OR PROFESSIONAL INVESTOR CERTIFICATE

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

To: Theta Asset Management Limited

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

Residential address if an investor or company registered office address (PO Box is NOT acceptable)

Street	<input type="text"/>						
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>	Country	<input type="text"/>
Telephone	<input type="text"/>	Fax	<input type="text"/>	Email	<input type="text"/>		

I acknowledge that:

- (a) this Certificate is given to Theta Asset Management Limited 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 Theta Asset Management Limited 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, Theta Asset Management Limited 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; or
- A person who is regulated by APRA (other than a trustee of a superannuation fund, an approved deposit fund, a pooled superannuation trust or a public sector superannuation scheme); or
- A person who is a body registered under the Financial Corporations Act 1974 (Cth);
- The trustee of a superannuation fund, approved deposit fund, pooled superannuation trust or a public sector superannuation scheme under the Superannuation Industry (Supervision) Act 1993 (Cth) with net assets of at least \$10 million; or
- A listed entity or a related body corporate of a listed entity; or
- A related body corporate of a body corporate who qualifies as a wholesale client; or
- An exempt public authority; or
- A person who is a body corporate or an unincorporated body that carries on a business of investment in financial products, interests in land or other investments, and for those purposes invests funds received following an offer or invitation to the public where the terms of the offer provided for the funds subscribed to be invested for those purposes; or
- A foreign entity that, if established or incorporated in Australia, would be covered by one of the preceding paragraphs.

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

**Name**

**Address**

Street

Suburb  State  Postcode  Country

Telephone  Fax  Email

**NOTE:** Theta Asset Management Limited 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**

**Address**

Street

Suburb  State  Postcode  Country

Telephone  Fax  Email

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

- (a) I am a qualified accountant\* within the meaning of section 9 of the Corporations Act 2001 (Cth);
- (b) This certificate is given at the request of the investor described in Section 1 of this certificate ("Investor");
- (c) This certificate is given for the purpose of section 761G of the Corporations Act 2001 (Cth); and
- (d) The Investor\*\* (or the person who controls the Investor where that Investor is a company or trust\*\*\*) has:
  - Net assets of at least \$2,500,000; or
  - A gross income for each of the last 2 financial years of at least \$250,000 a year

Signature

Name and title (block letters please)

Date

\* "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:

- (a) 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;
- (b) 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
- (c) 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.

\*\* In calculating the net assets of at least \$2.5 million or the gross income of at least \$250,000, the Investor can include the net assets or gross income (as relevant) of any company or trust the Investor controls [see Corporations Regulation 7.6.02AC].

\*\*\* Where the Investor is a company or trust controlled by someone who has a certificate from a qualified accountant, the Investor may be considered wholesale [see Corporations Regulation 7.6.02AB]

**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

Name of investor (block letters please)

Date

**POST OR SCAN AND EMAIL THIS FORM**

Please return the completed certificate to the postal address provided below:

**MAIL:** Meme Capital Management Pty Ltd,  
Attention: Meme – Unit Registry,  
PO Box 191,  
Cottesloe WA 6911

**EMAIL:** mail@memecapital.com.au



## ADVISER'S CERTIFICATE

The holder of an Australian financial services licence (AFSL), and those who represent them (such as financial advisers) can use this form to certify a person is a "wholesale client"

To: Theta Asset Management Limited

### SECTION 1: INVESTOR DETAILS

Full given name(s)

Surname

Client Signature

By signing above, the client acknowledges that before making any investment in the Fund:

- they have not been given a Product Disclosure Statement (PDS) in relation to the Fund;
- they have not been given any other document that would have been required to be given to them if units in the Fund were issued to them as a retail client (such as a statement of advice or financial services guide); and
- we, as licensee, have no other obligation to them under Chapter 7 of the Corporations Act 2001 (Cth) than we or they would have had if the units were issued to them as a retail client.

### SECTION 2: ADVISER CERTIFICATION

Advisers' name

Dealer name

Dealer AFSL number

Address

Street

Suburb

State

Postcode

Country

Telephone

Fax

Email

As the holder of the AFSL or on behalf of the licensee identified above, I certify that I am satisfied on reasonable grounds that the client has previous experience in using financial services and investing in financial products that allows the client to assess:

- the merits of the relevant investment;
- the value of the interests in the relevant investment;
- the risks associated with holding interests in the relevant investment;
- the client's own information needs; and
- the adequacy of the information given by us and (if different) the issuer

I confirm that the client has been given a written statement of my reasons for being so satisfied.

Adviser Signature

Date

# Meme Australian Share Fund

## Additional Application Form

This form should be used by existing unit holders provided your details have not changed.

Investor Number

Investor Name

### AMOUNT OF ADDITIONAL INVESTMENT

Please indicate how much you wish to invest

\$AUD

Please note the minimum additional investment amount is \$5,000.00. Please make payment net of all bank charges. Only the net amount received will be invested in the Fund.

### PAYMENT DETAILS

Please tick the box to advise how your payment will be made:

Cheque – Please make payable to: Theta AML ATF Meme Australian Share Fund – Application Account

Electronic Funds Transfer (EFT) to:

Bank:	NAB
BSB:	082 080
Account Number:	941849620
Account Name:	Theta AML ATF Meme Australian Share Fund – Application Account

IMPORTANT: All EFT payments must be accompanied by a notification email to [mail@memecapital.com.au](mailto:mail@memecapital.com.au) in order to ensure that the investor account is properly credited.

### CONTACT DETAILS

Contact Name

Contact Number

### 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
- restate the original declarations provided in section 4 of the Application Form as if they were set out in full in this form.

Signature

Name and title of Signatory (block letters please)

Date

Signature

Name and title of Signatory (block letters please)

Date

### POST OR SCAN AND EMAIL THIS FORM

The cheque and accompanying Additional Application Form is to be mailed to:

**MAIL:** Meme Capital Management Pty Ltd, Attention: Meme – Unit Registry, PO Box 191, Cottesloe WA 6911

**EMAIL:** [mail@memecapital.com.au](mailto:mail@memecapital.com.au)

**NOTE:** No investment will be allocated to an investor until the application funds, a valid Application Form and valid identification documents (where applicable), have been received by the Administrator.

# Meme Australian Share Fund

## Redemption Request Form

Investor Number

Investor Name

### FULL OR PARTIAL WITHDRAWAL

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

Full withdrawal     Partial withdrawal, please state amount or units to be withdrawn:

\$AUD

OR

UNITS

Please note there is generally a minimum withdrawal amount of \$5,000. To remain invested in the Fund, you must maintain a minimum balance of \$20,000.

### CONTACT DETAILS

Contact Name

Contact Number

### PAYMENT OF PROCEEDS

Pay into the account previously advised    OR  
 Pay redemption proceeds into the 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 the bank account that is currently recorded under your investment or if you have changed your bank account details. Distributions and withdrawal proceeds are generally only 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 the designated bank account are sent at your risk insofar as the onus to provide bank account details rests solely on you.**

Bank Name

BSB

Account Number

Account Name

### DECLARATION AND AUTHORISATION

Please make sure you have completed the 'Full or Partial Withdrawal' 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 accordingly to the terms and conditions of the applicable current Information Memorandum.

Signature

Name and title of Signatory (block letters please)

Date

Signature

Name and title of Signatory (block letters please)

Date

### POST OR SCAN AND EMAIL THIS FORM

MAIL: Meme Capital Management Pty Ltd, Attention: Meme – Unit Registry, PO Box 191, Cottesloe WA 6911  
EMAIL: mail@memecapital.com.au