



# Transfer of Units Form

Use this Form to transfer (all or part of) your investment in Australian Secure Capital Fund Ltd ("Funds") to another individual, entity, or trust (transferee). Please note the transferee must have an existing investor account number with Australian Secure Capital Fund Ltd. If the transferee does not have an existing investor account number, they must apply for one by completing an application form.

A minimum balance is required to keep your investment in a Fund open.

Minimum balances of the Funds are: A\$5,000

## TRANSFER OF UNITS APPLICATION PROCESS

### STEP 1

Complete this form and write clearly within the boxes in CAPITAL LETTERS.

Mark appropriate answer boxes with a cross

### STEP 2

Send us your application

**Option 1** - Post your completed form to:

Australian Secure Capital Fund  
PO Box 1475  
MILTON QLD 4064

**Option 2** - Scan and email your application to:  
investor@ascf.com.au

**Got a question? We're happy to help!**  
**Call us on 1300 269 419**

## SECTION A

### CURRENT INVESTMENT ACCOUNT DETAILS

**Investment Account Number**

**Account Name (In Full)**

## SECTION B

### TRANSFER INSTRUCTIONS

Please specify the amount to be transferred from the nominated Fund(s) below.

Premium Capital  
(min. \$5,000)

Select Income  
(min. \$5,000)

High Yield  
(min. \$5,000)

**Amount to be transferred**

**Investment Expiry Date**

**Balance of Investment in the Fund after transfer**

## SECTION C

### TRANSFeree DETAILS

Premium Capital  
(min. \$5,000)

Select Income  
(min. \$5,000)

High Yield  
(min. \$5,000)

### INVESTMENT TERM

You can select from the following classes of Units, each of which has its own Investment Term.

3 Months - A6 Units

6 Months - A5 Units

12 Months - A4 Units

24 Months - A3 Units

**Account Name (In Full)**

**Amount to be transferred**

**Investor Account Number**

## SECTION D

### TRANSFER DATE

Please note if the transfer date does not coincide with the expiry date of the transferors investment the investment must remain in the same fund and the transferee agrees to be bound by the same investment terms and conditions in the Product Disclosure Statement issued by ASCF as if it were the original investor.

## CONTACTING US

### Investor Services:

Open 9.00am to 5.00pm AEST

Monday - Friday

1300 269 419 (Australia only)

+ 61 7 3506 3690

investor@ascf.com.au

### Website:

ascf.com.au

### Office Address:

Level 1, 50 Park Road, Milton QLD 4064

Post your application to:

Australian Secure Capital

PO Box 1475

Milton QLD 4064

OR

Scan and email your application to:

investor@ascf.com.au

### TRANSFEROR DECLARATION & SIGNATURES

By signing this form, the transferor hereby transfers their units in Australian Secure Capital Fund Ltd as noted in Section B hereof to the transferee effective from the date noted in Section D.

#### Signatory 1

X

Signatory's full name

Tick capacity (mandatory for companies)

Sole Director & Secretary  Director  Secretary  Trustee

Date

#### Signatory 2

X

Signatory's full name

Tick capacity (mandatory for companies)

Sole Director & Secretary  Director  Secretary  Trustee

Date

Signature(s) must match the signing authority held by Australian Secure Capital Fund Ltd for your Investment Account.

### TRANSFEEE DECLARATION & SIGNATURES

By signing this form, the transferee hereby accepts the transfer of units in Australian Secure Capital Fund Ltd as noted in Section B hereof from the transferor effective from the date noted in Section D.

I have read and understood the declaration on page 4 of this form.

#### Signatory 1

X

Signatory's full name

Tick capacity (mandatory for companies)

Sole Director & Secretary  Director  Secretary  Trustee

Date

#### Signatory 2

X

Signatory's full name

Tick capacity (mandatory for companies)

Sole Director & Secretary  Director  Secretary  Trustee

Date

## DECLARATION

By completing this application form I/We declare:

1. I/We wish to invest in ASCF Premium Capital and/or ASCF Select Income and/or ASCF High Yield as described in the most recent PDS which is available at [ascf.com.au](http://ascf.com.au) and agree to be bound by the provisions of this Application Form and the Constitution (as amended) for the Fund.
2. I/We have received an electronic or paper copy of the relevant PDS & TMD/s for the Fund/s and have read and understood the PDS & TMD to which this Application Form relates.
3. I/We agree that future transactions in the Fund will be made on the terms of the then current PDS & TMDs and that the declarations and acknowledgments made in this Application Form will also apply to all such future transactions.
4. I/We understand the risks associated with an investment in the Fund/s as they are outlined in the relevant PDS and the TMD/s.
5. I/We understand Australian Secure Capital Fund Ltd (ASCF Ltd) reserves the right to reject any application or to allocate a lesser number of units than applied for.
6. I/We understand that the value of units in the Fund may rise or fall, from time to time and the value of units when withdrawn may be less than the price paid for the units.
7. I/We understand that if I/we withdraw our investment prior to the expiration of the Investment Term (which is at ASCF Ltd's discretion), then in accordance with the Fund's Constitution, I/we will incur an early withdrawal charge.
8. I/We understand ASCF Ltd or its related entities may pay introduction fees to third parties if the third party has introduced, and you become an investor in the Fund.
9. I/We understand any introduction fees paid will be paid by ASCF Ltd in its personal capacity and not in its capacity as Responsible Entity for the Fund, and as such, the introduction fee will not impact on the returns made to investors.
10. I/We declare that all details in this Application Form are true and correct, and I consent to ASCF verifying any information with the document issuer or official record holder via a third party for the purpose of verifying my/our identity or Trust.
11. I/We declare that I/we have legal power to invest in the Fund.
12. I/We declare that by making this application, I/We will not contravene any law, regulation, authorisation or the relevant constitution or constituent documents of the investor.
13. I am not a US citizen or resident for tax purpose, unless otherwise disclosed in this form.
14. I/We acknowledge that neither ASCF Ltd nor any other person guarantees the return of capital or the performance of the Fund.
15. I/We acknowledge that I/we have received the PDS & TMD for the Fund/s and this Application Form in Australia.
16. If joint investors are applying, the investors agree to hold the units as joint tenants. Both applicants are required to sign the Application Form and either investor is able to operate the account and bind the other investor for future transactions, including withdrawals, but not including applying.
17. I/We are not a "politically exposed" person for the AML/CTF laws.
18. I/We authorise the use of this TFN or ABN to the investment for which I am/we are applying.
19. Note for corporate investors, this application must be signed either—
  - a. by two directors or a director and company secretary, or
  - b. by the sole director/company secretary (where applicable), and the signatories confirm they are officers of the company and that they have the authority to bind the company to the investment.
20. If your application is signed under a power of attorney, (in which case, the attorney declares that he/she has not received notice of revocation of that power), please enclose a certified copy of the Power of Attorney (and authorised signatories) with your Application Form.
21. If they are the sole signatories signing on behalf of a company, the investor confirms they are signing as sole director/secretary of the company.
22. If investing as a trustee on behalf of a superannuation fund or trust, the investor confirms they have the power and authority under the relevant trust deed to invest on behalf of the superannuation fund or trust.

## Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF)

To comply with AML/CTF legislative requirements such as the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*, ASCF Ltd will need to obtain identification information to establish your identity (and the identity of other persons associated with your account). ASCF Ltd may also do the following:

- Require you to provide to ASCF Ltd or otherwise obtain any additional information, documentation or other information.
- Suspend, block or delay transactions on your account or refuse to make a payment or provide services to you. ASCF Ltd will incur no liability to you if it does so.
- Report any, or any proposed transaction or activity to anybody authorised to accept such reports relating to AML/CTF or any other law.

By making an application, you acknowledge and warrant to ASCF Ltd that—

- I/We have not knowingly done anything to put ASCF Ltd in breach of AML/CTF laws.
- I/We will notify ASCF Ltd if you become aware of anything that would put ASCF Ltd in breach of AML/CTF laws.
- If requested, I/we shall provide additional information and assistance and comply with all reasonable requests to facilitate ASCF Ltd's compliance with AML/CTF laws.
- If I/We fail to provide ASCF Ltd with additional information and documentation requested of you, your application may be refused, any units you hold may be compulsorily withdrawn, and/or a withdrawal request by you may be delayed or refused by ASCF Ltd.

## Electronic Instructions

In respect of electronic instructions (e.g. email or online applications) relating to applications, additional applications or withdrawal requests, or notifying ASCF Ltd of a change in details, you agree and acknowledge that ASCF Ltd—

- will rely on the scanned signature collected at the time of application (including a signature appearing on an applicant's identification document such as a driver's licence);
- will not accept electronic instructions unless it is accompanied by the scanned signature(s);
- are not responsible for any loss or delay that results from a transmission not being received by ASCF Ltd;
- will only process your electronic instructions if it is received in full and has been signed by authorised signatories;
- will not accept a receipt confirmation from the sender's computer as evidence of receipt of the instructions;
- will not compensate you for any losses relating to electronic instructions, unless required by law; and
- does not take responsibility for any fraudulent or incorrectly completed electronic instructions. In the event of fraud you agree to release ASCF Ltd from, and indemnify ASCF Ltd against, all losses and liabilities whatsoever arising from ASCF Ltd acting in accordance with any instructions received electronically bearing your investment number and a signature purportedly yours or that of an authorised nominee.

## Privacy

I/We have read and understood ASCF Ltd's privacy policy which is available at [ascf.com.au](http://ascf.com.au) and consent to providing ASCF Ltd with personal information for ASCF Ltd to collect, use, disclose, store and check the identity information of any applicant against official record holders of such information in accordance with its privacy policy.