

# SWIMM Pooled Mortgage Fund Additional Investment Application Form

ARSN 090 880 890

It is important that you read and acknowledge the terms of the Product Disclosure Statement (PDS) dated 27 March 2025.

This additional investment application form is to be used by existing investors in the SWIMM Pooled Mortgage Fund ARSN 090 880 890 (Fund) applying for additional units in the Fund.

Investments are able to be made by completing this form.

## SECTION A – Existing Investor Details – Individuals

- Please note details of company directors, individuals trustees or partners (as is relevant) are required below if completing on behalf of corporation/organisation/partnership as per Section B.
- If there are more than two (2) applicants including trustees, company directors or partners (as is relevant), please provide their details on a separate page in the form prescribed below.
- Do not complete 'Tax Residence' when the applicant is a company director, trustee or partner if completing this form on behalf of a body corporate applicant

### Existing Investor 1

#### Investor Type:

- |                                     |   |                                  |  |
|-------------------------------------|---|----------------------------------|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Agent            | <input type="checkbox"/> Trustee | <input type="checkbox"/> Parent/Guardian |
| <input type="checkbox"/> Joint      | <input type="checkbox"/> Company Director | <input type="checkbox"/> Partner |  |

Title:  Surname:

Given Name (s):

Membership No:  DOB  /  /

TFN or Exemption Reason:

### Existing Investor 2

#### Investor Type:

- |                                     |   |                                  |  |
|-------------------------------------|---|----------------------------------|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Agent            | <input type="checkbox"/> Trustee | <input type="checkbox"/> Parent/Guardian |
| <input type="checkbox"/> Joint      | <input type="checkbox"/> Company Director | <input type="checkbox"/> Partner |  |

Title:  Surname:

Given Name (s):

Membership No:  DOB  /  /

TFN or Exemption Reason:

**Address and contact details**

Have any of your contact details changed?

☐

Yes – Please complete a change of details form available from Sydney Wyde and send with this completed form

☐

No

**SECTION B – Existing Investor Details – Organisation / Trust / Self-Managed Super Funds (SMSF) / Associations**

- Section A is to be completed for individual trustees/company directors/partners.
- For the questions related specifically to trusts, please mark the answer as 'N/A' if not applicable.
- If you answer 'None of the above' in the question marked 'Tax Resident Country' you must complete a separate Tax Status Declaration Form available at [www.sydneywyde.au](http://www.sydneywyde.au).

**If investing in the name of a company, trust, partnership or other entity, please complete the following:**

ENTITY:

☐

Company

☐

SMSF

☐

Sole Trader ABN

☐

Custodian

☐

Trust

☐

Partnership

☐

Association

☐

Other (please specify):

Membership No:

Full name of entity:

Trustee name (if applicable):

**Investor Details**

Have any of the investor's directors, beneficiaries or beneficial owners changed?

☐

Yes – Please complete a change of details form available from the Sydney Wyde and send with this completed form

☐

No

**Contact Details**

Have any of the contact details of the investor, directors, beneficiaries or beneficial owners changed?

☐

Yes – Please complete a change of details form available from Sydney Wyde and send with this completed form

☐

No

## SECTION C – FATCA and CRS – Tax Status

Have you previously provided information as to your status to Sydney Wyde under the United States of America Foreign Account Tax Compliance Act (FATCA) and under the OECD Common Reporting Standards for Automatic Exchange of Financial Account Information (CRS)?

☐

Yes

☐

No – complete the Tax Status Declaration Form available from Sydney Wyde and send with your additional investment application form.

If yes, has the status of any of the existing investor, or any trustee, beneficiary, beneficial owner or settlor changed since this information was provided (including of any new beneficiary or beneficial owner)?

☐

No – Go to **Section D**

☐

Yes – complete the Tax Status Declaration Form available from Sydney Wyde and send with your additional investment application form.

## SECTION D – Investment

- The minimum initial investment is \$500.00 (and thereafter in multiples of \$500.00)
- If paying by EFT or direct deposit, please transfer your payment electronically to the following account:

*Westpac Banking Corporation*

*Perpetual Corporate Trust Limited ACF SWIMM Pooled Mortgage Fund*

*BSB 032 000*

*Account 969061*

### Investment Amount

I/We apply to invest \$  in the SWIMM Pooled Mortgage Fund.

### Investment Method

☐

EFT

☐

Cheque

### Source of Investment Funds

☐

Gainful employment

☐

Inheritance/gift

☐

Superannuation

☐

Business Activities

☐

Financial investments

☐

Other

### Purpose of Investment

☐

Savings

☐

Growth

☐

Income

☐

Retirement

☐

Business account

☐

Other

### What financial advice have you received?

- ☐ I have received personal financial product advice in relation to my/our investment in the Fund. Have your adviser complete the Financial Adviser Details and Declarations available from Sydney Wyde and send to us with your additional application form.
- ☐ I have received general advice in relation to my/our investment in the Fund. Please complete Section E. Failure to do so may result in your application being rejected.
- ☐ I have not received any advice in relation to my/our investment in the Fund. Please complete Section E. Failure to do so may result in your application being rejected.

## SECTION E – Target market for investment in the fund

- Acceptance of an application is not confirmation by Sydney Wyde that an investment in the Fund is, or is likely, to be consistent with your intentions, objectives and needs.
- When completing the sections below, you should refer to the TMD (including the terms defined in that TMD and used below).

### My/our primary investment objective in investing in the Fund is (select more than one):

- ☐ Regular income distribution ☐ Preservation of capital ☐ Capital growth ☐ Capital guarantee
- ☐ Other (please specify)

### My intended use of the Fund in my investment portfolio is (select one):

- ☐ Large/standalone (>80% of investment portfolio) ☐ Core component (25%-80% of investment portfolio)
- ☐ Satellite/small (<25% of investment portfolio)

### My intended time in which I plan to hold an investment in the Fund is: (select one):

- ☐ Short term (<2 years) ☐ Medium term (between 2-5 years) ☐ Long term (>5 years)

### My risk tolerance (appetite to lose invested capital) is (select one):

- ☐ Low ☐ Medium ☐ High ☐ Very High

### I will need to gain access to my invested capital (select one):

- ☐ Daily ☐ Weekly ☐ Monthly ☐ Quarterly ☐ Annually or longer

## SECTION F – Distribution election

Do you wish to change your distribution election as to reinvestment or payment into your account?

- ☐ Yes – Please complete a change of details form available from Sydney Wyde and send with this completed form
- ☐ No – Proceed to Section G

## SECTION G – Bank account details

Do you wish to change your bank account details?

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Yes – Please complete a change of details form available from Sydney Wyde and send with this completed form

☐

No – Proceed to Section H

## SECTION H – Operating authority

Do you wish to change the person(s) who have the authority to operate the account?

☐

Yes – Please complete a change of details form available from Sydney Wyde and send with this completed form

☐

No – Proceed to Section I

## SECTION I – Declarations and signature

When you complete this additional investment application form you make the following declarations:

1. I/we have read and understood the PDS to which this additional investment application form applies, including any supplemental information;
2. The information provided in my/our additional investment application form or any other information provided in support of the application is true, correct and complete in all respects; I/we agree to be bound by the provisions of the Constitution governing the Fund and the terms and conditions of the PDS, each as amended from time to time;
3. I/we acknowledge that none of Sydney Wyde, its related entities, directors or officers has guaranteed or made any representation as to the performance or success of the Fund, or the repayment of capital from the Fund. Investments in the Fund are subject to investment risk, including delays in repayment and loss of income or principal invested. Investments in the Fund are not deposits with or other liabilities of Sydney Wyde or any of its related bodies corporate or associates;
4. I/we acknowledge Sydney Wyde reserves the right to reject any application or scale back an application in its absolute discretion;
5. If applicable, after assessing any of my/our circumstances, I/we have obtained my/our own independent financial advice prior to investing in the Fund;
6. If this additional investment application form is signed under Power of Attorney, each Attorney declares he/she has not received notice of revocation of that power (a certified copy of the Power of Attorney should be submitted with this application form);
7. I am/we are over 18 years of age and I/we are eligible to hold a unit in the Fund;
8. I/we have all requisite power and authority to execute and perform the obligations under the PDS and this additional investment application form;
9. I/we acknowledge that if this form is lodged by facsimile or electronic means I/we have read and agree to the terms of use set out at the end of this additional investment application form;
10. I/we acknowledge that application monies will be held in a trust account until invested in the Fund or returned to me/us. Interest will not be paid to applicants in respect of their application monies if their application is not accepted and their monies are returned;

11. I/we have read the information on privacy and personal information contained in the PDS and consent to my/our personal information being used and disclosed as set out in the PDS;
12. I/we acknowledge that Sydney Wyde may deliver and make reports, statements and other communications available in electronic form, such as e-mail or by posting on a website;
13. I/we acknowledge that neither Sydney Wyde nor any of its directors or associates guarantees the repayment of moneys invested or any particular rate of return;
14. I/we acknowledge that an investment in the Fund is subject to investment and other risks including possible delays in receipt of distributions and possible loss of capital invested;
15. I/we indemnify Sydney Wyde and each of its related bodies corporate, directors and other officers, shareholders, servants, employees, agents and permitted delegates (together, the Indemnified Parties) and to hold each of them harmless from and against any loss, damage, liability, cost or expense, including reasonable legal fees (collectively, a Loss) due to or arising out of a breach of representation, warranty, covenant or agreement by me/us contained in any document provided by me/us to Sydney Wyde, its agents or other parties in connection with my/our investment in the Fund. The indemnification obligations provided herein survive the execution and delivery of this application form, any investigation at any time made by Sydney Wyde and the issue and/or sale of the investment;
16. To the extent permitted by law, I/we release each of the Indemnified Parties from all claims, actions, suits or demands whatsoever and howsoever arising that I/we may have against any Indemnified Party in connection with the PDS or my/our investment;
17. Other than as previously disclosed or disclosed in this additional investment application form, no person or entity controlling, owning or otherwise holding an interest in me/us is a United States citizen or resident of the United States for taxation purposes (US Person);
18. I/we will promptly notify Sydney Wyde of any change to the information I/we have previously provided to Sydney Wyde, including any changes which result in a person or entity controlling, owning or otherwise holding an interest in me/us who is a US Person;
19. I/we consent to Sydney Wyde disclosing any information it has in compliance with its obligations under the US Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standards for Automatic Exchange of Financial Account Information (CRS) and any related Australian law and guidance implementing the same. This may include disclosing information to the Australian Taxation Office, which may in turn report that information to the relevant tax authorities as required;
20. I/we acknowledge that the collection of my/our personal information may be required by the Financial Transaction Reports Act 1988, the Corporations Act 2001, the Income Tax Assessment Act 1936, the Income Tax Assessment Act 1997, the Taxation Administration Act 1953, the FATCA and CRS (which for these purposes includes any related Australian law and guidance) and the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Otherwise, the collection of information is not required by law, but I/we acknowledge that if I/we do not provide personal information, Sydney Wyde may not allow me/us to invest in the Fund;
21. I am/we are not aware and have no reason to suspect that the monies used to fund my/our investment in the Fund have been or will be derived from or related to any money laundering, terrorism financing or similar or other activities illegal under applicable laws or regulations or otherwise prohibited under any international convention or agreement (AML/CTF Law);
22. I/we will provide Sydney Wyde with all additional information and assistance that Sydney Wyde may request in order for Sydney Wyde to comply with any AML/CTF Law, FATCA and CRS; and
23. I/we acknowledge that Sydney Wyde may decide to delay or refuse any request or transaction, including by suspending the issue or redemption of investment in the Fund, if Sydney Wyde is concerned that the request or transaction may breach any obligation of, or cause Sydney Wyde to commit or participate in an offence, including under any AML/CTF Law, FATCA and CRS.

24. I/we acknowledge that between the date of my/our first investment in the Fund and the date of this additional investment, the Fund's circumstances and target market may have changed. I/we confirm that I/we have read the latest PDS and TMD for the Fund prior to making this additional investment and consider that my/our objectives, financial situation and needs have not materially changed since my/our initial application;
25. I/we acknowledge that Sydney Wyde reserves the right to accept this application regardless of whether or not Section E of this form is fully completed;
26. I/we confirm that my/our answers to the design and distribution obligations filtering questions in Section E of this application form are correct; and
27. I /we wish to proceed with this investment notwithstanding how I/we may have answered some or all of the filtering questions or am/are investing more of my/our available assets than are indicated with the TMDs that are issued by Sydney Wyde.

### Signing

#### Existing Investor 1 Signature

#### Existing Investor 1 Print Name

#### Date

#### Capacity (mandatory for companies):

☐

Sole Director

☐

Director

☐

Company Secretary

#### Existing Investor 2 Signature

#### Existing Investor 2 Print Name

#### Date

#### Capacity (mandatory for companies):

☐

Sole Director

☐

Director

☐

Company Secretary