

Client Services contact details

Phone +61 3 9691 6191

Email invest@k2am.com.au

Website www.k2am.com.au

Identification form - Australian & Foreign companies

K2 Asian Absolute Return Fund

K2 Australian Absolute Return Fund

K2 Select International Absolute Return Fund

Please complete this form if you are a company investing with K2 for the first time or if you are a financial adviser verifying your client. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

Australian public company

- 1. Please complete sections 1 and 5 of this identification form in block letters and using a black pen.
- 2. Include this identification form with your initial application form when you send it to us. You do not need to provide any ID documents.

Australian private company

- 1. Please complete sections 1, 3 and 5 of this identification form in block letters and using a black pen.
- 2. Section 4 must be completed if your company is not regulated and has shareholders who own, directly or indirectly, more than 25% or the company's issued capital. For this purpose, a regulated company is defined as any company that is licensed and subject to oversight by a statutory regulator, such as ASIC, Australian Prudential Regulation Authority (APRA) or Australian Tax Office (ATO).
- 3. Include this identification form with your initial application form when you send it to us. You do not need to provide any ID documents.

Foreign public company

- 1. Please complete sections 2, 5 and 6 of this identification form in block letters and using a black pen.
- 2. Make copies of the relevant ID documents as applicable and arrange for them to be certified. Please refer to the 'Forms' section of our website for more information on getting your documents certified.
- 3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

Foreign private company

- 1. Please complete sections 2, 3, 4, 5, 6 and 7 of this identification form in block letters and using a black pen.
- 2. Make copies of the relevant ID documents and arrange for them to be certified. Please refer to the 'Forms' section of our website for more information on getting your documents certified.
- 3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us.

Legal notices

K2 Asset Management Ltd AFSL No. 244393 is the issuer of units in the K2 Asian Absolute Return Fund, K2 Australian Absolute Return Fund and K2 Select International Absolute Return Fund (together Funds).

K2 Asset Management Ltd is committed to ensuring the confidentiality and security of your Personal Information. We handle your Personal Information in accordance with the Privacy Act 1988 and Privacy Policy, which can be accessed on our website www.k2am.com.au.

1. Australian company

Company details

Full name of company (as registered by ASIC if incorporated in Australia)

ACN			1									
Registered Property n	l office address. A PO ame/building name (if	Box/RMB/Locked Bag is applicable)	not acceptat	ole. (as reg	istered by <i>i</i>	ASIC if inco	orporated	in Austra	lia)			
Unit	Street number	Street name										
Suburb							State		P	ostcod	e	_
Country												
Country												
Place of b	usiness (if different to	registered office addre	ess)									
Property n	ame/building name (if	applicable)	,							_		
Unit	Street number	Street name								_		_
				_				_		_		-
Suburb							State		P	ostcod	е	
									- [
Country												
Regulato	ory/listing details											
Regulator												
Licence de	etails											
Name of s	tock exchange						1					

+

Tick ✓	
	Savings
	Investment
	Superannuation contributions
	Commission
	Donation/gift
	Inheritance
	Normal course of business
	Asset sale
	Other - write the source and origin of funds below

Please select the source and origin of funds being invested:

2. Foreign company

Company details

Full name of	company													
Country of fo	rmation/incorporation	n/registration												
Registration/	identification number													
Name of fore	ign registration body	(if applicable)												
Registered o	ffice address. If regis	tered as a foreign	compan	y in Austr	alia, ple	ease pro	ovide A	ustralia	an addr	ess. /	A PO E	Box/RM	B/	
	not acceptable. ne/building name (if a	applicable)												
Unit	Street number	Street name												
									_					

-

Suburb					State	Postcode
Country						
Place of bus Property nar	iness (if different to ne/building name (if	registered office ad applicable)	dress)			
Unit	Street number	Street name				
Suburb					State	Postcode
Country						
Regulator	y/listing details					
Regulator na	ame					
Licence deta	ails					
Name of sto	ck exchange					
Australian lis	sted company name	if majority owned s	ubsidiary of ar	Australian listed	l company	

3. Director details

Please complete if the company is a private Australian or Foreign company. Do not complete for public and listed companies.

How many directors are there?

Provide full name of each director

╺╋╸

Director 1	
Title	Full given names
Surname	
Director 2	
Title	Full given names
Surname	
Director 3	
Title	Full given names
Surname	
Director 4	
Title	Full given names
Surname	
If there are more directo	rs, please provide details on a separate sheet and attach this with your form.

4. Major shareholders details

Please complete for private Australian or Foreign companies that are not regulated companies. Provide details of all shareholders who own, directly or indirectly, more than 25% of the company's issued capital.

Major share	eholder 1									
Title	Full give	en names								
Surname										
Residential ad	ldress. A PO Box/R	MB/Locked Bag is	not accepta	able.						
Property name	e/building name (if a	applicable)								
Unit	Street number	Street name								
Suburb						Sta	te	Posto	code	
Country										

/lajor sł																
tle		Full giv	en name	es												
urname																
esidentia	al address. A I	PO Box/RI	//B/Locke	d Bag i	s not ac	centable										
	ame/building				e net de											
nit	Street n	umber	Stree	t name	;											
												_	-			
burb											State			Posto	odo	
DUID								_			Siale			FUSIC	Jue	_
ountry													_	_		_
aior el	hareholder	3														
e	narcholaci		en name	20												
		i un giv	CITTIAITIC									_				_
																_
ırname												_	_			
urname																
esidentia	al address. A I				s not ac	ceptable.										
sidentia	al address. A I name/building				s not ac	ceptable.										
esidentia operty n	name/building	name (if	applicat	ole)		ceptable.										
sidentia operty n		name (if	applicat			ceptable.										
sidentia operty n	name/building	name (if	applicat	ole)		ceptable.										
sidentia operty n	name/building	name (if	applicat	ole)		ceptable.										
sidentia operty n it	name/building	name (if	applicat	ole)		ceptable.					State			Posto	code	
perty n	ame/building	name (if	applicat	ole)		ceptable.					State			Posto	code	
esidentia operty n nit iburb	ame/building	name (if	applicat	ole)		ceptable.					State			Posto	code	
esidentia operty n it burb	ame/building	name (if	applicat	ole)		ceptable.					State			Posto	code	
esidentia operty n nit iburb	ame/building	name (if	applicat	ole)		ceptable.					State			Posto	code	
esidentia operty n it burb ountry	ame/building	name (if	Stree	t name				<pre></pre>			State			Postc	code	
esidentia operty n it burb ountry	ame/building	name (if umber ation (US	Stree Stree	n Acco	e la	x Comp			nation I					Posto	code	
sidentia operty n it burb ountry . FA	ATCA Information (select of a select of a	ation (US	Stree Stree	n Acco	e punt Ta g categ	x Comp	d provide	the inforr		reques	ted)	or a US			code	
esidentia operty n iit burb ountry . FA TCA Sta	ATCA Information	ation (US	Stree Stree	n Acco	e punt Ta g categ	x Comp	d provide	the inforr		reques	ted)	Dr a US	taxpa		code	
sidentia operty n it burb untry . FA TCA Sta	ATCA Information (select of a select of a	ation (US only ONE ompany	Stree Stree Foreig of the fo	n Acco ollowin	e punt Ta g categ eated in	x Comp pories an n the US	d provide , establisł	the inforr		reques	ted)	or a US	taxpa		code	
sidentia operty n it burb ountry . FA TCA Sta Unit	ATCA Inform atus (select of ted States Colored	ation (US only ONE oany's US	Stree Stree Foreig of the fo (A comp S Taxpay	n Acco plowin plowin pany cro ver Ider	ount Ta g categ eated in	x Comp nories an the US	d provide , establisł	the inforr	the lav	reques	ted) ne US d		taxpa		code	
esidentia operty n it burb burb trCA Sta Prov Is th	ATCA Information (select of ted States Company a secondary select)	name (if umber ation (US only ONE ompany bany's US	Stree Stree Foreig of the fo (A comp Taxpay t payee	n Acco ollowin pany cro rer Ider	e punt Ta g categ eated in ntification tax pur	x Comp fories and the US on Numb poses?	d provide , establisł ber (TIN)	the inforr ned under	r the lav Yes	reques	ted)		taxpa		code	
esidentia operty n nit iburb ountry S. FA STCA Sta Unit Prov Is th <i>If the</i>	ATCA Inform atus (select of ted States Col vide the comp a company a e company is ancial Institu	ation (US only ONE oany's US an exemp s a US Co ution (A c	Application Stree Stree Foreig of the foreig of the foreig Staxpay t payee ompany states	n Acco ollowin pany cri ver Iden for US section	ount Ta g categ eated in htificatio tax pur	x Comp ories an on the US on Numb poses?	d provide , establish ber (TIN) proceed t	the inforr ned under o section	Yes 6.	reques ws of th	ted) ne US d No			ayer)		
esidentia operty n hit Jburb ountry 5. FA ATCA Sta Unit Prov Is th If the Fina FAT	ATCA Inform atus (select of ted States Col vide the comp a company a e company is	ation (US only ONE ompany bany's US an exemp s a US Co ution (A c	Stree Stree	n Acco ollowin pany cri for US section or dep	e bunt Ta g categ eated in htification tax pur b 5 is co pository	x Comp ories an on the US on Numb poses? omplete, institutio	d provide , establish per (TIN) proceed t on, an inve	the inforr ned under o section	Yes 6.	reques ws of th	ted) ne US d No			ayer)		

If the company does not have	e a GIIN, please provide its FATCA st	atus.	
If the company is a Financial	Institution section 5 is now complete,	proceed to section 6.	
Non-Financial Public Comp	any (Public companies as per section	n 4 that are not Financial Institutions	as described above)
If the company is a Public Co	mpany, section 5 is now complete, pr	roceed to section 6.	
Non-Financial Proprietary C described above)	company (Proprietary companies as	per section 4 that are not Financial Ir	nstitutions as
tax purposes	ers (as per section 4) US citizens or r xpayer Identification Number (TIN) of	Yes	No sitizen or resident of the
Full given name(s)	Surname	US TIN	

Verification procedure - Foreign companies 6.

Verification of a Foreign company

Tick ✓	Enclose a certified copy of the following current documents.
	The Foreign Company's certificate or registration (or equivalent) issued by the relevant foreign registration/regulatory body indicating all of the following:
	(i) The company's identification/registration number
	(ii) The date it was incorporated or formed, AND
	(iii) The company's registered address.

Note: If the certificate of registration does not indicate any of the above details, enclose certified copies of other documents issued by independent third parties indicating the above details in addition to enclosing the certificate of registration. Documents written in a language other than English must be accompanied by an English translation prepared by an accredited translator.

7. Verification procedure - Financial advisers

Record of verification procedure of a Foreign company

Either:

- a. Attach the certified copies of the ID documents (as required under section 6) used to verify your client (and any required translation); OR
- b. Complete the details below and do not attach copies of the ID documents. By completing this you represent that you have verified your client's company registration, register of members, and each major shareholder's identity according to the verification procedures in section 6.

ID document details	Document 1
Verified from	Original Certified copy
Document name/type	
Document issuer	
Issue date	D D M M Y Y Y
Expiry date	D D M M Y Y Y

										_	_	_	_					_		
Document number																				
Accredited English translation		N/A	L		Sigl	Sighted														
FATCA	The	The FATCA information is reasonable considering the documentation provided																		
ID document details	Docu	Document 2																		
Verified from		Orig	ginal		Cer	Certified copy														
Document name/type																				
Document issuer																				
Issue date	D	D	Μ	Μ	Y	Y	Υ	Y												
Expiry date	D	D	Μ	Μ	Y	Y	Y	Y												
Document number																				
Accredited English translation		N/A	L.		Sigl	hted														
FATCA	The	FAT	CA in	forma	ation	is rea	asona	able o	consi	derin	g the	docu	iment	ation	prov	ided				
Financial adviser details																				
Date verified	D	D	Μ	Μ	Y	Y	Y	Y												
Authorised Representative Num	ber (if	any)																		
Financial adviser name																				
Phone number			_	-																
Dealer group name																				
AFSL number																				

FATCA

The FATCA information is reasonable considering the documentation provided

╺╋╸