



**CROMWELL**  
FUNDS MANAGEMENT

# CROMWELL PHOENIX GLOBAL OPPORTUNITIES FUND **TRANSFER FORM**

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Dated 25 June 2024

Issued by Cromwell Funds Management Limited

ABN 63 114 782 777

AFSL 333214

# Transfer Form Information

Please read this important information on how to complete a Cromwell Transfer Form

The Transfer Form is to be used if you wish to transfer a Cromwell managed fund to another person or entity.

**We do not accept copies or faxes.** Return the original completed form to: Boardroom Pty Limited, GPO Box 3993, Sydney NSW 2001.

## IMPORTANT: Transferee (Buyer) Information

Please ensure you read the PDS and TMD for the fund, as required by the Application Form.

### FATCA/CRS

Cromwell is required to collect and report to the Australian Taxation Office (ATO) certain information about the tax residency of our unitholders. If you have not supplied Cromwell with your tax residency status previously, please do so by one of the following methods:

#### > Online via your registered InvestorServe Access -

Visit [www.investorserve.com.au](http://www.investorserve.com.au) > My Details > FATCA-CRS Information

> **Email or Post a FATCA/CRS Form** - Call Cromwell's Investor Services Team on 1300 268 078 to obtain a copy of the Automatic Exchange of Information (AEOI) Form for you to complete and return.

*Not providing this information to Cromwell may delay the processing of your transaction.*

### AML/CTF

If you have **NOT** invested in a Cromwell managed fund previously, please provide the following:

1. Transferee (Buyer) Information (Part 1);
2. Completed and signed Transfer Authorisation (Part 13); and
3. Relevant Cromwell Identification Form and attaching certified copies of identification documents.

Type of Entity	Forms to be completed
Individual / Joint Investors (each applicant must complete a form)	IDENTIFICATION FORM: Individual & Sole Traders Form
Australian Companies	IDENTIFICATION FORM: Australian Companies Form
Australian Regulated Trusts (including Self Managed Super Funds)	IDENTIFICATION FORM: Australian Regulated Trusts (including Self Managed Super Funds) Form
Unregulated Australian Trusts and Foreign Trusts (e.g. Family, Unit and Testamentary Trusts)	IDENTIFICATION FORM: Unregulated Australian Trusts and Foreign Trusts Form

## Change of Trustees – Self Managed Super Funds

The following documents need to be provided with the Transfer Form

- Original certified copy of any/all Deeds of Amendment or Minutes of Meeting noting the change of trustees
- Cromwell Identification Form – Australian Regulated Trusts (including SMSFs)

For a change of trustee of an unregulated trust, please contact Cromwell's Investor Services Team on 1300 268 078.

## Deceased Estates

The following documents need to be provided with the Transfer Form

- Original certified copy of Probate and attaching Will OR Letters of Administration;
- For each Executor or Administrator - Original certified copy of driver's licence (current) OR Passport (that has not expired more than 2 years ago);
- Section 1071B Statement Form (if the registered address of the holding is not Queensland).

If Probate **HAS NOT** been granted or you have any questions, please contact Cromwell's Investor Services Team on 1300 268 078.

## Correct format of Registerable Titles

Only legal entities are allowed to hold units in the Fund. Transfer Forms must be in the name(s) of natural person(s), companies or other legal entities acceptable to the Fund. At least one full given name and the surname are required for each natural person. The name of the beneficiary or any other non-registerable name may be included by way of an account designation if completed exactly as described in the example of correct forms of registerable title shown below.

Type of Investor	Correct format of Registerable Name	Incorrect format
<b>Individual</b>		
Use given names, not initials	John Alfred Smith	J-A-Smith
<b>Company</b>		
Use company name, not abbreviations. Director(s) names must be completed within the Applicant(s) Details section	ABC Pty Ltd	ABC P/L or ABC Co
<b>Trust</b>		
Use trustee(s) names	Sue Smith	Sue Smith Family Trust
Use name of the trust in the account designator section	Sue Smith Family Trust	Sue Smith
<b>Superannuation Funds</b>		
Use name of trustee of fund	Jane Smith Pty Ltd	Jane Smith Super Fund
Use name of fund in the account designator section	Jane Smith Super Fund	Jane Smith Pty Ltd
<b>Deceased Estates</b>		
Use executor(s) names	Sue Lennon	Estate of the Late Jon Lennon
Use name of the deceased in the account designator section	Estate of the Late Jon Lennon	
<b>A Minor (less than 18 years old)</b>		
Use trustee(s) personal names	Sue Smith	Junior Smith
Use name of the minor in the account designator section	Junior Smith	Sue Smith

# CROMWELL PHOENIX GLOBAL OPPORTUNITIES FUND (GOF) TRANSFER FORM



Please complete this form using BLACK INK and write clearly within the boxes in CAPITAL LETTERS.  
Mark appropriate answer boxes with a tick (✓).

**Any alterations made to this form MUST be initialled by both the Buyers(s) and the Seller(s). The use of correction fluid or tape renders the form invalid. Any increases to the holding amount being transferred is not acceptable, even if initialled.**

## PART 1

### INVESTOR DETAILS

*Transferee (Buyer) Information.*

Has the person / entity investing in this Fund invested in a Cromwell managed fund previously?

**Yes**, investor number:

Investment name:

*If there are no changes to any of your details go to Part 9*

**No**. Go to Part 2 and attach identification documents

## PART 2

### APPLICANT(S) CONTACT DETAILS [MUST NOT BE ADVISER DETAILS]

*Please enter contact details, including phone numbers in case we need to contact you in relation to your application.*

*Adviser details are not acceptable unless your Adviser holds a power of attorney, a certified copy of which must be provided.*

*These contact details will be used for all administration correspondence.*

Address

City  State  Postcode

Phone  -  After hours  -

Mobile  -

Email

By providing this email address, you agree to receive all communications, including transaction confirmations, statements, reports and other notifications required by the Corporations Act, by email. From time to time we may still need to send correspondence by post. Contact us if you would like to receive a hard copy of the annual report in the post.

Would you like to be advised of other offers from Cromwell? Yes  No

How did you hear about the Fund?

## PART 3

### TAX INFORMATION

Tax File Number

Investor Name

Tax File Number

Investor Name

*Individual and Joint Investors only*

ABN Number

If exempt from providing a TFN and/or ABN, please provide the reason for exemption

## PART 4

### IDENTIFICATION FORMS

Please ensure you also provide the following documents, the relevant Cromwell Identification Form/s and attaching certified copies of identification documents.

Type of Entity	Forms to be completed
Individual / Joint Investors (each applicant must complete a form)	IDENTIFICATION FORM: Individual & Sole Traders Form
Australian Companies	IDENTIFICATION FORM: Australian Companies Form
Australian Regulated Trusts (including Self Managed Super Funds)	IDENTIFICATION FORM: Australian Regulated Trusts (including Self Managed Super Funds) Form
Unregulated Australian Trusts and Foreign Trusts (e.g. Family, Unit and Testamentary Trusts)	IDENTIFICATION FORM: Unregulated Australian Trusts and Foreign Trusts Form

# TRANSFER FORM CROMWELL PHOENIX GLOBAL OPPORTUNITIES FUND (GOF)

## PART 5

### DISTRIBUTION PAYMENTS

You are required to provide your bank account details for payment of distributions. We can only accept Australian bank account details. If no bank account details are provided, your distributions will be reinvested.

This account must be in the investors name. Payment to a third party is not permitted.

If you select Partial Participation in the distribution reinvestment please ensure you provide bank account details for the cash portion of your distribution.

Account Name

Financial Institution

BSB

Account Number

If you would like your distribution reinvested as additional units please select one of the following options:

Full Participation  Partial Participation

Specify the number of securities or percentage you would like to participate

## PART 6

### ADDITIONAL INVESTMENT ENQUIRER

If you would like someone other than the Contact or your Adviser to be able to enquire about this investment, please provide us with their details here.

Given name

Surname

Date of birth / /  Company (if applicable)

Email

## PART 7

### TARGET MARKET DETERMINATION

Are you investing in this Fund on the advice of a licensed financial services provider who has provided investment advice having regard to your personal objectives, financial situation and needs?

**Yes** Go to Part 8 (Please ensure Adviser Details - Part 8 is completed in full.)  **No** Go to Question 1

1. By investing in the Cromwell Phoenix Global Opportunities Fund, you are investing in an unhedged portfolio of listed international securities.

Do you accept that while the Fund is a 'growth investment' whose value is expected to rise over time, it does expose you to risks associated with investing in listed foreign securities and there can be no guarantee the value of your investment will grow or be maintained over time.

**Yes**  **No**

2. By investing in securities that are listed in stock exchanges outside of Australia, do you accept that the economic, technological, political, legal and market conditions in these countries may affect the performance of the Fund?

**Yes**  **No**

3. Do you accept the capital value of your investment is not guaranteed?

**Yes**  **No**

4. Do you accept the annual income distributions paid by this Fund is not guaranteed and may vary over time?

**Yes**  **No**

5. Please indicate the percentage your investment in the Fund represents of the assets you have available for investment, excluding your residential home:

**<25%**  **25-75%**  **75-100%**  **I prefer not to provide this information**

# TRANSFER FORM CROMWELL PHOENIX GLOBAL OPPORTUNITIES FUND (GOF)

## Additional information

If you have answered 'NO' to any of questions 1-4, please read the following statement:  
"You have answered the above question in a manner which suggests this product may not be suitable for you. Before proceeding with your investment, we recommend you do one or more of the following:

- a) Review the target market determination for the product which can be found online at [www.cromwell.com.au](http://www.cromwell.com.au) or by calling Cromwell's Investor Services Team on 1300 268 078 or emailing [invest@cromwell.com.au](mailto:invest@cromwell.com.au).
- b) Review the product disclosure statement which can be found online at [www.cromwell.com.au](http://www.cromwell.com.au) or by calling Cromwell's Investor Services Team on 1300 268 078 or emailing [invest@cromwell.com.au](mailto:invest@cromwell.com.au).
- c) Seek advice from your financial adviser, stockbroker or other investment professional."

## PART 8

### ADVISER DETAILS

Adviser given name	<input type="text"/>
Adviser surname	<input type="text"/>
Adviser company (if applicable)	<input type="text"/>
Adviser Phone	<input type="text"/> - <input type="text"/>
Adviser email	<input type="text"/>
Dealer Group Name	<input type="text"/>
AFSL No:	<input type="text"/>

## PART 9

### TRANSFER DETAILS

Cromwell managed fund name	<input type="text"/>
Select one of the below options	
<input type="checkbox"/> Full investment amount; or	
<input type="checkbox"/> Quantity in dollars \$ <input type="text"/>	<input type="checkbox"/> Quantity in units <input type="text"/>
Please write the quantity of units or dollar amount in words	<input type="text"/>
	<input type="text"/>

## PART 10

### TRANSFEROR ("SELLER") DETAILS

*Investor reference number must be quoted*

Investment name and account designator	<input type="text"/>
<input type="text"/>	Investor reference number <input type="text"/>

## PART 11

### TRANSFeree ("BUYER") DETAILS

*If you have a current holding in a Cromwell Managed Fund, please provide us with your investor reference number.*

Investment name and account designator	<input type="text"/>
<input type="text"/>	Investor reference number <input type="text"/>

If you have **NOT** invested in a Cromwell managed fund previously, please provide a relevant Cromwell Identification Form and attaching certified copies of identification documents referred to in Part 4.

# TRANSFER FORM CROMWELL PHOENIX GLOBAL OPPORTUNITIES FUND (GOF)

## PART 12 TRANSFEROR (“SELLER”) AUTHORISATION NOTE: THIS SECTION MUST BE SIGNED FOR THIS FORM TO BE PROCESSED

I/we the registered holder(s) and undersigned Transferor(s) do, for the above consideration, hereby transfer to the Transferee(s) the units specified above standing in my/our name(s) in the register of the above-named investment, subject to the conditions on which I/we held the same at the date on which this form is signed. I/we have not received any notice of revocation of the Power of Attorney (if any) by death of the grantor or otherwise, under which this transfer is signed (if applicable). I/we acknowledge that I/we have taken my/our own advice in relation to the transfer of the above units and that Cromwell Funds Management Limited has agreed to process the transfer in its capacity only as Responsible Entity of the relevant investment. Cromwell Funds Management Limited has neither set nor determined the value at which the units are to be transferred.

SIGNATURE A

Date

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Name

If a Company Officer or Trustee, you MUST specify your title:

Director	<input type="checkbox"/>	Sole Director and Company Secretary	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	Other	<input type="checkbox"/>

SIGNATURE B

Date

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Name

If a Company Officer or Trustee, you MUST specify your title:

Director	<input type="checkbox"/>	Company Secretary	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	Other	<input type="checkbox"/>

## PART 13 TRANSFEEE (“BUYER”) AUTHORISATION NOTE: THIS SECTION MUST BE SIGNED FOR THIS FORM TO BE PROCESSED

I/we the undersigned Transferee(s) do hereby agree to accept the units specified above subject to the conditions on which the transferor(s) held the units at the date on which the form is signed. I/we have not received any notice of revocation of the Power of Attorney (if any) by death of the grantor or otherwise, under which this transfer is signed (if applicable). I/we acknowledge that I/we have taken my/our own advice in relation to the transfer of the above units and that Cromwell Funds Management Limited has agreed to process the transfer in its capacity only as Responsible Entity of the relevant investment. Cromwell Funds Management Limited has neither set nor determined the value at which the units are to be transferred. I/we acknowledge that by signing this form I/we have read the most recent Product Disclosure Statement (PDS) and Target Market Determination (TMD) for the investment. I/we agree to be bound by the PDS and the investment’s Constitution and acknowledge that neither the Cromwell Property Group nor Cromwell Funds Management Limited nor any of their staff guarantee the performance of the investment or the repayment of capital. I/we further acknowledge that an investment is subject to investment risk including the possible loss of income and capital invested.

SIGNATURE A

Date

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Name

If a Company Officer or Trustee, you MUST specify your title:

Director	<input type="checkbox"/>	Sole Director and Company Secretary	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	Other	<input type="checkbox"/>

SIGNATURE B

Date

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Name

If a Company Officer or Trustee, you MUST specify your title:

Director	<input type="checkbox"/>	Company Secretary	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	Other	<input type="checkbox"/>