

Information Memorandum

Solaris Core Australian Equity Fund
ARSN 128 859 898

Solaris High Alpha Australian Equity Fund
ARSN 128 860 159

Solaris Investment Management

About Solaris Investment Management

By Denis Donohue, Managing Director

Welcome to Solaris!

Solaris is a boutique funds manager determined to provide our investors with an exceptional investment experience.

Our team has a demonstrated investment management and performance history; we are cohesive, collegiate and passionate about what we do. We are proud of our tried and tested processes forged over many years of investment and industry practice.



We live by our investment principles and believe our dedicated, career analysts provide excellent results when they are empowered and rewarded as portfolio managers. Only bottom-up stock picking is used to build your portfolio. Our analysts have intimate company knowledge and as a result make effective specialist portfolio managers for their sectors. Quite simply, we are focussed on exceeding Benchmark returns for our investors.

Solaris is invigorated and brighter than ever before so there has never been a better time to benefit from our 'all-weather' investment management. I invite you to invest with confidence, knowing your funds are managed by knowledgeable, skilled professionals intent on delivering an optimal investment experience.

About Solaris

Solaris Investment Management Limited ('Solaris') is a boutique Australian owned, Australian equities Fund Manager. Solaris' employees are majority equity partners in the business, with the remainder owned by Pinnacle Investment Management Limited ('Pinnacle'). Pinnacle is a boutique funds management group, majority owned by Wilson HTM Investment Group Ltd.

The Solaris team is made up of 9 experienced investment professionals who have an average investment experience of 14 years each. For further details on the Solaris team, please refer to pages 8 to 13.

Investment Style

We have no consistent bias towards value or growth stocks therefore our style can be described as 'style-neutral' or 'agnostic'.

Investment Principles

- We pick stocks using fundamental analysis to exploit market inefficiencies in forecasts and valuations.
- Fundamental analysis is optimised by analysts being empowered and rewarded as portfolio managers.
- Analyst management of the portfolio is the best way to capture identified inefficiencies.
- We believe that active management can provide better returns than passive investment.
- To achieve strong returns, positions may be taken which deviate from the benchmark portfolio, through skilful stock selection.
- Our investment decisions are supported by detailed analysis of the securities and key financial markets, with an eye on global perspective.
- We apply strict risk controls to minimise the downside risk.
- Stock selection is our main area of expertise.

It is essential that all company models utilise the same global assumption set. To this end, all models draw their global assumptions (i.e. interest rates, currencies etc) from a common database of assumptions. To avoid top-down overlays influencing the bottom-up portfolio construction process, these assumptions generally reflect consensus forecasts.

Solaris 3-Step System

Risk Screening

All stocks listed on the Australian Securities Exchange are screened for litigatory, liquidity, geopolitical, ESG issues and financial risk factors, to arrive at 200-250 companies which we consider satisfactory for investment purposes (the Investable Universe).

Expected Returns

The Investable Universe is analysed via valuations and detailed modelling of all companies. A minimum of 4 years of cash flows is used to value each company. We use both qualitative and quantitative techniques to calculate each company's Expected Total Returns ('ETR').

Portfolio Construction

The ETRs of all analysts' stocks are collated in the Expected Returns Database ('ERD') and a market capitalisation weighted average Market Return ('MR') is derived.

The analyst, acting as the sector-specialist portfolio manager, establishes overweight or underweight positions in the portfolio based upon each stock's excess return.

A critical factor in the Solaris investment process is that the analysts who analyse the companies are also the portfolio managers for those companies. In other words, the analysts decide if the company they analyse should go into the portfolio.



Solaris Investment Management

Solaris 3-Step System

Stock Universe

250+

Risk Screening

Risk Screens

Liquidity (120 days) | Financial risk
Geo political | ESG | Litigation

200+

Expected Returns

Stock Research

Qualitative evaluation | 4+ years forecasts
Valuation models | 500 company meetings p.a.

40–70
Core Portfolio

Portfolio
Construction

20–40
High Alpha

Stocks Selected where

Recommended by analyst | Positive excess returns
Approved by team head

Quality Infrastructure and Support

To enable Solaris to focus on delivering superior investment returns, the team is backed by the infrastructure and support of Wilson HTM Investment Group Ltd, providing not only financial backing and seed funds, but high quality services such as operations, legal and compliance, finance, human resources, technology and systems support.



Solaris Core Australian Equity Fund

Objective

3.0% p.a. outperformance over rolling 3 year periods

Fund Size¹	\$383.1m
Benchmark	S&P/ASX 200 Accumulation Index.
Pricing	Units are priced daily.
Distribution Frequency	Semi-annually. Distributions are automatically reinvested unless otherwise specified.
Minimum Investment Amount	Minimum initial investment is \$2 million or less at the discretion of the Responsible Entity.
Minimum Additional Investment Amount	Minimum additional investment is \$50,000 or less at the discretion of the Responsible Entity.
Minimum Balance	\$500,000

Fees and Charges

Buy/Sell Spread	0.30% in / 0.30% out
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Management Fees

An investment in the Fund is restricted to Wholesale Clients (as defined in section 761G of the Corporations Act 2001). A separate Fee Agreement will be entered into with each investor. This agreement contains arrangements for the recovery of expenses and payment of an agreed fee, independent of any fee provision contained in the Constitution.

Investment Parameters

The Fund is subject to the following parameters:

- Cash² 0-5% of portfolio.
- Australian shares 95-100% (including derivatives).
- Delta-adjusted derivatives exposure cannot exceed 20% of the Fund.
- Guideline for maximum active position is +/- 3% Stock.
- Guideline for maximum active position is +/- 5% Sector Limit³.

¹ Fund size as at 31 July 2009. The Fund size includes all 3 classes of units in the Solaris Core Australian Equity Fund ARSN 128 859 898

² Cash not covered by equity futures and excluding contingent liabilities.

³ Sectors are defined using the S&P/ASX Global Industry Classification Standards Level 2 classifications.



Solaris Core Australian Equity Fund

Investment Objectives

The Fund will hold between 40 and 70 securities with a tracking error target of 2.0 – 4.0% p.a.

The Fund can take long positions in listed Australian securities, as well as in securities expected to be listed on an Australian exchange. In addition, the Fund will seek to remain fully invested with an allowable maximum cash exposure of 5% of total assets at any one time.

Risks

Almost any investment involves risk and investors should be aware that investments will rise and fall in value. As a consequence, investors may lose capital or not receive a return over a given timeframe.

Eligible Investors

This Fund is restricted to Wholesale Clients (as defined in section 761G of the Corporations Act 2001).



Solaris High Alpha Australian Equity Fund

Objective

5.0% p.a. outperformance over rolling 3 year periods

Fund Size¹	\$36.4m
Benchmark	S&P/ASX 200 Accumulation Index.
Pricing	Units are priced daily.
Distribution Frequency	Semi-annually. Distributions are automatically reinvested unless otherwise specified.
Minimum Investment Amount	Minimum initial investment is \$2 million or less at the discretion of the Responsible Entity.
Minimum Additional Investment Amount	Minimum additional investment is \$50,000 or less at the discretion of the Responsible Entity.
Minimum Balance	\$500,000

Fees and Charges

Buy/Sell Spread 0.30% in / 0.30% out

Management Fees

An investment in the Fund is restricted to Wholesale Clients (as defined in section 761G of the Corporations Act 2001). A separate Fee Agreement will be entered into with each investor. This agreement contains arrangements for the recovery of expenses and payment of an agreed fee, independent of any fee provision contained in the Constitution.

Investment Parameters

The Fund is subject to the following parameters:

- Cash² 0-5% of portfolio.
- Australian shares 95-100% (including derivatives).
- Delta-adjusted derivatives exposure cannot exceed 20% of the Fund.
- Guideline for maximum active position is +/- 9% Stock Limit.
- Guideline for maximum active position is +/- 12.5% Sector Limit³.

¹ Fund size as at 31 July 2009. The Fund size includes the 2 classes of units in the Solaris High Alpha Australian Equity Fund ARSN 128 860 159

² Cash not covered by equity futures and excluding contingent liabilities.

³ Sectors are defined using the S&P/ASX Global Industry Classification Standards Level 2 classifications.



Solaris High Alpha Australian Equity Fund

Investment Objectives

The Fund will hold between 20 and 40 securities with a tracking error target of 3.0 – 6.0% p.a.

The Fund can take long positions in listed Australian securities, as well as in securities expected to be listed on an Australian exchange. In addition, the Fund will seek to remain fully invested with an allowable maximum cash exposure of 5% of total assets at any one time.

Risks

Almost any investment involves risk and investors should be aware that investments will rise and fall in value. As a consequence, investors may lose capital or not receive a return over a given timeframe.

Eligible Investors

This Fund is restricted to Wholesale Clients (as defined in section 761G of the Corporations Act 2001).





Denis Donohue **Managing Director**

Denis became Managing Director of Solaris Investment Management in January 2008, after being Head of the 9 person team at Suncorp Investment Management responsible for managing equity investments in excess of \$5.5bn from 2004 until December 2007.

During his time in the Suncorp equities team, the funds' performance was in the top quartile of Australian equity managers for 3, 5 and 7 years to 30/9/07.

Denis has 24 years' financial, investment and business experience, the last 21 of which have been at Suncorp. He has been in the Investment Management division of Suncorp for 19 years, and has more than 10 years experience as an analyst, covering most sectors.

His career to date has also included being the portfolio manager for an unlisted infrastructure fund, and he has experience as an equities dealer, both physical and derivatives. He commenced his career as a financial analyst in the chartered accounting field.

Denis holds a Bachelor of Commerce from the University of Queensland, and is a Fellow of the Australian Society of CPAs.



Sean Martin **Analyst**

Sean was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5bn from 2001 until December 2007.

As an Analyst, he currently has full portfolio responsibility for all investments in the insurance, telecommunications, IT, paper, chemicals, diversified financials and segments of the small industrials sectors.

During his time in the Suncorp equities team, the funds' performance was in the top quartile of Australian equity managers for 3, 5 and 7 years to 30/9/07.

Prior to his time at Suncorp, Sean was an Analyst for Schroder Investment Management (Australia) Ltd for four years, where he had full portfolio responsibility for all investments in the banking and finance, insurance, developers, diversified industrials, alcohol, energy and segments of the small industrial sectors.

Sean spent the first years of his career working in the Chartered Accounting profession, before gaining international experience with a major international bank.

Sean holds a Bachelor of Commerce from the University of Queensland and a Diploma in Applied Finance through the Securities Institute of Australia. He is a member of the Institute of Chartered Accountants.



The Team

Will Earnshaw **Analyst**

Will was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5b from 2000 until December 2007.

As an Analyst, he has full portfolio responsibility for investments in the Banking, Healthcare, Media and Retail sectors.

During his time in the Suncorp equities team, the funds' performance was in the top quartile of Australian equity managers for 3, 5 and 7 years to 30/9/07.

Will spent the first 5 years of his career working in the Chartered Accounting profession, before gaining international financial markets experience as a risk analyst with Robert Fleming & Co and NatWest Equities in their OTC equity derivatives businesses.

Will holds a Bachelor of Commerce and Bachelor of Economics from the University of Queensland, and is an Associate of the Institute of Chartered Accountants in Australia. He holds a Graduate Diploma of Applied Finance and Investment from FINSIA and is a CFA charter holder.



Andrew Gatenby **Analyst**

Andrew was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5b from 2002 until December 2007.

As an Analyst, he has full portfolio responsibility for investments in the Energy, Utilities, Consumer Services, Capital Goods, Commercial Services and Infrastructure sectors.

Prior to joining Suncorp, Andrew spent 15 years in the agriculture industry holding several key positions, including Manager of Property Development and Environment at the AMP owned Stanbroke Pastoral, Australia's largest beef producer at the time and as Manager Agribusiness with Australian Country Choice.

Andrew holds a Bachelor of Commerce from Deakin University, as well as a Masters in Applied Finance from the Queensland University of Technology.





John Hodder *Analyst*

John was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5b from September 2006 until December 2007.

As an Analyst, he has full portfolio responsibility for the diversified metals and mining, aluminium, precious metals and steel sectors. John has over 20 years global finance industry experience.

John spent the early years of his career as a geologist in both Queensland and Western Australia, before moving to the UK. He spent twelve years as an analyst / economist in the minerals, oil and gas sectors, and spent time with Conoco (UK) Ltd, Lonegrove & Associates and CDC Capital Partners.

In January 2004, John jointly launched a mineral exploration company which floated on London's Alternative Investment Market in April 2005, before returning to Australia in September 2006.

John holds degrees in Science (Geology) and Commerce (Finance) from the University of Queensland, as well as a Masters in Finance from the London Business School.



Bernard Machen *Analyst*

Bernard was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5bn from December 1999 until December 2007.

As an Analyst, he has full portfolio responsibility for investments in the Real Estate Investment Trusts, Construction Materials and Food, Beverage & Tobacco.

Bernard was also solely responsible for a \$550M low tracking error Listed Property Fund which exceeded its performance hurdles for 7 consecutive years to 30 September 2007.

Before joining the Suncorp Equities team, Bernard spent 10 years in the Information Technology arena, with 6 of those working directly for the Suncorp Equities team designing Portfolio Management and Performance systems, and later managing the Investments Systems team.

Bernard holds a Bachelor of Business (Computing) from the Queensland University of Technology.



The Team

Rob Pownall **Portfolio Analyst**

Rob was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5bn from July 2006 until December 2007.

As a Portfolio Analyst, Rob is responsible for high-level analysis of client portfolios from an overall perspective, assisting other analysts with issues surrounding portfolio construction, including the use of quantitative risk analysis techniques. Rob's responsibilities also include enhancements and maintenance of various front-office systems owned and used by the team.

Prior to joining the investment management team, Rob spent 11 years in Suncorp's Information Technology area, holding the position of Systems Analyst, and specialising in investment and treasury applications.

Rob holds a Bachelor of Engineering – Electronic Systems and a Bachelor of Information Technology, both from the Queensland University of Technology.



Michael Bell **Head of Dealing**

Michael was a member of the 9 person Suncorp investment team responsible for managing equity investments in excess of \$5.5bn for 10 years.

As Head of Dealing, he is responsible for day to day management of the equity dealing desk and product specialist for the High Alpha and 130/30 portfolios.

During his time in the Suncorp equities team, the funds' performance was in the top quartile of Australian equity managers for 3, 5, and 10 years to 30/9/07.

Prior to his current role, Michael was an Portfolio analyst at Suncorp where he was responsible for quantitative analysis and product specialist for the High Alpha and After Tax portfolios.

Michael spent the first years of his career working in the back office at Suncorp settling trades and performing project work.

Michael has a Bachelor of Business - Accountancy from the Queensland University of Technology and a Graduate Diploma in Applied Finance through the Securities Institute of Australia.



The Team



Damien Keune **Dealer**

Damien was a member of the 9 person Suncorp team responsible for managing equity investments in excess of \$5.5bn since January 2006.

As a dealer, he was a key contributor to portfolio performance by efficient execution of Analyst orders.

Before joining the investment management team, Damien held various settlement, pricing and investment operational roles at Suncorp for a further 3 years. Prior to his time at Suncorp, Damien gained international experience as a senior Customer Service Consultant with Ample, a subsidiary of AMP in the United Kingdom.

Damien holds a Bachelor of Business from the University of Queensland, as well as Graduate Diploma in Applied Finance and Investment through FINSIA.



Glen Holding **Chief Operating Officer**

Glen joined Solaris Investment Management as Chief Operating Officer on 1 June 2009, transitioning from his two-year role with WIG/Pinnacle Investment Management as Co-ordinator of Operations and Finance.

Prior to his time at WIG/Pinnacle, Glen was Vice President of Operations at Credit Suisse Investment Services in both Guernsey and the Cayman Islands for five years. Glen spent the first years of his career working in the Chartered Accounting profession, before gaining international experience as a trust and fund accountant for the Bank of Bermuda in its Global Funds Services Division.

Glen holds a Bachelor of Commerce from the University of Queensland, and is a member of CPA Australia.



Joanne Francis **Client Service Administrator**

As client service administrator, Joanne assists with all facets of client service and administration.

Before joining Solaris, Joanne previously worked with the investment management team at Suncorp. She commenced in a PA role with the General Manager, before taking on the responsibility of Executive Assistant to Denis and the Equities team. Joanne has 14 years of administrative experience.

Joanne has an Associate Diploma of Business Administration.



The Team

Katherine Youhanna **Client Service & Marketing Consultant**

As Client Service & Marketing Consultant, Katherine is responsible for Solaris' client services including provision of monthly & quarterly reporting and attending to client, consultant and platform inquiries. Katherine manages the drafting of client agreements, offer documents and provides the documentation required to support business development. Developing the Solaris brand, together with producing targeted marketing and communication programs is also a key focus.

Prior to joining Solaris, Katherine spent nearly 4 years as Suncorp Investment Management 's Marketing & Client Services Manager in a similar capacity. Before this and over a period of 8 years, Katherine held business development and marketing roles with two successful mortgage funds. From 1997, Katherine was a qualified solicitor and held a practising certificate until 2002.

Katherine holds a Bachelor of Laws (Honours) from Bond University.



Ian Macoun **Chairman**

Ian was the driver for establishing Pinnacle Investment Management in 2006. Ian is Chairman and Managing Director of Pinnacle and is also Chairman of Solaris Investment Management.

Ian has broad investment, financial and business experience, including more than fifteen years as the CEO/Chief Investment Officer of investment management firms.

His career to date has included being the founding CEO of 'boutique' funds management firm Perennial, the founding CEO of QIC, and the CEO/CIO of Westpac Investment Management. Prior to joining the investment management industry Ian's public sector experience at Queensland Treasury was of a highly commercial nature, including substantial involvement with most major capital markets participants (both Australian and global), Suncorp, QIDC, the public trustee and major building societies, as well as establishing QIC.

Ian has a Bachelor of Commerce and a Master of Financial Management from the University of Queensland, a Diploma in Financial Services (Financial Planning), is a CFA Charter holder, and a Fellow of both the Australian Society of CPAs and the Australian Institute of Company Directors.



The Responsible Entity and Solaris

Solaris Investment Management Limited ABN 72 128 512 621 Australian Financial Services Licence ('AFSL') 330 505 ('Solaris') is the investment Fund Manager and WHTM Capital Management Limited, ABN 29 082 494 362 AFSL 238371, is the Responsible Entity ('RE') of the Solaris Core Australian Equity Fund and the Solaris High Alpha Australian Equity Fund.

Neither Solaris, WHTM Capital Management Limited, its associates or directors guarantee the success of the Funds, the repayment of capital or any particular rate of capital or income return.

How to Invest

Investment in either Solaris Fund can be made by contacting Solaris directly, subject to a minimum investment amount of \$2 million or as specified by the Responsible Entity.

Investing via Electronic Transfer Subject to:

- Receipt and acceptance of the Investor's completed Application Form; and
- The Investor's identity being properly verified in accordance with Anti-Money laundering legislation,

Solaris may accept investment funds through a variety of electronic methods. Where cleared funds are received in the applicable Solaris application account on a national business day before 12pm AEST, these funds will be invested by close of business that day and the Investor will receive the unit price calculated

at the close of business that day. If the funds are received after 12pm AEST on a national business day, the funds will be invested the following national business day and receive the unit price calculated at the close of business that day.

Please contact Solaris Client Services if you wish to invest via electronic transfer. Investments made via cheque may incur a 3 to 5 business day clearance period.

How to Withdraw

Written redemption requests should be lodged by fax or mail with Solaris prior to 12pm AEST on any business day. The redemption amount payable will be calculated using the unit price as at close of business on that day. If a redemption request is received after 12pm AEST or on a non business day, it will be deemed to be received the following business day, and the redemption amount payable will be calculated using the unit price for the following business day.

Solaris will endeavour to ensure that all redemption proceeds are paid within 7 days from the date of the redemption request. Investors should note however, that Solaris Funds' Constitutions allow up to 40 days for the payment of redemption proceeds.

Investor Information

The information in this information memorandum was prepared by Solaris Investment Management Limited. It is not intended as a securities recommendation and does not constitute an offer, invitation or statement of opinion intended to influence a person, or persons in

making a decision in relation to any Fund managed. No offer to invest will be accepted prior to receipt of cleared funds and completion of all appropriate documentation.

This document is not a Product Disclosure Statement issued under the Corporations Act. The Funds are not available to retail investors via this document. Solaris has in place a complaints handling procedure.

Solaris Investment Management Limited

ABN 72 128 512 621

WHTM Capital Management Limited

AFSL Number 238371

Contact Details

For information on Solaris please contact:

Solaris Client Services

Level 24 Comalco Place
12 Creek Street Brisbane Qld 4000
GPO Box 922, Brisbane Qld 4001

Tel: 07 3259 7600

Fax: 07 3259 7690

Email: enquiries@solariswealth.com.au

Web: www.solariswealth.com.au



Completing the Application Form

Tax File Number

Investors have the choice of whether or not to quote their Tax File Number (TFN) when the Investor opens a Fund account. The Investor does not have to quote a TFN, but it is a requirement of relevant taxation laws that the Responsible Entity withhold tax (plus Medicare levy) from income distributions to the Investor if the Investor has not quoted their TFN or provided appropriate exemption information. Collection of TFN information is authorised and its use and disclosure are strictly regulated by the taxation laws and the Privacy Act. If you are exempt from quoting a Tax File Number, please quote the equivalent ATO code in the TFN space provided (e.g. Aged pension = 444 - 444 - 441).

Privacy

When Investors apply to invest in the Funds they acknowledge and agree that:

- a) they are required to provide WHTM Capital Management Limited with certain Personal Information to facilitate this application; and
- b) WHTM Capital Management Limited may be required to disclose this information to:
 - i.) third party entities carrying out functions on behalf of WHTM Capital Management Limited on a confidential basis;
 - ii.) third parties if that disclosure is required by or to the extent permitted by law; and
- c) the Personal Information provided may be made available to any entity carrying out functions on behalf of WHTM Capital Management Limited.

All Personal Information will be collected, used and stored by WHTM Capital Management Limited in accordance with the Wilson HTM Privacy Policy, a copy of which is available to you on request or may be viewed at www.wilsonhtm.com.au

Anti-Money Laundering/ Counter Terrorism Financing

The prevailing anti-money laundering legislation requires that the identity of an investor is verified. Without this information we may not be able to deal with you and monies cannot be paid to you if and when investments are realised. Solaris and WHTM Capital Management Limited may require additional information to verify the identity of an investor, any underlying beneficial owner of units in a fund or trust and the source of any payment. Where we request such information from you, processing of new applications may be delayed until the requested information in a satisfactory form is received.

Please complete the section of the Application Form which applies to you and then return the signed form with the relevant document(s) to the address provided.

Personal Details

Insert your name and personal details into the spaces provided in the Application Form. For joint applications the names of all applicants must be included. A company must provide its Australian Business Number. Please provide information on your residency.



Investor Representations and Warranties

You represent, warrant and agree for the benefit of the Fund in which you are investing, the Responsible Entity and their respective related bodies corporate and any officers, employees, agents or advisers of any of them (“affiliates”) that:

- a) You agree to be bound by the provisions of the relevant Fund Constitution;
- b) If you are in Australia, you are a Wholesale Client:
 - i) as defined by section 761G of the Corporations Act;
- c) If you are outside Australia, you are a person to whom an invitation or offer to subscribe for Units in the manner contemplated by this Application is permitted by the laws of the jurisdiction in which you are situated and to whom the Application can lawfully be issued under all applicable laws, without the need for any registration, filing or lodgement;
- d) You confirm that you are in compliance with all relevant laws and regulations (including, without limitation, the requirements of the Corporations Act) and will not cease to be in compliance if you accept your allocation of Units;
- e) You authorise the use of the TFN information provided on the Application Form in respect of your Fund account;
- f) You acknowledge that neither the Responsible Entity nor its respective holding companies and officers, nor the trustee of those investments, guarantees the capital invested by Investors or the performance of the specific investments of any Fund;
- g) You acknowledge that the provision of the products available through the Fund should not be taken as the giving of investment advice by the Responsible Entity, as the Responsible Entity is not aware of the Investor’s investment objectives, financial position or particular needs;
- h) You acknowledge that you are responsible for ensuring that the information on the Application Form is complete and correct;
- i) You acknowledge this document does not constitute a Product Disclosure Statement issued pursuant to the Corporations Act;
- j) You have such knowledge and experience in financial and business matters that you are capable of evaluating the merits and risks of a purchase of the Units and you acknowledge that an investment in the Fund involves a degree of risk;
- k) You have the financial ability to bear the economic risk of the investment in the Fund;
- l) You have had access to all information that you believe is necessary or appropriate in connection with your application for Units. You acknowledge and agree that you will not hold the Responsible Entity or any of their affiliates responsible for any misstatements in, or omissions from, any publicly available information concerning the Fund;
- m) You have made and relied upon your own assessment of the Fund and have conducted your own investigation with respect to the Application and the Fund including, without limitation, the particular tax consequences of subscribing, owning or disposing of the Units in light of your particular situation as well as any consequences arising under the laws of any other taxing jurisdiction;
- n) Except to the extent that liability cannot by law be excluded, you acknowledge that none of the directors, officers, employees or advisers of the Responsible Entity or the Fund, or any of their respective related bodies corporate, accept any responsibility in relation to the Application;
- o) You acknowledge that the Application is being issued to you under section 1012D of the Corporations Act;
- p) You acknowledge that the Fund, the Responsible Entity and their affiliates will rely upon the truth and accuracy of the foregoing acknowledgments, representations, warranties and agreements. You indemnify the Fund, the Responsible Entity and their affiliates against any loss, damage or costs incurred and arising out of or in relation to any breach by you of the acknowledgments, representations, warranties and agreements; and
- q) You agree that WHTM Capital Management Limited, may:
 - i) require you to provide any additional documentation or other information and perform any acts to enable compliance with any laws relating to anti-money laundering and counter terrorism financing (AML) or any other law;
 - ii) at its absolute discretion and without notice to you, take any action it considers appropriate, including blocking or delaying transactions on your Account or refuse to provide services to you to comply with any law relating to AML or any other law;
 - iii) in its absolute discretion and without notice to you report any, or any proposed transaction or activity to any body authorised to accept such reports relating to AML or any other law.



Completing the Application Form

Category of Acceptable Referees

Certified copy means a document that has been certified as a true copy of an original document by one of the following referees:

1. a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described);
2. a judge of a court;
3. a magistrate;
4. a chief executive officer of a Commonwealth court;
5. a registrar or deputy registrar of a court;
6. a Justice of the Peace (including a Commissioner of Declaration);
7. a notary public (for the purposes of the Statutory Declaration Regulations 1993);
8. a police officer;
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
10. a permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955);
12. an officer with 2 or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);
13. a finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993);
14. an officer with, or authorised representative of, a holder of an Australian Financial Services Licence, having 2 or more continuous years of service with one or more licensees.
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

Certified extract means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described in points 1 – 15.

Please note that pharmacists are not an acceptable referee under Anti-Money Laundering legislation in Australia.



Completing the Application Form

Correct Forms of Registrable Names

An application must be signed in the name(s) of natural persons, companies or other legal entities. At least one name given in full and the surname is required for each natural person.

The name of the beneficiary or any other non-registrable name may be included by way of an account designation if completed exactly as described in the examples of correct forms of registrable names below.

Type of investor	Application Form Section	Correct form of Registrable Title
Individual or Joint Applicants <ul style="list-style-type: none"> • Use given names in full • Do not use initials 	A & B	Mr John Alfred Smith and Mrs Mary Anne Smith
Partnerships <ul style="list-style-type: none"> • Use partners' personal names • Do not use the name of the partnership 	E, A & B	Mr John Smith and Mr Michael Smith < John Smith and Son A/C >
Minor (a person under the age of 18) <ul style="list-style-type: none"> • Use the name of a responsible adult • Do not use the name of the minor 	A & B	Mr John Alfred Smith < John Smith >
Company <ul style="list-style-type: none"> • Use company title • Do not use abbreviations 	C, A & B	ABC Pty Ltd
Trusts <ul style="list-style-type: none"> • Use trustee(s) personal name(s) • Do not use the name of the trust 	D, A & B & C (if necessary)	Mrs Sue Smith < Sue Smith Family A/C >
Deceased Estates <ul style="list-style-type: none"> • Use executor(s) personal name(s) • Do not use the name of the deceased 	A & B	Ms Jane Smith < Est John Smith A/C >
Association <ul style="list-style-type: none"> • Use office bearer(s) personal name(s) • Do not use the name of the club, etc. 	F, A & B	Mr Michael Smith < ABC Tennis Association A/C >
Superannuation Funds <ul style="list-style-type: none"> • Use name of trustees and fund • Do not use the name of fund only 	D, A & B & C (if necessary)	Mr John Henry Smith and Mrs Susan Jane Smith < J & S Smith Super Fund A/C >
Co-operative <ul style="list-style-type: none"> • Use name of co-operative • Do not use abbreviations 	F, A & B	ABC Co-operative Limited
Government Body <ul style="list-style-type: none"> • Use name of government body 	G	ABC Department or Department of ABC



Completing the Application Form

Type of Investor	Sections to be Completed in Application Form	Verification Required
Individuals/Joint Applicants	<input type="checkbox"/> Section 1 <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 2 <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 13 <input type="checkbox"/> Section 7 (if applicable) <input type="checkbox"/> Section 11	Refer Section "A" on Page 1b. For joint applicants, ID is required for both parties
Company		
Listed/Licensed Australian Companies	<input type="checkbox"/> Section 3(a) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 2 <input type="checkbox"/> Section 11 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 9 (if applicable)	Refer Section "B" on Page 1b
Listed/Licensed Australian Registered Foreign Companies or their Majority Owned Subsidiaries	<input type="checkbox"/> Section 3(a) <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 3(b) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 2 <input type="checkbox"/> Section 11	Refer Section "C" on Page 1b
Private and Unlisted/Unlicensed Public Australian Companies	<input type="checkbox"/> Section 3(a) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 2 <input type="checkbox"/> Section 11 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 9 (if applicable)	Refer Section "D" on Page 2b
Private and Unlisted/Unlicensed Public Foreign Companies	<input type="checkbox"/> Section 3(a) <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 3(b) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 1 (for each director) <input type="checkbox"/> Section 11 <input type="checkbox"/> Section 2	Refer Section "E" on Page 2b
Foreign Companies not registered in Australia	<input type="checkbox"/> Section 3(a) <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 3(b) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 1 (for each director) <input type="checkbox"/> Section 11 <input type="checkbox"/> Section 2	Refer Section "F" on Page 2b
Trusts		
Regulated Trust (e.g. Self Managed Super Fund) (e.g. APRA, ATO, ASIC regulated)	<input type="checkbox"/> Section 4 <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 2 <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 8 (if applicable) <input type="checkbox"/> Section 11	Refer Section "G" on Page 3b
Government Superannuation Fund	<input type="checkbox"/> Section 4 <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 2 <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 8 (if applicable) <input type="checkbox"/> Section 11	Refer Section "G" on Page 3b
All Other Trust Types	<input type="checkbox"/> Section 2 <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 4 <input type="checkbox"/> Section 11 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 9 (if applicable)	Refer Section "H" on Page 3b
Partnerships	<input type="checkbox"/> Section 5 <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 1 (for each partner) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 2 (for partnership) <input type="checkbox"/> Section 11	Refer Section "I" on Page 3b
Association/Registered Co-operative/ Government Body	<input type="checkbox"/> Section 6 <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 1 (for each partnership secretary or treasurer) <input type="checkbox"/> Section 10 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 2 (for association) <input type="checkbox"/> Section 11	Refer Section "J", "K" or "L" as applicable on Pages 3b and 4b
Minor/Deceased Estate	<input type="checkbox"/> Section 7 <input type="checkbox"/> Section 9 (if applicable) <input type="checkbox"/> Section 12 <input type="checkbox"/> Section 1 (for each trustee) <input type="checkbox"/> Section 11 <input type="checkbox"/> Section 14 <input type="checkbox"/> Section 2	Refer Section "A" and either "M" or "N" as applicable on Pages 1b and 4b
Power of Attorney	Complete Sections as required above for the Investor on whose behalf the attorney is acting.	Investor type verification and Refer Section "O" on Page 4b



Solaris Core Australian Equity Fund
ARSN 128 859 898 APIR WHT009AU

Solaris High Alpha Australian Equity Fund
ARSN 128 860 159 APIR WHT0010AU

WHTM Capital Management Limited AFSL Number 238371
August 2009

A completed application is an instruction to invest in the Fund(s) identified in Section 10 of this application form. Please complete the sections of the form that apply to you and return the signed form with the relevant document/s to:

Solaris Client Services
GPO BOX 922
Brisbane Qld 4001

Please cross the boxes where appropriate.

Is this a: **New investment** **Additional investment?**

Section 1
Investor Details

Individual/Joint/
Trustee/Director/
Partnership/>25%
Shareholder

If existing Fund Investor - Investor #

INVESTOR 1

Mr Mrs Miss Ms Other (eg Dr)

Given Name(s)

Surname

Date of Birth

Occupation

Gender Male Female

RESIDENCY DETAILS

Are you an Australian resident for taxation purposes?
If no, please state your country of residency.

Yes No

Residential Street Address

State Post Code

Country

Tax File Number or Exemption Number

If previously an Australian resident, what was the date you became a non-resident?

Contact Person

(if different from above)

Mailing Address *

State Post Code

Country

Work Phone

Facsimile Number

Home Phone

Mobile Phone

Email

If existing Fund Investor - Investor #

INVESTOR 2

Mr Mrs Miss Ms Other (eg Dr)

Given Name(s)

Surname

Date of Birth

Occupation

Gender Male Female

RESIDENCY DETAILS

Are you an Australian resident for taxation purposes?
If no, please state your country of residency.

Yes No

Residential Street Address

State Post Code

Country

Tax File Number or Exemption Number

If previously an Australian resident, what was the date you became a non-resident?

Contact Person

(if different from above)

Mailing Address *

State Post Code

Country

Work Phone

Facsimile Number

Home Phone

Mobile Phone

Email

Section 2
Contact Details

All Applicants to
Complete

* PO Boxes and/or C/- addresses without proof of residential address cannot be accepted.

Section 3
Company Details

Private/Public

3(a) COMPANY (if applicable)

Name of Company

Tax File Number or Exemption Number

Australian Business Number

Other Identification Number

Registered Address

Mailing Address*

State

Post Code

State

Post Code

Country

Country

The Company is (as registered with registration body):

A Private Company

A Public Company

Other type of Company (please state)

For private companies, state the full name of each Director:

Director 1:

Director 2:

Director 3:

Director 4:

3(b) FURTHER INFORMATION FOR FOREIGN COMPANIES

Business Address in Australia (if applicable)

NOTE: Please also provide the full names and details of the relevant directors by completing Section 1 of the form (attach additional page(s) if necessary).

Country where company was formed, incorporated or registered:

If the company is registered by a foreign registration body, the name of the body and any registration number issued by the relevant foreign body:

Registration Number:

Section 4
Trust Details

Trust/Superannuation
Fund

4(a) GENERAL INFORMATION

Full name of Trust

Full business name (if any)

Country where Trust established

Tax File Number or Exemption Number

Type of Trust (select only one of the following trust types and provide the information requested).

Registered managed investment scheme Provide Australian Registered Scheme Number (ARSN)

Regulated trust (e.g. SMSF) Provide name of regulator (e.g. ASIC, APRA, ATO)

Provide the trust's ABN

or registration/licensing details

Government superannuation fund.

Provide name of the legislation establishing the Fund

**Other trust type

Trust description (e.g. Family, unit, charitable, estate)

* PO Boxes and/or C/- addresses without proof of residential address cannot be accepted **Please complete 4(b).

Section 4
Trust Details

(Continued)

4(b) TRUSTEE DETAILS

Provide full name, residential address and date of birth of each Trustee below.

Trustee 1 Full name(s) or company name.

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable).

State Post Code

Country

Date of Birth

Trustee 3 Full name(s) or company name.

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable).

State Post Code

Country

Date of Birth

Name of any Trust beneficiary or details of the class of beneficiaries.

Trustee 2 Full name(s) or company name.

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable).

State Post Code

Country

Date of Birth

Trustee 4 Full name(s) or company name.

Residential address if an individual trustee or company registered office address (PO Box is NOT acceptable).

State Post Code

Country

Date of Birth

Name of any Trust beneficiary or details of the class of beneficiaries.

Section 5
Partnership Details

PARTNERSHIP (if applicable)

NAME OF PARTNERSHIP

FULL REGISTERED BUSINESS NAME (IF ANY) OF PARTNERSHIP

COUNTRY WHERE PARTNERSHIP ESTABLISHED

NOTE: Please also provide the full names and details of the Partners in Section 1 of this form (attach extra page(s) if necessary).

Section 6
Association Details

Association/Registered
Co-operative/
Government Body

Please cross type of Investor

ASSOCIATION REGISTERED CO-OPERATIVE GOVERNMENT BODY

Name of Association/Registered Co-operative/Government Body

Tax File Number or Exemption Number

Australian Business Number

Other Identification Number

Registered Address

State

Post Code

Country

Section 6 Association Details (Continued)	Principal place of business/operations address (if same as registered address, please write 'AS ABOVE').	
	<input type="text"/>	
	State Post Code	
	Country	
	Full name of the association's President, Secretary and Treasurer (or other equivalent officers in each case).	
<input type="text"/>		
<input type="text"/>		
<input type="text"/>		
Please complete Section 1 with the full names and details of the President, Secretary or Treasurer (attach additional page(s) if necessary) and provide ID for one of the officers.		
The Government Body is an entity established under legislation of: <input type="checkbox"/> Commonwealth of Australia		
<input type="checkbox"/> State, Territory or foreign country (if so, name of state, Territory or foreign country) <input type="text"/>		
Section 7 Minor/Deceased Estate Person under 18/Name of Deceased	(if applicable please cross type of Investor)	
	ACCOUNT DESIGNATION: <input type="checkbox"/> MINOR <input type="checkbox"/> DECEASED ESTATE	
	Designation Name (full name of relevant minor or deceased person)	
<input type="text"/>		
Please provide the full names and details of the relevant Trustee(s) by completing Section 1 of the form.		
Section 8 Custodian	NAME OF CUSTODIAN	
	<input type="text"/>	
Please provide a copy of the document which evidences the custodian's appointment on behalf of the Investor (e.g. custody agreement) and a copy of the custodian's authorised signatory list.		
Section 9 Authorised Representative	AUTHORISED REPRESENTATIVE	
	Are you appointing an Authorised Representative? Yes <input type="checkbox"/> No <input type="checkbox"/>	
If yes, please complete Authorised Representative form on page 1b and provide identification as per Section "Q" on page 4c.		
Section 10 Investment and Income Distribution Details	INVESTMENT DETAILS	
	<input type="checkbox"/> New Investment <input type="checkbox"/> Additional Investment	
	Please make any cheques payable to 'Solaris Core Australian Equity Fund Application Account' OR 'Solaris High Alpha Australian Equity Fund Application Account' and crossed 'Not negotiable'. Direct deposits are not accepted unless by prior arrangement with Solaris. Please note that application funds will not be invested until a completed and signed Application Form is received and accepted.	
	Total investment amount (minimum \$2,000,000 for initial investments and \$50,000 for additional investments)	
	Solaris Core Australian Equity Fund (if applicable)	Solaris High Alpha Australian Equity Fund (if applicable)
	Amount <input type="text"/>	Amount <input type="text"/>
	Cheque drawer <input type="text"/>	Cheque drawer <input type="text"/>
	Bank transfer reference (if funds direct deposited) <input type="text"/>	Bank transfer reference (if funds direct deposited) <input type="text"/>
	TOTAL amount enclosed/transferred <input type="text"/>	
	INCOME DISTRIBUTION	
Please specify how you would like any income distributions from a Fund to be paid. Income is reinvested automatically by the Responsible Entity unless otherwise instructed.		
<input type="checkbox"/> Reinvested in the Fund <input type="checkbox"/> Credit to my/our nominated account (ensure Section 11 is completed)		

Section 11 Nominated Account Details	NOMINATED ACCOUNT DETAILS The following account will be credited for payment of distributions and redemptions (if applicable). Account Name <input type="text"/> Financial Institution <input type="text"/> Branch <input type="text"/> BSB Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Account Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>						
Section 12 Investor Communication	AUDITED FINANCIAL STATEMENTS The Funds' audited Annual Financial Statements are accessible in a cost effective and environmentally friendly manner online at www.solariswealth.com.au . Please choose an option below if you would like to receive a copy of the Annual Financial Statements: I/We elect to receive Annual Financial Statements via: Email <input type="checkbox"/> or Printed copy <input type="checkbox"/> If an option is not selected you will NOT be sent Annual Financial Statements, however you may still view them online at www.solariswealth.com.au .						
Section 13	DECLARATION – Individual / Joint applicants sign the Investor Declaration below. Other applicants sign the Corporate Declaration. I/We have read and understood the PDS to which this application relates and the declarations, conditions and acknowledgements contained under the heading 'Effect of the Application Form' and agree that they are incorporated in this declaration. I/We agree, acknowledge and accept them and declare that all the details given in this application are true and correct. I/We have received personally a complete and unaltered PDS prior to completing the Application Form. I/We certify that if we are signing under a power of attorney, the power of attorney has not been revoked.						
Investor Declaration	SIGNED BY INDIVIDUAL OR JOINT APPLICANTS <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="text"/> Signature </td> <td style="width: 50%; vertical-align: top;"> <input type="text"/> Signature </td> </tr> <tr> <td style="vertical-align: top;"> Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </td> <td style="vertical-align: top;"> Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </td> </tr> </table> For joint applicants, do both Investors need to sign subsequent authorisations? Yes <input type="checkbox"/> No <input type="checkbox"/> If no selection is made, it will be assumed either party can sign.	<input type="text"/> Signature	<input type="text"/> Signature	Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
<input type="text"/> Signature	<input type="text"/> Signature						
Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>						
Section 14 Corporate Declaration	CORPORATE DECLARATION – The Corporate Declaration is signed by applicant(s) other than an Individual or Joint Applicants. Name of Company/Trust or Superannuation Fund/Partnership/Association/Co-operative/Government Body <input type="text"/> Australian Business Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="text"/> Name 1 <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small> </td> <td style="width: 50%; vertical-align: top;"> <input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </td> </tr> <tr> <td style="vertical-align: top;"> <input type="text"/> Name 2 <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small> </td> <td style="vertical-align: top;"> <input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </td> </tr> </table> The Common Seal of the Company was hereunto affixed if applicable in the presence of <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="text"/> Name <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small> <input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </td> <td style="width: 50%; vertical-align: top;"> <input style="height: 100px;" type="text"/> </td> </tr> </table>	<input type="text"/> Name 1 <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small>	<input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> Name 2 <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small>	<input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> Name <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small> <input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input style="height: 100px;" type="text"/>
<input type="text"/> Name 1 <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small>	<input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>						
<input type="text"/> Name 2 <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small>	<input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>						
<input type="text"/> Name <input type="text"/> Capacity <small>(i.e. Trustee/Director/Secretary/Partner)</small> <input type="text"/> Signature Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input style="height: 100px;" type="text"/>						

Final steps

Please sign and return the completed Application Form and, if applicable, the relevant ID, cheque and Authorised Representative Form to:

FundBPO Pty Ltd
Attn: Solaris Funds
GPO Box 4968
Sydney NSW 2001

Notes

- (i) All applicants: This Application Form must be signed by the applicant(s) unless an acceptable power of attorney or other written authority is provided.
 - (ii) Corporate applicants: A corporate application should be signed by a duly authorised official (or officials) whose representative capacity must be stated.
 - (iii) Money laundering prevention: The prevailing anti-money laundering legislation requires that the identity of Investors be verified.
- Without this information redemption proceeds cannot be paid if and when holdings are redeemed.

Verification Sign Off

SOLARIS INVESTMENT MANAGEMENT LIMITED [OFFICE USE ONLY]

KYC requirements have been collected in accordance with WHTM Capital Management Limited guidelines.

Endorsement

Name

Signature

Date

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
D	D		M	M		Y	Y	Y	Y

Type of Investor	Section	Minimum Identification Required
Individuals/Joint Applicants	“A”	<p>Verify each Investor’s name, residential address and date of birth from:</p> <ul style="list-style-type: none"> a) an original or certified copy of a valid Driver’s Licence (Australian State or Territory, or Foreign Country equivalent) with photograph; or b) Passport issued by Australian Commonwealth or expired passport which has not been cancelled and was current within the preceding two years; or Passport or similar document issued for the purpose of international travel that contains a photograph and signature of the person and is issued by a foreign government, UN or UN Agency, with English translation provided by an accredited translator if not in English; <p>Or</p> <ul style="list-style-type: none"> c) Both: <ul style="list-style-type: none"> (i) an original or certified copy of a valid primary I.D. document: <ul style="list-style-type: none"> <input type="checkbox"/> National Identity Card with a photograph and signature issued by Australian Commonwealth, State or Territory; or <input type="checkbox"/> Foreign National Identity Card with a photograph and signature issued by a foreign government, UN or UN Agency, with English translation provided by an accredited translator, if not in English; or <input type="checkbox"/> Birth Certificate or birth extract issued by Australian State or Territory; or <input type="checkbox"/> Birth Certificate issued by foreign government, UN or UN Agency, with English translation provided by an accredited translator if not in English; or <input type="checkbox"/> Citizenship Certificate issued by Commonwealth government; or <input type="checkbox"/> Citizenship Certificate issued by foreign government, UN or UN Agency, with English translation provided by an accredited translator if not in English; or <input type="checkbox"/> Pension card issued by Centrelink; <p>And</p> <ul style="list-style-type: none"> (ii) an original or certified copy of a valid secondary I.D. document: <ul style="list-style-type: none"> <input type="checkbox"/> notice issued to an individual by Centrelink within preceding 12 months which records the provision of financial benefits to an individual and the individual’s name and residential address; or <input type="checkbox"/> notice of a foreign welfare department equivalent within preceding 12 months which records the provision of financial benefits to an individual and the individual’s name and residential address; or <input type="checkbox"/> notice issued to an individual by the ATO or relevant foreign Taxation authority within the preceding 12 months which records the name and residential address of the individual; or <input type="checkbox"/> notice issued to an individual by a local government body or utilities provider within preceding three months which records the provision of services to that residential address or that individual; or <input type="checkbox"/> For persons under 18, a notice issued by a school principal within the preceding three months containing the name of the person and his or her residential address and recording the period of time that the person attended the school.
Listed or Licensed Companies	“B”	<p>Original or certified copies of:</p> <p>Domestic Company</p> <ul style="list-style-type: none"> <input type="checkbox"/> a search of the relevant ASIC database or relevant stock exchange or other appropriate document(s) including reliable independent electronic data (e.g. Dun & Bradstreet report); <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> That the company is a listed public company, a majority owned subsidiary or a domestic listed public company or licensed and subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator in relation to its activities as a company.
	“C”	<p>Australian Registered Foreign Company</p> <ul style="list-style-type: none"> <input type="checkbox"/> a search of the relevant ASIC or other government database, a search of the relevant foreign stock exchange, a search of the licence or other records of the relevant regulator or other appropriate document(s) including reliable independent electronic data (e.g. Dun & Bradstreet report); or <input type="checkbox"/> Certificate of Incorporation or recent extract of public company register or document issued by the foreign government (including a registration certificate).

Type of Investor	Section	Minimum Identification Required
Listed or Licensed Companies (continued)	“C”	<p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> that the company is a listed public company, a majority owned subsidiary or a listed public company or licensed and subject to the regulatory oversight of statutory regulator in relation to its activities as a company; and <input type="checkbox"/> registered company address.
Private and Unlisted/ Unlicensed Public Companies	“D”	<p>Original or certified copies of:</p> <p>Domestic Company</p> <ul style="list-style-type: none"> <input type="checkbox"/> a Certificate of Incorporation, recent registration certificate, search of the relevant ASIC database, or other appropriate document(s) including reliable independent electronic data (e.g. Dun & Bradstreet report); <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the full name of the company as registered by ASIC; and <input type="checkbox"/> whether the company is registered by ASIC as a private company or public company; and <input type="checkbox"/> the ACN issued to the company;
	“E”	<p>Australian Registered Foreign Company</p> <ul style="list-style-type: none"> <input type="checkbox"/> a Certificate of Incorporation, recent registration certificate, search of the relevant ASIC database, search of the licence or other records of the relevant regulator, other appropriate document(s) including reliable independent electronic data (e.g. Dun & Bradstreet report); <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the full name of the company as registered by ASIC; and <input type="checkbox"/> ARBN issued; and <input type="checkbox"/> whether the company is registered by ASIC as a private company or public company; and <input type="checkbox"/> registered company address; and <input type="checkbox"/> full address of the company in its country of formation, incorporation or registration; and <input type="checkbox"/> the full name of each director; <p>And</p> <ul style="list-style-type: none"> <input type="checkbox"/> in respect of one of the directors, identification as per individual requirements.
Foreign Companies not registered in Australia	“F”	<p>Unregistered Foreign Company</p> <ul style="list-style-type: none"> <input type="checkbox"/> Foreign registration certificate, Certificate of Incorporation, recent extract of company register; or <input type="checkbox"/> other appropriate document(s) including a search of the relevant government database, a search of the relevant stock exchange, a search of the licence or other records of the relevant regulator, or other appropriate document(s) including reliable independent electronic data (e.g. Dun & Bradstreet report); <p>Evidencing:</p> <p>Full name of Company</p> <ul style="list-style-type: none"> <input type="checkbox"/> whether the company is a Public or Private Company; and <input type="checkbox"/> any ID number issued by the company by the relevant foreign registration body; and <p>And for Unlisted Companies:</p> <ul style="list-style-type: none"> <input type="checkbox"/> in respect of one of the directors, identification as per individual requirements.

Type of Investor	Section	Minimum Identification Required
Regulated Trust and Superannuation Funds	“G”	<p><i>Registered managed investment schemes, regulated trusts and Government Superannuation Funds.</i></p> <p>Original or certified copies of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> a search of the relevant regulator eg: ASIC, ATO, APRA etc; <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the registered or regulated status of the entity. <p>And</p> <p><i>For Self Managed Superannuation Funds.</i></p> <p>Original or certified copies of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> ATO database search or the trust or superannuation deed; <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> name of the trust and names of the trustees.
Non Regulated Trusts	“H”	<p>Original or certified copies of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the trust or superannuation deed; <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> name of the trust and names of trustees <input type="checkbox"/> names of all beneficiaries where beneficiaries are named. <p>Or</p> <ul style="list-style-type: none"> <input type="checkbox"/> details of the class of beneficiaries where a class is described. <p>And</p> <p>In respect of one of the trustees:</p> <ul style="list-style-type: none"> <input type="checkbox"/> if the trustee is an individual, then ID required as the individual requirements; or <input type="checkbox"/> if the trustee is a company, then ID required as the company requirements.
Partnership	“I”	<p>Certified copy or extract of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> partnership agreement; or <input type="checkbox"/> the minutes of a partnership meeting approving the establishment of the business relationship; or <input type="checkbox"/> if partnership is regulated by a professional association, then a search of the current membership directory; or <input type="checkbox"/> original or certified copy of a certificate of registration of business name issued by a government body; <p>And</p> <ul style="list-style-type: none"> <input type="checkbox"/> in respect of one of the partners, identification as per the individual requirements.
Association	“J”	<p>Original or certified copies of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> constitution or rules of association or a certified copy of constitution or rules of association; or <input type="checkbox"/> minutes of meeting of the association; or <input type="checkbox"/> information provided by ASIC (ASIC search) by State or Territory bodies responsible for the incorporation of the association; <p>Evidencing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the full name of association; and <input type="checkbox"/> any unique identifying number issued upon incorporation; <p>And</p> <ul style="list-style-type: none"> <input type="checkbox"/> in respect of the president, secretary or treasurer, identification as per individual requirements.

Type of Investor	Section	Minimum Identification Required
Registered Co-operative	“K”	Original or certified copies of: <ul style="list-style-type: none"> <input type="checkbox"/> any register maintained by the co-operative or a certified copy or extract of any register; or <input type="checkbox"/> any minutes of meetings of the co-operative or a certified copy or extract of any minutes; or <input type="checkbox"/> information provided by ASIC or by the State, Territory or overseas body responsible for the co-operative; Evidencing: <ul style="list-style-type: none"> <input type="checkbox"/> full name of co-operative; and <input type="checkbox"/> any unique identifying number issued upon incorporation; And <ul style="list-style-type: none"> <input type="checkbox"/> in respect of the president, secretary or treasurer, identification as per the individual requirements.
Government Bodies	“L”	Original or certified copies of: <ul style="list-style-type: none"> <input type="checkbox"/> a copy of relevant extract of the legislation under which the Government body is established; or <input type="checkbox"/> review of the relevant Commonwealth, State, Territory or foreign country register of Government bodies; or <input type="checkbox"/> search of the relevant Commonwealth, State, Territory or foreign country website; Evidencing: <ul style="list-style-type: none"> <input type="checkbox"/> full name of government body; and <input type="checkbox"/> full address of government body’s principal place of operations; and <input type="checkbox"/> whether the government body is an entity established under legislation of the Commonwealth of Australia, State; Territory or foreign country.
Minor	“M”	<ul style="list-style-type: none"> <input type="checkbox"/> Identification as per Section “A” for trustee; and <input type="checkbox"/> Identification as per Section “A” for minor.
Deceased Estate	“N”	<ul style="list-style-type: none"> <input type="checkbox"/> Identification as per Section “A” for trustee; and Original or certified copies of: <ul style="list-style-type: none"> <input type="checkbox"/> last Will and Testament of deceased; and <input type="checkbox"/> death certificate; or <input type="checkbox"/> Grant of Probate.
Power of Attorney	“O”	Original or certified copies of: <ul style="list-style-type: none"> <input type="checkbox"/> Power of Attorney document and a specimen signature of the relevant attorney(s) (where applicable); And <ul style="list-style-type: none"> <input type="checkbox"/> in respect of the attorney, identification as per individual requirements.

Category of Acceptable Referees

Certified copy means a document that has been certified as a true copy of an original document by one of the following referees:

1. a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described);
2. a judge of a court;
3. a magistrate;
4. a chief executive officer of a Commonwealth court;
5. a registrar or deputy registrar of a court;
6. a Justice of the Peace (including a Commissioner of Declarations);
7. a notary public (for the purposes of the Statutory Declaration Regulations 1993);
8. a police officer;
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public;
10. a permanent employee of the Australian Postal Corporation with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the Consular Fees Act 1955);
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993);
13. a finance company officer with 2 or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993);
14. an officer with, or authorised representative of, a holder of an Australian Financial Services Licence, having 2 or more continuous years of service with one or more licensees; or
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with 2 or more years of continuous membership.

Certified extract means an extract that has been certified as a true copy of some of the information contained in a complete original document by one of the persons described in points (1) - (15).

Please note that pharmacists are not an acceptable referee under Anti-Money Laundering legislation in Australia.

For documents certified outside Australia the following persons may certify:

1. a legal practitioner enrolled in the country of certification;
2. the equivalent of a judge, magistrate or registrar of a court in the country of certification;
3. a Justice of the Peace;
4. a notary public;
5. an Australian consular worker or diplomatic officer in the country of certification;
6. a chartered accountant in the country of certification; or
7. a police officer in the country of certification.

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