

**Lakehouse Small Companies Fund**

Manager: Lakehouse Capital Pty Ltd | AFSL 526842

Responsible Entity: Equity Trustees Limited | ABN 46 004 031 298

## Additional Application Form

### APPLICATION OPTIONS:

#### OPTION A: APPLY ONLINE AND PAY ELECTRONICALLY (RECOMMENDED)

**Make a Top Up Application through the Investor Portal: <https://investor.automic.com.au/#/home>**

- ✓ **Pay electronically:** Applying online allows you to pay electronically at the time of making your application.
- ✓ **Applying online is simple:** Applying online is very easy to do, it eliminates any postal delays and removes the risk of your Application being potentially lost in transit.
- ✓ **Receive immediate confirmation:** Applying online provides you with greater privacy over your instructions and is the only method which provides you with immediate confirmation that your application has been successfully processed.

#### OPTION B: STANDARD PAPER-BASED APPLICATION AND PAYMENT

Please complete this form in accordance with the instructions below.

##### 1. READ THE PRODUCT DISCLOSURE STATEMENT

Please read and ensure you understand the PDS and any product guide and Important Information. The law prohibits any person passing this Application Form on to another person unless it is accompanied by a complete PDS. We will provide a paper or electronic copy of the current PDS and its incorporated documents on request and without charge.

##### 2. COMPLETE THIS APPLICATION FORM

Please write in BLOCK letters, using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

##### 3. SEND YOUR DOCUMENTS

Return your Application Form to:

**By Email:**

Lakehouse Small Companies Fund  
[lakehouse@automic.com.au](mailto:lakehouse@automic.com.au)


**By Post:**

Lakehouse Small Companies Fund  
GPO Box 5193  
Sydney NSW 2001

OR... Save time and apply  
online:  
**See details above**

##### 4. MAKE YOUR PAYMENT

When your application is processed by our unit registry you will be sent an automated email confirmation which will provide you with your personalised payment instructions to make your payment.

 **IMPORTANT:** You must ensure that you use the unique payment ID that is provided in this email confirmation otherwise we may not be able to identify your funds and your application will be rejected.

Email: [lakehouse@automic.com.au](mailto:lakehouse@automic.com.au)

Phone (within Australia): 1300 101 297

Phone (outside Australia): +61 2 9068 1929



### 3. DECLARATIONS, ACKNOWLEDGEMENTS AND SIGNATURES

#### 3.1 DECLARATIONS AND ACKNOWLEDGEMENTS: When you apply to invest, you (the applicant) are telling us:

- you have read, received, and understood the current product disclosure statement for the Fund dated [\*] (PDS) and constitution of the Fund;
- you have carefully considered the features of the Fund as described in the PDS (including its investment objectives, minimum suggested investment timeframe, risk level, investment risks, withdrawal arrangements and investor suitability) and your own personal circumstances and, after obtaining any financial and/or tax advice that you deemed appropriate, you are satisfied that your proposed investment in the Fund is consistent with your investment objectives, financial circumstances and needs;
- you agree to be bound by the constitution of the Fund and the PDS as supplemented, replaced or re-issued from time to time;
- you acknowledge that neither the Manager nor the Responsible Entity guarantees any rate of return in respect of the Fund or the repayment of capital or from the Fund;
- you understand that an investment in the Fund is subject to investment risk, including the total loss of capital invested and there may be delays in the repayment of any capital invested;
- you understand that an investment in the Fund is not a deposit with the Responsible Entity or the Manager;
- you are above the age of 18;
- you are not bankrupt or a minor;
- you authorise us to apply the TFN or ABN included on this application form;
- you declare that all details provided on the application form are true and correct and you will hold us harmless and indemnify us for any loss due to the details and information provided being or ceasing to be true and correct due to any negligent or wilful misrepresentation by you;
- you also acknowledge that if an electronic copy or printout of the Application Form is introduced as evidence in any judicial proceeding, it will be admissible as any original Application Form record;
- you consent to receive all communications, including periodic statements, via email or electronically;
- if this 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);
- you will promptly notify the Responsible Entity of any change to the information you have previously provided to the Responsible Entity, including any changes which result in a person or entity controlling, owning or otherwise holding an interest in the applicant;
- you understand that the Responsible Entity reserves the right to reject any Application in its absolute discretion;
- you have received the PDS and made this application in Australia;
- where this is a joint application for Units, each applicant agrees that the Units will be held as joint tenants;
- if, in this Application Form, you have authorised a financial adviser to operate your account, you agree to indemnify, release and hold harmless the Responsible Entity in its personal capacity and as responsible entity for the Fund, from and against any and all losses, liabilities, actions, claims, proceedings and demands arising from the Responsible Entity, the Manager, Automatic or any of their related bodies corporate acting on the instructions of the financial adviser set out in this Application Form, other than where (and to the extent) those losses, liabilities, actions, claims, proceedings or demands arise out of such person's negligence, fraud, breach of law or failure to make reasonable efforts to mitigate their loss.
- you consent to the Responsible Entity disclosing any information it has in compliance with its obligations under the U.S. 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, who may in turn report that information to the relevant tax authorities as required;
- you acknowledge that the collection of your 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 (includes any related Australian law and guidance) and the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. You acknowledge that if you do not provide personal information, where such information is reasonably required for the Responsible Entity to comply with applicable law, the Responsible Entity may not allow you to invest in the Fund;
- you are not aware and have no reason to suspect that the monies used to fund your 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)
- you acknowledge that due to anti-money laundering requirements, we may ask you to provide verification information before your investment application can be processed which may result in delays in the processing of your investment application with the application being processed at the applicable unit price at which such information has been received and verified and we will be held harmless and indemnified for any loss due to any delay or failure to process this application as a result of our reasonable enquiries in order to satisfy our duties under applicable law;
- you will provide the Responsible Entity with all additional information in your possession or control and assistance that the Responsible Entity may reasonably request in order for the Responsible Entity to comply with the AML/CTF Law, FATCA and CRS to the extent related to your investment in the Fund;
- you acknowledge that the Responsible Entity may decide to delay or refuse any request or transaction, including by suspending the issue or transfer of units in the Fund, if the Responsible Entity is concerned that the request or transaction may breach any obligation of, or cause the Responsible Entity to commit or participate in an offence (including under the AML/CTF Law, FATCA and CRS);

**3.2 SIGNING:** Applicants must sign in accordance with the instructions below in the boxes provided

**INSTRUCTIONS – Who needs to sign this form:**

Individual	Where the investment is in one name, the sole investor must sign.
Individual Trustee	Where the investment has one individual trustee, the trustee must sign.
Multiple Trustees	Where the investment has more than one individual trustee, all trustees must sign.
Joint Holding	Where the investment is in more than one name, all investors must sign. If more than two signatures are required, please attach an additional page with the full names of each account holder, their signatures, and date.
Companies / Corporate Trustee	Where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise, this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.
Trust	The trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.
Power of Attorney	If signing under a Power of Attorney and you have not already lodged the Power of Attorney document, please attach a certified copy of the Power of Attorney annotated with the following: I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of investor 1, director or authorised signatory

Please print full name

Date

/ /

Company officer (please indicate company capacity):

- Director
- Sole director and company secretary
- Authorised signatory

Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date

/ /

Company officer (please indicate company capacity):

- Director
- Company secretary
- Authorised signatory

## Privacy Notice

The Australian Privacy Principles contained in the Privacy Act 1988 (Cth) ("**Privacy Act**") regulate the way in which we collect, use, disclose, and otherwise handle your personal information. Equity Trustees is committed to respecting and protecting the privacy of your personal information, and our Privacy Policy details how we do this.

It is important to be aware that, to provide our products and services to you, Equity Trustees may need to collect personal information about you and any other individuals associated with the product or service offering. In addition to practical reasons, this is necessary to ensure compliance with our legal and regulatory obligations (including under the Corporations Act, the AML/CTF Act and taxation legislation). If you do not provide the information requested, we may not be able to administer, manage, invest, pay or transfer your investment(s).

You must therefore ensure that any personal information you provide to Equity Trustees is true and correct in every detail. If any of this personal information (including your contact details) changes, you must promptly advise us of the changes in writing. While we will generally collect your personal information from you, your broker or adviser or the Investment Manager and Administrator directly, we may also obtain or confirm information about you from publicly available sources to meet regulatory obligations.

If you are an Indirect Investor, then enquiries and complaints should be directed to the operator of the IDPS.

In terms of how we deal with your personal information, Equity Trustees will use it for the purpose of providing you with our products and services and complying with our regulatory obligations. Equity Trustees may also disclose it to other members of our corporate group, or to third parties who we work with or engage for these same purposes. These third parties may be situated in Australia or offshore, however we take reasonable steps to ensure that they will comply with the Privacy Act when collecting, using or handling your personal information.

The types of third parties that we may disclose your information to include, but are not limited to:

- stockbrokers, financial advisers or adviser dealer groups, their service providers and/or any joint holder of an investment;
- those providing services for administering or managing the Fund, including the Investment Manager, Custodian, the Administrator, auditors, or those that provide mailing or printing services;
- our other service providers;
- regulatory bodies such as ASIC, ATO, APRA and AUSTRAC; and
- other third parties who you have consented to us disclosing your information to, or to whom we are required or permitted by law to disclose information to.

Equity Trustees or the Investment Manager may from time to time provide you with direct marketing and/or educational material about products and services they believe may be of interest to you. You have the right to "opt out" of such communications by contacting us using the contact details below, or by using the 'unsubscribe' function in the marketing communication.

In addition to the above information, Equity Trustees' Privacy Policy contains further information about how we handle your personal information, and how you can access information held about you, seek a correction to that information, or make a privacy-related complaint.

Full details of Equity Trustees' Privacy Policy is available at [www.eqt.com.au](http://www.eqt.com.au). You can also request a copy by contacting Equity Trustees' Privacy Officer on +61 3 8623 5000 or by email to [privacy@eqt.com.au](mailto:privacy@eqt.com.au)