



Wholesale Application Form

Thank you for your interest in Rivkin's suite of managed funds. We look forward to providing you with the combination of cutting edge investment management and fee transparency enjoyed by our existing customers.

This Application Form accompanies the Information Memorandum dated January 2018 (IM) issued by 'Rivkin Asset Management Pty Ltd' ABN 19620174736 (Issuer) in its capacity as Investment Manager of the of Rivkin Australian Equity Fund and Rivkin Global Equity Fund (Fund/s). Rivkin Asset Management Pty Ltd is a Corporate Authorised Representative of Rivkin Securities Pty Ltd ABN 87123290602 (AFSL No. 332 802).

If you are an existing Unitholder(s) and this is an additional investment, please use the Additional Investment Form.

If you are a new investor, or if you are an existing Unitholder(s) and this investment is NOT in the same name(s) and fund as your existing account, please complete the sections of this Initial Application Form and the identification Forms noted below in Section 1. If you have not been provided with the identification form with this application you can obtain this at <https://www.rivkin.com.au/Rivkin-Asset-Management.aspx>.

Investment Details

Please select the managed fund(s) in which you wish to apply for units:

Rivkin Australian Equity Fund

I/we apply to invest in the Rivkin Australian Equity Fund.

Amount: AUD

Rivkin Global Equity Fund

I/we apply to invest in the Rivkin Global Equity Fund.

Amount: AUD

(Minimum of \$500,000)

1. INVESTOR TYPE

Investor Type		Complete Sections	Please complete the required Identification Form and provide certified copies of the identification requested on the Identification Form
Individual and Joint investors	A natural person or persons.	2,4,5,&7	Form A- Individuals
Sole trader	A natural person operating a business under their own name with a registered business name.	3,4, 5,&7	Form A- Individuals
Companies	A company registered as an Australian public company or an Australian proprietary company, or a foreign company.	3,4, 5,&7	For a Company complete the relevant form based on company type either Forms B or C. All Beneficial Owners named on Form B or C must complete Form A
Trusts	Types of trusts include self-managed superannuation funds, registered managed investment schemes, unregistered wholesale managed investment schemes, government superannuation funds or other trusts (such as family trusts and charitable trusts).	3,4, 5,&7	For the Trust complete either Form D or E; and For an Individual Trustee complete Form A; or For a Company Trustee complete Form B or C All Beneficial Owners named on Form D or E must be complete Form A
Partnership	A partnership created under a partnership agreement.	3,4, 5,&7	For the Partnership please complete Form F All Beneficial Owners named on Form F must complete Form A.
Associations	Incorporated associations are associations registered under State or Territory based incorporated association statutes. Unincorporated associations are those of persons who are not registered under an incorporated associations statute and thus do not have the legal capacity to enter into agreements.	3,4, 5,&7	For the Association please complete Form G. All Beneficial Owners named on Form G must complete Form A.
Registered co-operative	An autonomous association of persons united voluntarily to meet common economic, social and cultural needs and aspirations through a jointly-owned and democratically-controlled enterprise registered under a registry system maintained by a State or Territory. This investor type can include agricultural businesses such as a dairy co-operative.	3,4, 5,&7	For the Registered co-operative please complete Form H. All Beneficial Owners named on Form H must complete Form A.
Government body	The government of a country, an agency or authority of the government of a country, the government of part of a country or an agency or authority of the government of part of a country.	3,4, 5,&7	For a Government body please complete Form I. All Beneficial Owners named on Form i must complete Form A.

2. Individuals and Joint Account Holders Investor Details

Applicant 1 Investor Type: Individual

Title	Given name	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Occupation	Australian Tax File Number	
<input type="text"/>	<input type="text"/>	

Residential Address

Street address

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

Postal Address if different to Residential Address

Street address

Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Phone Number (business hours)	Phone Number (non-business hours)	Mobile Number	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Email Address			
<input type="text"/>			

Applicant 2 Investor Type: Individual

Title	Given name	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Occupation	Australian Tax File Number	
<input type="text"/>	<input type="text"/>	

Residential Address

Street address

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

Postal Address if different to Residential Address

Street address

Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Phone Number (business hours)	Phone Number (non-business hours)	Mobile Number	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Email Address			
<input type="text"/>			

3. All Other Account Holders Investor Details

Investor Type/Capacity

- Company Sole Trader Trust
 Partnership Association Co-operative
 Government Body Other

Full Name of Company / Business if Sole Trader/ Trust (including Trustee details) / Partnership/Association / Cooperative/ Government Body

Occupation

Australian Tax File Number

Principle Business Activity

Street address

Suburb

State

Postcode

Country

Phone Number (business hours)

Mobile Number

Fax Number

Email Address

4. Authorised Representative Details

Complete this section if you wish to appoint a person to act in a legal capacity as your authorised representative and to operate your investment in the Fund on your behalf. In general, an authorised representative can do everything you can do with your investment, except appoint another authorised representative.

We may act on the sole instructions of the authorised representative until you advise us in writing that the appointment of your authorised representative has terminated. We may also terminate or vary an appointment of an authorised representative by giving you 14 days prior notice.

If an authorised representative is a partnership or a company, any one of the partners or any Director of the company is individually deemed to have the powers of the authorised representative.

Please attach a certified copy of your Power of Attorney.

For information on how to certify your document please refer to the Certification Information Sheet

Title

Given name

Surname

Signature of Authorised Representative

Date

5. Investment Details & Source of Funds

Source of funds being invested (choose most relevant)

- Retirement income
- Employment income
- Business activities
- Sale of assets
- Inheritance/gifts
- Financial investments
- Other

Payment Method

- Direct Credit/Electronic Funds Transfer

Name: MAINSTREAM FUND SERVICES PTY LTD ACF THE TRUST COMPANY (RE SERVICES) RIVKIN AUSTRALIAN EQUITY FUND APPLICATION ACCOUNT
BSB: 082401

Account Number: 891298778

Name: MAINSTREAM FUND SERVICES PTY LTD ACF THE TRUST COMPANY (RE SERVICES) RIVKIN GLOBAL EQUITY FUND APPLICATION ACCOUNT
BSB: 082401

Account Number: 891341676

Distribution payment instructions (choose one payment instruction):

- Please reinvest my distributions in the relevant Fund
- Please pay my distributions directly to my nominated bank account

Your Distribution Bank Account Details

Bank	Account Name
<input type="text"/>	<input type="text"/>
BSB	Account Number
<input type="text"/>	<input type="text"/>

If you wish to have a separate bank account for redemption payments please fill the below:

Your Redemption Bank Account Details

Bank	Account Name
<input type="text"/>	<input type="text"/>
BSB	Account Number
<input type="text"/>	<input type="text"/>

6. Declaration

I/we declare and agree each of the following:

- I/we have read the current Information Memorandum (IM) to which this application applies and have received and accepted the offer in it.
- I/we am a wholesale client as defined by the Corporations Act 2001 (CTH)
- My/our application is true and correct.
- I am/we are bound by any terms and conditions contained in the current IM and the provisions of the constitution of the Fund as amended from time to time.
- I/we have legal power to invest.
- If this is a joint application, each of us agrees that our investment is as joint tenants. Each of us is able to operate the account and bind the other to any transaction including investments or withdrawals by any available method.
- If investing as trustee on behalf of a super fund or trust, I/we confirm that I am/we are acting in accordance with my/our designated powers and authority under the relevant trust deed. In the case of a super fund, I/we also confirm that it is a complying fund under the Superannuation Industry (Supervision) Act 1993.
- I/we acknowledge that none of The Trust Company (CE Services) Ltd ABN 45 003 278 831 or Rivkin Securities ABN 87 123 230 602 or any of their related entities, officers or employees or any related company or any of the appointed service providers including the administrator and custodian guarantee the repayment of capital or the performance of the Fund or of any particular rate of return by the Fund.
- I/we agree to the anti-money laundering and counter-terrorism financing statements contained in the IM. I/we agree to provide further information or personal details to Rivkin Securities and the custodian if required to meet their obligations under any anti- money laundering and counter-terrorism law and regulations, and acknowledge that processing of my/our application may be delayed and will be processed at the unit price applicable for the business day on which all required information has been received and verified.
- I/we have read and understood the privacy disclosure as detailed in the IM. I/we consent to my/our personal information being collected, held, used and disclosed in accordance with the privacy disclosure. I/we consent to Rivkin Securities disclosing this information to my/our financial adviser (named in this form) for units in the Fund. Where the financial adviser no longer acts on my/our behalf, I/we will notify Rivkin Securities of the change.
- If I/we have appointed an authorised person to deal on my/our behalf, I/we release, discharge and indemnify Rivkin Securities from any loss, expense, action or other liability which may be suffered by, brought against me/us or Rivkin Securities for any action or omissions by the authorised person whether authorised by me/us or not.
- I/we certify that the information provided in the separate ID forms, including information relating to tax-related requirements, is reasonable and based on verifiable documentation.

I/we acknowledge and agree that:

- Rivkin Securities may be required to pass on my/our personal information or information about my/our investment to the relevant regulatory authorities, including for compliance with anti-Money laundering and counter-terrorism law and regulations as well as any tax-related requirements for tax residents of other countries.

Additional declaration and agreement for New Zealand investors: I/we received and accepted this offer in Australia or New Zealand.

- I/we understand that the IM is not an investment statement under New Zealand law and that there are likely to be differences between the information provided in a IM compared to an investment statement under New Zealand law.
- I/we understand the fund is currently an unregistered managed investment scheme. I/we agree to any future registration of the fund with ASIC without the need for a unitholder meeting
- I/we will not transfer units to anyone who does not agree to any of the above matters.

7. Signatures

Joint applicants must both sign, For Individual Trustee Trust/Superannuation Funds each individual Trustee must sign. For Corporate Trustee Trust/Superannuation Funds 2 Directors, a Director and Secretary or Sole Director must sign.

Applicant 1

Signature

Full Name

Date

Tick capacity:

- Sole Director and Company Secretary
 Director
 Secretary
 Non-corporate trustee
 Partner

Applicant 2

Signature

Full Name

Date

Tick capacity:

- Sole Director and Company Secretary
 Director
 Secretary
 Non-corporate trustee
 Partner

Post your original signed Initial Application Form, Identification Forms and certified copies of your identification required to:

Rivkin Asset Management
C/o - Rivkin Securities
PO Box 1524
Double Bay NSW 1360
Australia