



17 June 2022

Allfin Capped Interest Fund - Series 1
ABN 87 581 349 841

All holding related enquiries:
MARQ Private Registry Pty Ltd
registry@marq.com.au
03 9005 9282
www.marq.com.au

MRS ANNETTE MARY HARDIE + MR ROLAND LOVEL HARDIE
<RL & AM HARDIE SUPERANNUATION FUND>
55 CLOTILDE ST
MOUNT LAWLEY WA 6050

Invoice number: 000023200

Date: 17/06/2022

Invoice

Thank you for applying to invest in the Allfin Capped Interest Fund - Series 1. The total commitment you have made is for AUD 378,185.00. The table below details how much is payable now.

If the application is successful, a holding statement and instructions on how to access our online investor centre will be emailed to you.

If the application is unsuccessful or scaled back, we will return the relevant payment amount.

Description	Amount
Ordinary Units	AUD 378,185.00
Total	AUD 378,185.00

Pay by:

BPAY



Biller Code: 76562
Ref: 865109809

Telephone & Internet Banking - BPAY®

Contact your bank or financial institution to make this payment from your cheque, savings, debit or transaction account. More info: www.bpay.com.au



Application details

Issuer: Allfin Capped Interest Fund - Series 1
Security: Ordinary Units
Submitted on: 17/06/2022
This document produced: 17/06/2022 (IP address: 101.187.161.37)

Investment amount

Total investment amount: AUD 378,185.00
Payable now: AUD 378,185.00
Payable later: AUD 0.00

Investor contact details

Mrs Annette Mary Hardie + Mr Roland Lovel Hardie <RL & AM Hardie Superannuation Fund>
RAESZH@BIGPOND.NET.AU
+61433366180

Investor details

Top-up for an existing holding

Holding name: Mrs Annette Mary Hardie + Mr Roland Lovel Hardie
HIN/SRN: I90006661263

Tax details

Submitted by: Mrs Annette Mary Hardie + Mr Roland Lovel Hardie <RL & AM Hardie Superannuation Fund>
Date: 17/06/2022

Terms & Conditions of the offer

Declaration

A capitalised term not otherwise defined in this Declaration has the meaning given to it in the constitution establishing and governing the Fund (Constitution).

When you complete this Application, you make the following declarations:

- I/we have read and understood the Information Memorandum (IM) to which this Application applies including any supplemental information, and acknowledge that to the extent of any inconsistency between the IM and the Constitution, the terms of the Constitution prevail;
- I/we understand the IM supersedes all preliminary information and other previous communications in connection with the Fund and that all such preliminary information and previous communications has been disregarded;
- I/we have received and accepted the opportunity to invest in the Fund in Australia and represent and warrant to MARQ Private Funds Pty Ltd (ACN 604 351 591) (Trustee) that I/We are permitted to invest in the Fund without the Fund or Trustee obtaining any further authorisation, registration, certification in any country other than Australia and agree to indemnify the Trustee and Allfin Management Services Pty Ltd (ACN 628 072 177) (Manager) for any loss they suffer if the warranty is untrue;
- The information provided in this Application is true, correct and complete in all respects;
- I/we agree to be bound by the provisions of the Constitution governing the Fund and the terms and conditions of the IM

as amended from time to time;

- I/we acknowledge that none of the Trustee, the Manager nor their related bodies corporate, officers, employees, consultants, advisers or agents, guarantees the performance of the Fund, the repayment of capital invested in the Fund or the payment of distributions other than as set out in the IM;
- I/we have read and understood the risks set out in the IM, and acknowledge that an investment in the Fund is subject to risks, including risk that an investment in the Fund may result in a reduction in, or total loss of, the capital value of the investment, returns that are less than expected or delays in repayment of capital;
- I/we acknowledge the Trustee reserves the right to reject any application in whole or in part in its absolute discretion;
- I/we warrant and represent to the Trustee and Manager that I/we have undertaken my/our own due diligence in relation to an investment in the Fund, including (without limitation) in relation to the structure of the Fund and the likelihood of returns from the Fund;
- I/we have obtained my/our own independent financial, taxation and legal advice prior to investing in the Fund;
- If I/we are a company or body corporate, that company or body corporate is duly registered and validly existing under the laws of its place of incorporation;
- I/we acknowledge any unit in the Fund (Unit) may not be transferred, secured, realised or otherwise disposed of, and the Trustee is not required to redeem or buy back any Unit, except in accordance with the Constitution;
- If I/we are the trustee(s) of a trust (Investor Trust), the trustee of the Investor Trust further represents and warrants that:
 - o it is the sole trustee of the Investor Trust;
 - o the Investor Trust is duly constituted and has not terminated, nor has the date or any event occurred for the vesting of the Investor Trust assets;
 - o the trust deed relating to the Investor Trust was properly executed and appropriately stamped;
 - o nothing in the trust deed relating to the Investor Trust affects the representations and warranties made in this deed or the ability of the applicant to perform its obligations under this Application;
 - o it is validly appointed trustee of the Investor Trust in accordance with the terms of the trust deed relating to the Investor Trust;
 - o it is not in default under the terms of the trust deed relating to the Investor Trust and it has no notice of any circumstances which will or are reasonably likely to lead to the removal of the Applicant as trustee of the Investor Trust;
 - o it has the right to be fully indemnified out of the assets of the Investor Trust in respect of all its obligations and liabilities under this Application;
 - o it has full legal capacity and power under the trust deed relating to the Investor Trust, as trustee of the Investor Trust, to own the Investor Trust assets and carry on the business of the Investor Trust as it is now being conducted; sign this Application; and perform its obligations under this Application;
 - o all action has been taken that is necessary or desirable under the trust deed relating to the Investor Trust or at law to authorise it entering into this Application and carrying out the transactions contemplated by it; ensure that this document is legal, valid and binding on it as trustee of the Investor Trust and admissible in evidence against it in that capacity; and enable it to properly carry on the business of the Investor Trust.
- If this Application is signed under Power of Attorney, each Attorney declares he/she has not received notice of revocation of that power;
- I am/we are over 18 years of age and I/we are eligible to hold Units in the Fund;
- I/we have all requisite power and authority to execute this Application and make the investment in the Fund as set out in this Application;
- I/we acknowledge that application monies will be held by the Trustee in an interest bearing trust account until invested

in the Fund or returned to me/us. Any interest earned on application monies will belong to the Trustee and will not be returned to me/us, even if my/our application is rejected in whole or in part;

- I/we have read the information on privacy and personal information contained in the IM and consent to my/our personal information being used and disclosed as set out in the IM and the Trustee's privacy policy, and that until I/we inform the Trustee otherwise, I/we will be taken to have consented to all uses of our personal information contained under that heading;
- I/we acknowledge that:
 - o the Trustee, the Manager and their related bodies corporate, officers, employees, consultants, advisers or agents (the Discloser) may disclose, in relation to each applicant that is a natural person, and to each Beneficial Owner [1] of the applicant (each a Relevant Person), their name, residential address and/or date of birth (Personal Information) to a credit reporting body (CRB) for the purpose of electronically verifying the Relevant Person's identity, as required by the AML/CTF Law;
 - o the Discloser may request the CRB to provide an assessment of whether the Personal Information disclosed matches (in whole or in part) the information held by the body;
 - o the CRB may use information held about the Relevant Person, and information held about other individuals, for the purpose of making such an assessment;
 - o the assessment will consist of an overall assessment of the extent of the match between the Personal Information disclosed by the Discloser and the information held by the CRB and will not include separate assessments of the match between particular categories of that information;
 - o the assessment will be provided to the Discloser for the sole purpose of verifying the Relevant Person's identity. If the Discloser is unable to verify the Relevant Person's identity using information held by a CRB, the Discloser will provide the Relevant Person with a notice to this effect and the name of the CRB and give the Relevant Person the opportunity to contact the CRB to update its information;
 - o records of the verification request will be made by the Discloser and the CRB and retained for 7 years from the date of the request and for 7 years after the Discloser ceases to provide services to the Relevant Person. The records can be accessed by the Relevant Person at the Relevant Person's request;
 - o by signing this Application, the Relevant Person is providing its express consent to the Discloser making such a request and disclosing the Relevant Person's Personal Information to a CRB;
 - o if a Relevant Person does not wish to consent, alternative means of verifying the Relevant Person's identity, not reliant upon credit reporting information, are available at the Relevant Person's request;
- I/we acknowledge that the Trustee may deliver and make reports, statements and other communications available in electronic form, such as e-mail or by posting on a website;
- I/we indemnify the Trustee, the Manager and each of their related bodies corporate, officers, employees, consultants, advisors, agents and permitted delegates (together, the Indemnified Parties) and hold each of them harmless from and against any loss, damage, liability, cost or expense, including reasonable legal fees due to or arising out of a breach of representation, warranty, covenant or agreement by me/us contained in any document provided by me/us to either the Trustee or the Manager, their representatives, agents or other parties in connection with my/our investment in the Fund;
- The indemnification obligations provided herein survive the execution and delivery of this Application, any investigation at any time made by the Trustee and the issue and/or sale of the investment;
- To the extent permitted by law, I/we release each of the Indemnified Parties from all claims, actions, suits or demands whatsoever and howsoever arising that I/we may have against any Indemnified Party in connection with the IM or my/our investment;
- Other than as disclosed in this Application, no person or entity controlling, owning or otherwise holding an interest in

me/us is a United States citizen or resident of the United States for taxation purposes (US Person);

- I/we will promptly notify the Trustee of any change to the information I/we have previously provided to the Trustee, including any changes which result in a person or entity controlling, owning or otherwise holding an interest in me/us who is a US Person;
- I/we consent to the Trustee disclosing any information (including to the Australian Taxation Office) required by the Trustee to comply with its due diligence and reporting obligations under "Agreement between the Government of Australia and the Government of the United States of America to improve international tax compliance and to implement FATCA" (signed 28 April 2014) and any related Australian law and guidance implementing the same (together, the IGA);
- I/we acknowledge that the collection of my/our personal information may be required by the Financial Transaction Reports Act 1988, the Corporations Act 2001, the Income Tax Assessment Act 1936, the Income Tax Assessment Act 1997, the Taxation Administration Act 1953, the IGA and the Anti-Money Laundering and Counter-Terrorism Financing Act 2006;
- I/we acknowledge there is no requirement and it is not an offence if I do not provide the Trustee with a Tax File Number (TFN) or to quote a TFN exemption or ABN, however if I/we choose not to the Trustee may be required to deduct tax at the highest marginal rate plus the Medicare Levy from my/our distributions (if applicable);
- I am/we are not aware and have no reason to suspect that the monies used to fund my/our investment in the Fund have been or will be derived from or related to any money laundering, terrorism financing or similar or other activities illegal under applicable laws or regulations or otherwise prohibited under any international convention or agreement (AML/CTF law);
- I/we will provide the Trustee with all additional information, documentation and assistance that the Trustee may request in order for the Trustee to comply with any AML/CTF Law and the IGA;
- In the case of a company/partnership/trust/joint applicant, I/we authorise and agree the Trustee can rely on the directions or instructions (written or otherwise) by any one officer/partner/ trustee/joint applicant or an authorised representative of the company/partnership/trust/joint applicant notified to the Trustee by any one officer/partner/trustee/joint applicant.

[1] An individual who owns 25% or more of, or otherwise controls the business of, an entity (such as a trust, an association or a company). Ownership and control may be direct (such as through shares) or indirect (such as shares held by a third party on the individual's behalf). 'Control' means having the ability to determine decisions about the entity's financial and operating policies.

MARQ Private Registry Pty Ltd
PO Box 16148
Collins Street West 8007
T 03 9005 9282

Offer related inquiries
Andrew Patrick
registry@marq.com.au