

Switch form

For Managed Funds investors

A switch operates as the redemption of units in one managed fund and the investment of the proceeds in another fund. As such, it usually constitutes a realisation for capital gains tax purposes. Investors should consider this when making a decision to switch. You can switch all or part of your investment between the Australian Ethical Managed Funds.

You must read the relevant Australian Ethical Managed Fund Product Disclosure Statement prior to investing available at australianethical.com.au/managed-funds/pds.

Please use **BLOCK LETTERS** and **black ink**.

Send your completed form to:

investors@australianethical.com.au

or Australian Ethical Investment Ltd,
Reply Paid 3993, Sydney, NSW, 2001

Step 1: Investor details

Investor number

Investor 1

Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other, please specify

Surname

Full given name(s)

Investor 2

Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other, please specify

Surname

Full given name(s)

Investor 2

Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other, please specify

Surname

Full given name(s)

Step 1: Investor details (continued)

Non-individuals (company, partnership, trust)

Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other, please specify

Surname

Full given name(s)

Legal name of entity

ABN (if applicable)

Address

Address

City

State

Postcode

Country

Work phone

Home phone

Mobile phone

Step 2: Switch details

I/ we, being an investor(s) in the Australian Ethical Managed Funds request that you switch:

	Amount		Fund name		Fund name
\$ or units		from		to	
\$ or units		from		to	
\$ or units		from		to	
\$ or units		from		to	
\$ or units		from		to	
\$ or units		from		to	

Do you wish to switch your regular investor plan? ☐ Yes ☐ No

Instructions

1. Insert the word 'ALL' or, if you are not switching your entire holding, the number of units or dollars to be switched.
Minimum investment and minimum balance amounts continue to apply when switching managed funds. For more information on minimum investment and minimum balance amounts, please visit australianethical.com.au/managed-funds/fees
2. Insert the name of the Fund in which you are an investor and from which you wish to switch.
3. Insert the name of the Fund into which you wish to switch.

Please note: If you are making a full investment switch out of a fund then any active adviser service fees for your previous investment will be cancelled. A new adviser fee authority form will need to be submitted for any investments.

Step 3: Income payment options

Please tick one box for each Fund you are invested in. Provide account details below for direct deposit.

Australian Ethical funds	Re-invest		Direct deposit
Altius Bond Fund	☐		☐
Australian Shares Fund	☐		☐
Balanced Fund	☐		☐
Conservative Fund	☐		☐
Diversified Shares Fund	☐		☐
Emerging Companies Fund	☐	OR	☐
High Conviction Fund	☐		☐
High Growth Fund	☐		☐
Income Fund	☐		☐
International Shares Fund	☐		☐
Moderate Fund	☐		☐

Account details

To have your income directly deposited into your Australian bank account, please supply the following details.

Name of financial institution

Branch

BSB number

Account number

Account holder name

Account holder 2 name (if joint account)

Name of foreign bank

Name of Australian correspondent bank

Swift code

Account name

Account number (including Bank ID code)

Step 4: Target Market Determination Questions

! In order to help ensure our Funds are being acquired by the investors they are designed for, we require you to respond to the below questions. This forms part of our obligations under the Design and Distribution Obligations introduced by ASIC in October 2021.

Question 1: What is your investment objective? (Select one only)

- ☐ Capital growth
- ☐ Capital preservation
- ☐ Income distribution

Question 2: How do you intend to hold the investment in relation to your total investable assets? (As a percentage of total assets available for investment excluding residential home) (Select one only)

- ☐ Solution/Standalone (Up to 100%)
- ☐ Major allocation (Up to 75%)
- ☐ Core component (Up to 50%)
- ☐ Minor allocation (Up to 25%)
- ☐ Satellite allocation (Up to 10%)

Question 3: What is your investment timeframe? (Select one only)

- ☐ Less than 3 years
- ☐ 3 to 5 years
- ☐ 6 to 8 years
- ☐ More than 8 years

Question 4: What is your risk (ability to bear loss) and return profile for the relevant portion of your portfolio that you are seeking to invest? (Select one only)

- ☐ Low
- ☐ Medium
- ☐ High
- ☐ Very High

Question 5: Under ordinary circumstances, what period of time would you like to be able to receive the proceeds of your redemption request from when you make a redemption request? (Select one only)

- ☐ Within one week of request
- ☐ Within one month of request
- ☐ Within three months of request
- ☐ Within one year or more of request

Step 5: Signatures

By completing the Switch Form, I/we declare that:

- the details provided by me/us are true and correct;
- I/we have read the most recent Short Form PDS for the relevant Australian Ethical Managed Fund to which I am/we are requesting a switch;
- if I/we received the Short Form PDS electronically, I/we received the entire Short Form PDS document; and
- no relevant representations by, or on behalf of Australian Ethical, have been made to me/us, other than those in the Short Form PDS
- Certified ID may be requested by Australian Ethical.

 Please note if you are using an electronic signature, this must be signed using OneSpan, DocuSign, or Adobe Acrobat Sign, and the forms will need to be accompanied by a time-stamped certificate.

Signature

Date (DD/MM/YYYY)

Signatory's full name (please print)

Signature

Date (DD/MM/YYYY)

Signatory's full name (please print)

Signature

Date (DD/MM/YYYY)

Signatory's full name (please print)

 If you have any questions, please contact Australian Ethical Managed Funds on 1800 021 227.