

Section 2: Individual or Sole Trader or Individual Trustee

Type of Investor

In my name only
(Complete Sections 2A and 2D)

Jointly with another Individual (Complete Sections 2A, 2B and 2D)

As a Sole Trader (Complete Sections 2A, 2C and 2D)

As an Individual Trustee for a Trust (Complete Sections 2A, 2B, 2D and Section 4)

2A – Individual 1

Title Given Name(s) Surname

Date of Birth (DD/MM/YYYY) Country of Birth Citizenship

Residential Address (street number and name)

Suburb State Country Postcode

Tax Information/FATCA and CRS Declaration

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

Yes (if yes, please go to question 2) No (if no, please provide your TFN or exemption reason below)

Australian Tax File Number (TFN) or Exemption Reason

2. Do you have a Global Intermediary Identification Number (GIIN)/US Tax Payer Identification number (TIN)?

Yes (if yes, please provide) No

GIIN/TIN Number

2B – Individual 2

Title Given Name(s) Surname

Date of Birth (DD/MM/YYYY) Country of Birth Citizenship

Residential Address (street number and name)

Suburb State Country Postcode

Tax Information/FATCA and CRS Declaration

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

Yes (if yes, please go to question 2) No (if no, please provide your TFN or exemption reason below)

Australian Tax File Number (TFN) or Exemption Reason

2. Do you have a Global Intermediary Identification Number (GIIN)/US Tax Payer Identification number (TIN)?

Yes (if yes, please provide) No

GIIN/TIN Number

2C – Sole Trader

Business Name

ABN

Tax Information/FATCA and CRS Declaration

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

Yes (if yes, please go to question 2) No (if no, please provide your TFN or exemption reason below)

Australian Tax File Number (TFN) or Exemption Reason

2. Do you have a Global Intermediary Identification Number (GIIN)/US Tax Payer Identification number (TIN)?

Yes (if yes, please provide) No

GIIN/TIN Number

2D – Identification Documentation: Individual or Sole Trader or Individual Trustee

The AML/KYC/CTF documentation required for processing Section 2 is outlined below.

You must attach the following copies of documents to this Application Form.

Please provide one document from **Option A** OR provide two documents, one from Option B: Category 1 AND one from Option B: Category 2

Option A

Please indicate which **one** you are providing:

- A current Australian driver's licence containing a photograph of the person
- A current Australian passport or an Australian passport that has expired within the preceding two years
- A current card issued by a state or territory for the purpose of proving the card holder's age that contains a photograph of the card holder
- A current foreign government issued passport or similar travel document containing a photograph and signature of the person (if not in English, accompanied by an English translation prepared by an accredited translator)
- A current national identity card issued for the purpose of identification by a foreign government that contains a photograph and the signature of the person (if not in English, accompanied by an English translation prepared by an accredited translator)

Option B: Category 1

Please indicate which **one** you are providing:

- An Australian birth certificate
- A current Australian citizenship certificate
- A current pension card issued by Centrelink

Option B: Category 2

Please indicate which **one** you are providing:

- A notice issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits and contains the individual's name and residential address
- A notice issued by the Australian Taxation Office within the preceding 12 months that records a debt payable to or by the person ___ by or to the Commonwealth
- A notice issued by local government body or utilities provider within the preceding three months that records the provision of services to that address or to that person and contains the individual's name and residential address

Section 3: Company or Trustee is a Company

Type of Investor

Australian Public Company
(Complete Section 3A)

Australian Proprietary Company
(Complete Sections 3A, 3C and 3D)

Foreign Company*
(Complete Sections 3A, 3B, 3C and 3D)

*Please contact Boston Trading.co for AML/KYC/CTF documentation details.

3A – Company Details

Company Name (in full)

Contact Name (at Company)

ACN, ABN or ARBN (if registered in Australia)

Registered Address

Suburb

State

Country

Postcode

Address of Principal Place of Business

Suburb

State

Country

Postcode

Listing and Regulatory Details for Australian Companies Only (Select any of the following categories if applicable)

Australian Public Listed Company or Majority Owned Subsidiary

Regulated in Australia (Do not select if the company only has an ACN but does not have a license issued by an Australian regulator, such as an Australian Financial Services License (AFSL) or an Australian Credit License (ACL))

Regulator Name

Licence Details (e.g. AFSL, ACL – please do not include ACN)

Tax Information

Australian Tax File Number (TFN) or Exemption Reason

FATCA Declaration

DO NOT complete if you are a company trustee of an Australian Retirement Fund (i.e. SMSF)

Please select one of the below categories and complete as appropriate:

a. The Entity is a Specified US Person and the Entity's US Federal Taxpayer Identifying number (US TIN) is as follows:

US TIN :

b. The Entity is a US Person but not a Specified US Person

c. The Entity is not a US Person (Please also complete Entity FATCA Classification below)

Entity's FATCA Classification

Financial Institutions under FATCA

If the Entity is a Financial Institution, please select one of the below categories and provide the Entity's GIIN:

- Australian Financial Institution or a Partner Jurisdiction Financial Institution
 Registered Deemed Compliant Foreign* Financial Institution
 Participating Foreign* Financial Institution

Please provide the Entity's Global Intermediary Identification number (GIIN): [text box]

If the Entity is a Financial Institution but unable to provide a GIIN, please select one of the below reasons:

- The Entity has not yet obtained a GIIN but is sponsored by another entity (or its Trustee if the Entity is a Trustee Documented Trust) which does have a GIIN. Please provide your sponsor/trustee's name and sponsor/trustee's GIIN:

Sponsor/Trustee's Name: [text box]

Sponsor/Trustee's GIIN: [text box]

- Exempt Beneficial Owner
 Certified Deemed Compliant Foreign* Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)
 Non-Participating Foreign Financial Institution
 Excepted Foreign* Financial Institution

Non-Financial Institutions under FATCA:

If the Entity is not a Financial Institution, please select one of the below categories:

- Active Non-Financial Foreign* Entity
 Passive Non-Financial Foreign* Entity (If this box is ticked, please complete section 3A(i) - Controlling US Persons)
 Excepted Non-Financial Foreign* Entity

* Foreign means non-U.S.

3A(i) - Controlling US Persons

This section is only to be completed if you have ticked Passive Non-Financial Foreign *Entity above and if a Controlling Person (s) is a tax resident of the United States. If there are more than 2 Controlling US persons please provide their details on a separate page and attach it to this form.

US Person 1

- Controlling Person Beneficiary Trustee
 Owner Director
 Other - please specify [text box]

Full Name

[text box]

Residential address (PO box is not acceptable)

[text box]

US Taxpayer Identification Number (TIN)

[text box]

US Person 2

- Controlling Person Beneficiary Trustee
 Owner Director
 Other - please specify [text box]

Full Name

[text box]

Residential address (PO box is not acceptable)

[text box]

US Taxpayer Identification Number (TIN)

[text box]

3B – Foreign Company

Registration status with foreign registration body

Registered Public Company

Registered Private Company

Not Registered

Country in Which Company is Incorporated

Identification Number Issued by the Foreign Registration Body

Name of Foreign Registration Body (if applicable)

Country of Tax Residence (non-Australian residents)

3C – Director Information

Australian Proprietary Companies and Foreign Registered Private Companies to provide full names of each director of the Company.

1

2

3

4

If there are additional directors, please provide details as an attachment.

3D – Beneficial Owner Information

To be completed for all companies that are not Australian Public Listed companies, majority owned by an Australian Public Listed Company or Regulated Companies (as per licensing and regulatory details in section 3A).

Please provide details of any individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings), or each individual who directly or indirectly controls the company.

Beneficial Owner 1

Title	Given Name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of Birth (DD/MM/YYYY)	Country of Birth	Citizenship
<input type="text"/>	<input type="text"/>	<input type="text"/>

Residential Address (street number and name)

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

Australian Tax File Number or Exemption Reason

Beneficial Owner 2

Title Given Name(s) Surname

Date of Birth (DD/MM/YYYY) Country of Birth Citizenship

/ /

Residential Address (street number and name)

Suburb State Country Postcode

Australian Tax File Number or Exemption Reason

If there are additional beneficial owners, please provide details as an attachment.

Beneficial Owner: Identification Documentation

You must attach the following copies of documents to this Application Form in respect of each beneficial owner

Please provide one document from **Option A** OR provide two documents, one from **Option B: Category 1** AND one from **Option B: Category 2**

Option A

Please indicate which **one** you are providing:

A current Australian driver's licence containing a photograph of the person

A current Australian passport or an Australian passport that has expired within the preceding two years

A current card issued by a state or territory for the purpose of proving the card holder's age that contains a photograph of the card holder

A current foreign government issued passport or similar travel document containing a photograph and signature of the person (if not in English, accompanied by an English translation prepared by an accredited translator)

A current national identity card issued for the purpose of identification by a foreign government that contains a photograph and the signature of the person (if not in English, accompanied by an English translation prepared by an accredited translator)

Option B: Category 1

Please indicate which **one** you are providing:

An Australian birth certificate

A current Australian citizenship certificate

A current pension card issued by Centrelink

Option B: Category 2

Please indicate which **one** you are providing:

A notice issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits and contains the individual's name and residential address

A notice issued by the Australian Taxation Office within the preceding 12 months that records a debt payable to or by the person by or to the Commonwealth

A notice issued by local government body or utilities provider within the preceding three months that records the provision of services to that address or to that person and contains the individual's name and residential address

Section 4: Trust or Superannuation Fund

4A – Trust or Superannuation Fund Details

Trust or Superannuation Fund Name (in full)

Business Name (if applicable, in full)

ABN (if applicable)

Tax Information/ FATCA Declaration

1. Are you an Australian Retirement Fund (ie SMSF)?

- Yes (If yes, please provide your TFN or exemption reason below and go to section 4B) No (if no, go to question 2)

4B) Australian Tax File Number (TFN) or Exemption Reason

2. Please select one of the below categories and complete as appropriate:

- a. The Entity is a Specified US Person and the Entity's US Federal Taxpayer Identifying number (US TIN) is as follows:

US TIN:

- b. The Entity is a US Person but not a Specified US Person
- c. The Entity is not a US Person (Please also complete Entity FATCA Classification in question 3)

3. Entity's FATCA Classification

If the Entity is a Financial Institution, please select one of the below categories and provide the Entity's GIIN:

- Australian Financial Institution or a Partner Jurisdiction Financial Institution
- Registered Deemed Compliant Foreign* Financial Institution
- Participating Foreign* Financial Institution

Please provide the Entity's Global Intermediary Identification number (GIIN):

If the Entity is a Financial Institution but unable to provide a GIIN, please select one of the below reasons:

- The Entity has not yet obtained a GIIN but is sponsored by another entity (or its Trustee if the Entity is a Trustee Documented Trust) which does have a GIIN. Please provide your sponsor/trustee's name and sponsor/trustee's GIIN:

Sponsor/Trustee's Name:

Sponsor/Trustee's GIIN:

- Exempt Beneficial Owner
- Certified Deemed Compliant Foreign* Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)
- Non-Participating Foreign Financial Institution
- Excepted Foreign* Financial Institution

Non-Financial Institutions under FATCA:

If the Entity is not a Financial Institution, please select one of the below categories:

- Active Non-Financial Foreign* Entity
- Passive Non-Financial Foreign* Entity (if this box is ticked, please complete Section 3A(i) - Controlling US Persons)
- Excepted Non-Financial Foreign* Entity

* Foreign means non-U.S

4B – Type of Trust

Please select the type of Trust and provide the relevant information:

- Self Managed Superannuation Fund
- Registrable Superannuation Entity
- Government Superannuation Fund
- Registered Managed Investment Scheme
- Unregistered Managed Investment Scheme
- Foreign Trust or Fund
- Family Trust
- Other Trust – please specify:

Please provide the relevant information below for the type of Trust selected:

Country in which Trust was established	ARSN or applicable Foreign Registration Number
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Name of Regulator (e.g. ASIC, ATO) or Foreign Regulator

Provide name of legislation establishing the Trust (Government Superannuation Fund Only)

4C – Beneficiary Details

ONLY complete if you are an Unregistered Managed Investment Scheme, Foreign Trust or Foreign Fund, Family Trust or Other Trust.

Does the Trust Deed name the Beneficiaries Yes No – if No, please complete either section 4C (i) or 4C (ii) and 4C (iii) below.

4C (i) – Provide the full name of each Beneficiary:

1

2

3

4

If there are additional beneficiaries, please provide details as an attachment.

4C (ii) – Describe the class of Beneficiary (e.g. Unit Holders, Charitable Purposes)

4C (iii) – Beneficial Owner Information

Provide the details below for each individual that directly or indirectly controls* the Trust. If this is confirmed to be the individual identified as the Trustee above, they must be listed again below to confirm that they are the Trust’s Beneficial Owners.

*Includes control by acting as Trustee; or by means of trusts, agreements, arrangements, understandings and practices; or exercising control through the capacity to direct the Trustees; or the ability to appoint or remove the Trustees.

Beneficial Owner 1

Title	Given Name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of Birth (DD/MM/YYYY)	Country of Birth	Citizenship
<input type="text" value="/ /"/>	<input type="text"/>	<input type="text"/>

Residential Address (street number and name)

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

Australian Tax File Number or Exemption Reason

Beneficial Owner 2

Title	Given Name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of Birth (DD/MM/YYYY)	Country of Birth	Citizenship
<input type="text" value="/ /"/>	<input type="text"/>	<input type="text"/>

Residential Address (street number and name)

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

Australian Tax File Number or Exemption Reason

If there are additional beneficial owners, please provide details as an attachment.

4D – Identification Documentation: Trust or Superannuation Fund

The AML/KYC/CTF documentation required for processing Section 4 is outlined below.

You must attach the following copies of documents to this Application Form.

Please indicate your selection:

Please provide the following information:

- If the Trustee is an Individual, please provide the identification documentation required for an Individual (Section 2)
- If the Trustee is a Company, please provide the identification documentation required for a Company (Section 3)
- If the Trust is an Unregistered Managed Investment Scheme, Foreign Fund, Family Trust or Other Trust please provide a current original or certified copy of the trust deed or extract or equivalent.
- If the Trust has Beneficial Owners, please provide the identification documentation required for an Individual (Section 2)

Section 5: Investor Details

ALL INVESTORS MUST COMPLETE THIS SECTION.

5A – Contact Details

Title	Given Name(s)	Surname	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Postal Address (street number and name)			
<input type="text"/>			
Suburb	State	Country	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Phone Number (business hours)	Phone Number (home)	Mobile Number	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Email Address	Fax		
<input type="text"/>	<input type="text"/>		

5B – Adviser Details (if applicable)

Adviser Name			
<input type="text"/>			
Adviser Firm Name			
<input type="text"/>			
AFSL Number	ASIC Financial Adviser/Authorised Rep.Number*		
<input type="text"/>	<input type="text"/>		
Adviser Office Address (street number and name)			
<input type="text"/>			
Suburb	State	Country	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email Address	Phone		
<input type="text"/>	<input type="text"/>		

* To obtain the Financial Adviser Number, please go to the <https://moneysmart.gov.au/financial-advice/financial-advisers-register>

5F – Designated Account Details

The Designated Account Details you nominate will be used to credit your account with any distributions made by the Boston Trading.co Fund or withdrawals you request to be paid.

Name of Financial Institution

Branch

BSB Number

Account Number

Account Name (needs to match the name of the Investor)

Austraclear Code (if applicable)

Reference Number for Austraclear or RTGS Payment (if applicable)

5G – Annual Financial Report

Annual Financial Report

The Monthly Fund Reports and Annual Financial Report for the Boston Trading.co Funds will be made available at our website: www.BostonTrading.co

All communications will be emailed and Annual Financial Reports will be available on our website.

5H – Declaration

The named that is applying for investments in the selected Fund(s), declares that the details given in this application form are true and correct.

By completing this application I/we acknowledge that I/we were given access to a complete copy of, or access to, the relevant fund materials at the same time (and by the same means) as accessing this application.

I/We declare that by signing and lodging this application form, I/we represent and acknowledge that I/we have read and understood the document(s) to which the application form relates.

I/We acknowledge that by signing the application, I/we:

- a. agree to become bound by the provisions of the Constitution(s) of the Fund(s), as may be amended from time to time;
- b. agree to be bound by the terms of the relevant Fund Document(s);
- c. agree that the Constitution(s) and the Fund Document(s) contain all of the terms and conditions that govern my/our investment in the Fund(s);
- d. provide consent to Boston Trading.co to use and disclose the information I/we have provided in this application as outlined in the "Privacy" section in the website and/or Fund Document(s);
- e. have the permission of any other person whose personal information we have provided, to disclose their information to Boston Trading.co and have their consent for their information to be used and disclosed as outlined in the "Privacy" section in the Fund Document(s) and any Updated Information;
- f. represent that if outside Australia, my/our application and its acceptance by Boston Trading.co does not breach applicable laws of the jurisdiction of the applicant;
- g. agree that Boston Trading.co may decide to delay or refuse any application or redemption if I/we do not provide the AML//KYC/CTF, FATCA and/or CRS information requested or Boston Trading.co is not satisfied as to my/our identity and Boston Trading.co will not incur any liability to me/us if it does so;
- h. have considered the appropriateness of the Fund(s) to my investment objectives and needs and have not received advice from Boston Trading.co;
- i. warrant that I/we am/are not a United States citizen(s) or a resident(s) of the United States for taxation purposes (US Person), nor do I/we act on behalf of or for the benefit of any US Person unless otherwise disclosed and I/we agree to promptly notify Boston Trading.co if I/we become a US Person
- j. agree to promptly provide Boston Trading.co any information required from time to time to enable Boston Trading.co to comply with the US Foreign Account Tax Compliance Act and the Common Reporting Standard, together with the supporting regulations and any related Australian law designed to implement these regimes, and consent to Boston Trading.co to report relevant information to the ATO and exchanged with tax authorities of another country or countries in which I/we may be tax resident where those countries (or tax authorities in those countries) have entered into agreements with Australia to exchange financial account information. I/we agree to promptly provide an updated self-certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect
- k. if this application is signed by an attorney, the attorney states that there is no notice of revocation of the power of attorney under which this application is signed;
- l. any tax file number supplied at any time may be applied to this investment and previous or future investments in my/our name(s)
- m. agree that the election I/we have made to receive annual reports electronically is taken to be given by me the time I/we are registered as a unit holder of the selected Fund(s) on this application; and
- n. to the extent this form has been completed, or is accompanied by documentation completed or prepared, by the holder of an Australian Financial Services Licence (an AFS Licensee) who, in its capacity as an AFS Licensee, has arranged or is arranging the investment to which this application form relates, represent and warrant that all information given to the relevant AFS Licensee in connection with such arrangement is true and correct.

I/We acknowledge and understand that:

- a. units in the Fund(s) do not represent deposits or other liabilities of Boston Trading & Education Inc LLC
- b. investing in the Fund(s) is subject to investment risk, including possible delays in repayment and loss of income and principal invested; and
- c. neither Boston Trading.co, Boston Trading & Education Inc LLC nor any other entity guarantee the performance of the Fund(s) or the repayment of capital invested in the Fund(s).

5I – Investor Signature

For all applications except where the Investor is an Individual, please have two authorised persons signing the New Investor Application Form.

Investor 1	Investor 2
Print Name <input type="text"/>	Print Name <input type="text"/>
Signature of Investor 1 <input type="text"/>	Signature of Investor 2 <input type="text"/>
Title of Signatory (e.g. Director, Trustee, Power of Attorney) <input type="text"/>	Title of Signatory (e.g. Director, Trustee, Power of Attorney) <input type="text"/>
Date (DD/MM/YYYY) <input style="width: 100px;" type="text" value=" / "/>	Date (DD/MM/YYYY) <input style="width: 100px;" type="text" value=" / "/>

If there are more than two signatories please include an attached list of names and signatures

5J– Adviser Declaration (if applicable)

To be completed by the financial adviser described in section 5B.

By signing below and submitting the enclosed copy of the relevant Financial Services Council/Financial Planning Association of Australia Identification Form (FSC/FCA Form) in relation to the applicant, I represent to the issuer of the product to which this application relates (Boston Trading.co) that I:

- a. have followed the FSC/FPA Industry Guidance Note No. 24 and any other applicable guidelines and laws with respect to the Anti-Money Laundering, Know Your Customer and Counter-Terrorism Financing Act 2006 (AML//KYC/CTF Laws);
- b. will make available to Boston Trading.co, on request, original verification and identification records obtained by the financial adviser in respect of the applicant, being those records referred to in the FSC/FPA Form;
- c. will provide details of the customer identification procedures adopted by the financial adviser in relation to the applicant;
- d. have kept a record of the applicant’s identification and verification and will retain these in our file for a period of seven years after the financial adviser’s relationship with the applicant has ended;
- e. will use reasonable efforts to obtain additional information from the applicant if Boston Trading.co requests the financial adviser to do so;
- f. will not knowingly do anything to put Boston Trading.co in breach of AML/KYC/CTF Laws; and
- g. will notify Boston Trading.co immediately if I become aware of anything that would put Boston Trading.co in breach of AMLKYC//CTF Laws.

Print Name

Signature of Advisor

Date (DD/MM/YYYY)

Please Enclose

Ensure you have enclosed a copy of the relevant FSC/FPA of Australia Identification Form.

Where do I send my Application Form?

Completed New Investor Application Forms and Identification Documentation should be mailed to:

The Manager
Boston Trading Co
PO Box 103
Paddington, Qld 4064

Further Assistance or Information

If you require assistance with completing the New Investor Application Form, please contact Boston Trading.co on: **1300 762 624** or admin@BostonTrading.co

Further information regarding our Funds can be accessed on our website: www.BostonTrading.co