

Apply for registration as an Australian Passport Fund

Applicant and fund details			
Proposed operator and fund details			
Proposed operator			
Australian Company Number (ACN) <i>[Part A – Public]</i>			
Australian Business Number (ABN) <i>[Part A – Public]</i>			
Name <i>[Part A – Public]</i>			
Business name (if different from above) <i>[Part A – Public]</i>			
Principal place of business <i>[Part A – Public]</i>	Address Line 1		
	Address Line 2		
	City / Municipality		
	Province / County / State		
	Postal Code / ZIP Code		
	Country/territory		
Registered office <i>[Part A – Public]</i>	Address Line 1		
	Address Line 2		
	City / Municipality		

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	Province / County / State	
	Postal Code / ZIP Code	
	Country/territory	

Proposed fund

See ss53 and 55 of the Passport Rules.

Australian Registered Scheme Number (ARSN) (if applicable) <i>[Part A – Public]</i>	
Australian Business Number (ABN) <i>[Part A – Public]</i>	
Name <i>[Part A – Public]</i>	

Provide the value of the assets of the fund, the number of issued interests and the date of the most recent valuation

[Part A – Private]

Value of assets in AUD	
Number of issued interests on valuation date	
Valuation date	

Use the valuation methodology in s53 of the Passport Rules at the last hard close. The hard close should not be more than one month old.

Is the fund a 'benchmark fund', an 'index fund' or neither? (if applicable) <i>[Part A – Public]</i>	<input type="checkbox"/> Benchmark fund <input type="checkbox"/> Index fund If 'Benchmark fund' or 'Index fund', are the assets of the fund or the underlying assets of derivatives of the fund, constituents of an index? <input type="checkbox"/> Yes <input type="checkbox"/> No
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<p>Will the fund be admitted to trading status on a licensed Australian market? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, select the names of all Australian markets where the fund will be admitted</p> <div style="border: 1px solid black; padding: 5px;"> <p><input type="checkbox"/> ASX Limited <input type="checkbox"/> National Stock Exchange of Australia Ltd <input type="checkbox"/> Chi-X Australia Pty Ltd <input type="checkbox"/> Australian Securities Exchange Limited (formerly Sydney Futures) <input type="checkbox"/> IR Plus Securities Exchange Ltd (formerly BSX) <input type="checkbox"/> Sydney Stock Exchange Limited (formerly APX) <input type="checkbox"/> FEX Global Pty Ltd</p> </div>
<p>Website address <i>[Part A – Public]</i></p>	
<p>Requirement for offer in the Home Economy <i>See ss17 and 55 of the Passport Rules</i></p>	
<p>Will there be an ongoing offer of interests in Australia open to retail investors resident in Australia? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>What percentage of the total value of interests in collective investment schemes operated by the operator is held by members with an Australian residential address? <i>[Part A – Public]</i></p>	<p><i>Enter percentage to one decimal place. Exclude any interests held by members known by the operator to be non-residents of Australia.</i></p>
<p>Permitted Investments</p>	
<p>Permitted assets and arrangements <i>See Divs 6.1 and 6.2 and ss53 and 55 of the Passport Rules.</i></p>	

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Provide details of assets held

[Part A – Public (all fields)]

Country/territory issued or held	Asset kind <i>Asset kinds are: Currency, Deposit receipts over gold, Deposits, Money market instruments, Transferable securities, Other</i>	Percentage of total assets
Total percentage:		

If 'Other' asset kind is entered, what other assets are held and in what countries are they held?

If total percentage is not 100%, why does the total not add to 100%?

Enter the country/territory where the asset was issued or for deposits where the deposit is held.

Enter the type of asset and the percentage of the total fund assets to one decimal place.

Use the valuation methodology in s53 of the Passport Rules at the last hard close. The hard close should not be more than one month old.

Do not include derivatives and unsettled trades in this table.

Can the fund invest in other permitted assets it does not hold?

[Part A – Public]

- Yes
- No

If yes, what are the permitted assets?

Will all relevant assets be held by a custodian and not the operator?

[Part A – Public]

- Yes
- No

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<p>Does the fund hold any money market instruments which embed a derivative? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>						
<p>Does the fund hold any transferable securities which embed a derivative? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>						
<p>Permitted investment requirements</p>							
<p>Requirements for deposits <i>See ss21 and 55 of the Passport Rules. Complete this section if deposits are held.</i></p>							
<p>Provide details of all deposit-taking institutions that hold deposits <i>[Part A – Public (all fields)]</i></p> <table border="1" data-bbox="132 992 1461 1391"> <tr> <td data-bbox="132 992 437 1099">Name</td> <td data-bbox="437 992 1461 1099"></td> </tr> <tr> <td data-bbox="132 1099 437 1245">Country/territory of incorporation</td> <td data-bbox="437 1099 1461 1245"></td> </tr> <tr> <td data-bbox="132 1245 437 1391">Supervisory or regulatory authority</td> <td data-bbox="437 1245 1461 1391"></td> </tr> </table>		Name		Country/territory of incorporation		Supervisory or regulatory authority	
Name							
Country/territory of incorporation							
Supervisory or regulatory authority							
<p>Can all deposits be withdrawn on no more than 31 days' notice? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>						
<p>Can all deposits be withdrawn after 12 months from the date of the deposit without penalty or loss of interest? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>						
<p>Requirements for transferable securities <i>See ss23 and 55 of the Passport Rules. Complete this section if transferable securities are held</i></p>							
<p>Could liability arise under the terms of any securities held?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>						

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<p>[Part A – Public]</p>	
<p>How much is the liability that could arise in Australian dollars? [Part A – Public]</p>	<p><i>Liability may arise because the security is partly paid, or for other reasons.</i></p>
<p>Are the transferrable securities partly paid securities that are quoted or securities that will be quoted within 7 days? [Part A – Public]</p>	<p>[<input type="checkbox"/>] Yes [<input type="checkbox"/>] No</p>
<p>Why does the operator believe the securities will be available and able to be converted into sufficient assets to meet the liability? [Part A – Public]</p>	
<p>Why does the operator believe partly paid securities can be reliably valued and can be closed or sold out for their value within in a business day? [Part A – Public]</p>	
<p>Requirements for money market instruments See ss24 and 55 of the Passport Rules. Complete this section if money market instruments are held</p>	
<p>Does the operator believe money market instruments have a maturity of not more than 397 days? [Part A – Public]</p>	<p>[<input type="checkbox"/>] Yes [<input type="checkbox"/>] No <i>The operator must have a reasonable basis for its view under s24 of the Passport Rules. Include maturity at issue or residual maturity.</i></p>
<p>Does the operator believe money market instruments will have regular yield adjustments within every 397 days? [Part A – Public]</p>	<p>[<input type="checkbox"/>] Yes [<input type="checkbox"/>] No <i>The operator must have a reasonable basis for its view under s24 of the Passport Rules. The regular yield adjustments must be in line with money market conditions.</i></p>
<p>On a business day in the place of acquisition, can instruments be reliably valued and closed out or sold for that value? [Part A – Public]</p>	<p>[<input type="checkbox"/>] Yes [<input type="checkbox"/>] No <i>The valuation must be reliable under s24 of the Passport Rules.</i></p>

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<p>Requirements for derivatives <i>See ss19, 25, 53 and 55 of the Passport Rules. Complete this section if derivatives are held.</i></p>	
<p>Does the fund currently hold derivatives? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>On a business day in the place of acquisition, can the derivatives be closed out or sold for their fair value? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>The fair value of the derivative must be readily determinable under s25(1)(b) of the Passport Rules.</i></p>
<p>Embedded derivatives <i>See ss19, 25, 26, 27, 53 and 55 of the Passport Rules. Complete this section if embedded derivatives are held.</i></p>	
<p>On a business day in the place of acquisition, can the embedded derivatives be closed out or sold for their fair value? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>The fair value of the derivative must be readily determinable under s25(1)(b) of the Passport Rules.</i></p>
<p>Can the counterparty risk of any embedded derivatives be, or has it been, transferred to the fund? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Counterparties to derivatives <i>See ss25, 26, 27 and 55 of the Passport Rules. Complete this section if derivatives or embedded derivatives are held.</i></p>	
<p>How are the derivatives or embedded derivatives cleared? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Through a central clearing counterparty <input type="checkbox"/> Not cleared through a central clearing counterparty <input type="checkbox"/> Both of the above</p>
<p>Provide details of derivatives cleared through assessed central clearing counterparties <i>[Part A – Public (all fields)]</i></p>	
<p>Assessed central clearing counterparty name</p>	

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Why does the operator believe there is a low risk of the assessed central clearing counterparty defaulting on its obligations?	
Are the reasons kept in writing?	<input type="checkbox"/> Yes <input type="checkbox"/> No

The operator must hold the belief on reasonable grounds taking into account independent information. Include any derivatives held by the fund and embedded derivatives where the counterparty risk of the embedded derivative is or may be transferred to the passport fund.

Provide details of derivatives not cleared through central clearing counterparties

[Part A – Public (all fields)]

Counterparty name	
Country/territory of principal place of business	
Supervisory or regulatory authority	
Is the counterparty a related party of the operator?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>Include any derivatives held by the fund and embedded derivatives where the counterparty risk of the embedded derivative is or may be transferred to the passport fund. See s57 of the Passport Rules for the definition of 'related party'.</i>

Securities lending arrangements

See Div 6.3 and ss28, 41 and 55 of the Passport Rules.

Does the fund have any current securities lending arrangements? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
What is the percentage of securities lending arrangements? (if applicable) <i>[Part A – Public (all fields)]</i>	

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Provide details of securities lending arrangements
(if applicable)

[Part A – Public (all fields)]

Counterparty name	
Country/territory of principal place of business	
Supervisory or regulatory authority	
Date of arrangement	
Type of collateral relied on	<input type="checkbox"/> Cash <input type="checkbox"/> Money markets instruments <input type="checkbox"/> Both
Is the counterparty a related party of the operator?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>See s57 of the Passport Rules for the definition of 'related party'.</i>
Why does the operator believe there is a low risk from the counterparty not meeting its obligations?	<i>If required, the operator must hold the belief on reasonable grounds taking account the independent information.</i>
Are the reasons kept in writing?	<input type="checkbox"/> Yes <input type="checkbox"/> No

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Portfolio restrictions and limits	
<p>Single entity and group limits <i>See ss29, 30, 31, 32 and 55 of the Passport Rules.</i></p>	
<p>Does the portfolio exceed a single entity or group limit in ss30 or 31 of the Passport Rules? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>For derivatives and securities lending arrangements, use the valuation methodology in s53 of the Passport Rules. For all other assets, use the valuation methodology in s32 of the Passport Rules.</i></p>
<p>Select the type of limit exceeded (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Single entity <input type="checkbox"/> Group <input type="checkbox"/> Both</p>
<p>What is the largest exposure to a single entity? (if applicable) <i>[Part A – Public]</i></p>	<p><i>Enter a percentage to one decimal place of the fund value.</i></p>
<p>What is the largest exposure to assets that relate to the same group? (if applicable) <i>[Part A – Public]</i></p>	<p><i>Enter a percentage to one decimal place of the fund value.</i></p>
<p>If the fund has exceeded the limit in relation to more than one entity, what is the earliest date on which a limit was exceeded? <i>[Part A – Private]</i></p>	<p><i>If the limit has been exceeded in relation to more than one entity, enter the earliest date on which a limit was exceeded.</i></p>
<p>How does the fund comply with the single entity limits in s30 and the group entity limits in s31 of the Passport Rules? <i>[Part A – Private]</i></p>	
<p>What plan is in place to bring the portfolio allocation within the limit (if applicable)? <i>[Part A – Private]</i></p>	

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<p>Application of certain restrictions to index funds and benchmarks See ss33 and 55 of the Passport Rules. Complete this section if the fund is an index fund or benchmark fund.</p>	
<p>Do any exposures to an entity to which an asset relates exceed this limit in s33(2) of the Passport Rules? [Part A – Public]</p>	<p>[<input type="checkbox"/>] Yes [<input type="checkbox"/>] No</p> <p><i>Use the valuation methodology in s53 of the Passport Rules.</i></p>
<p>When did the fund commence exceeding the limit? (if applicable) [Part A – Private]</p>	
<p>By how much is the limit exceeded? (if applicable) [Part A – Private]</p>	
<p>What plan is in place to bring the portfolio allocation within the limit (if applicable)? [Part A – Private]</p>	
<p>Financial asset regulated CIS See s19, 34, 42 and 55 of the Passport Rules.</p>	
<p>What is the largest exposure to a single Financial Asset Regulated CIS or a sub-fund? [Part A – Public]</p>	<p><i>Use the valuation methodology in s53 of the Passport Rules. Enter a percentage to one decimal place of the exposure relative to the fund value. Include direct holding or derivatives exposures.</i></p>
<p>When did the fund commence exceeding the limit in s34(1) of the Passport Rules? (if applicable) [Part A – Private]</p>	

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<p>What plan is in place to bring the portfolio allocation within the limit in s34(1) of the Passport Rules? (if applicable) <i>[Part A – Private]</i></p>	
<p>What is the percentage of total holdings in Financial Asset Regulated CISs or sub-funds? <i>[Part A – Public]</i></p>	<p><i>Enter a percentage to one decimal place of the fund value. Include direct holding or derivatives exposures.</i></p>
<p>When did the fund commence exceeding the limit in s34(2) of the Passport Rules (if applicable)? <i>[Part A – Private]</i></p>	
<p>What plan is in place to bring the portfolio allocation within the limit in s34(2) of the Passport Rules (if applicable)? <i>[Part A – Private]</i></p>	
<p>Limit on unquoted transferable securities <i>See ss23, 35 and 55 of the Passport Rules.</i></p>	
<p>What percentage of the value of assets is held in unquoted transferable securities? <i>[Part A – Public]</i></p>	<p><i>Use the valuation methodology in s53 of the Passport Rules. Enter a percentage to one decimal place of the fund value. Exclude Financial Asset Regulated CISs. Include derivatives where the value is determined by or varied with respect to the price of unquoted transferable securities.</i></p>
<p>When did the fund commence exceeding the limit (if applicable)? <i>[Part A – Private]</i></p>	
<p>What plan is in place to bring the portfolio allocation within the limit (if applicable)? <i>[Part A – Private]</i></p>	

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Limit on investments conferring significant management influence <i>See ss36 and 55 of the Passport Rules.</i>	
Does the fund or its related parties hold more than 20% of interests in votable transferable securities in another entity? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>Include legal and equitable interests.</i>
When did the fund commence exceeding the limit? (if applicable) <i>[Part A – Private]</i>	
By how much is the limit exceeded? (if applicable) <i>[Part A – Private]</i>	
What plan is in place to bring the portfolio allocation within the limit? (if applicable) <i>[Part A – Private]</i>	
Does the fund or its related parties hold votable transferable securities allowing it to exert significant influence on the management of an entity? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>See s57 of the Passport Rules for the definition of 'related party'.</i>
How does the operator or its related parties exert significant influence on the entity (if applicable)? <i>[Part A – Public]</i>	
Limit on share of transferable securities or money market instruments on issue <i>See ss37 and 55 of the Passport Rules.</i>	
Does the fund hold more than 10% of the non-voting securities of any other entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No

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<p><i>[Part A – Public]</i></p>	
<p>Does the fund hold more than 10% of the debt securities of any other entity? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the fund hold more than 10% of the money market instruments for which another entity can be liable? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>When did the fund commence exceeding the limit? (if applicable) <i>[Part A – Private]</i></p>	
<p>By how much is the limit exceeded? (if applicable) <i>[Part A – Private]</i></p>	
<p>What plan is in place to bring the portfolio allocation within the limit? (if applicable) <i>[Part A – Private]</i></p>	
<p>Limit on depository receipts over gold <i>See ss22, 38 and 55 of the Passport Rules.</i></p>	
<p>What percentage of fund assets is held in depository receipts over gold? <i>[Part A – Public]</i></p>	<p><i>Use the valuation methodology in s53 of the Passport Rules. Include derivatives where the value is determined or modified by the price of depository receipts over gold.</i></p>
<p>When did the fund commence exceeding the limit on depository receipts over gold? (if applicable) <i>[Part A – Private]</i></p>	

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What plan is in place to bring the portfolio allocation within the limit? (if applicable) <i>[Part A – Private]</i>	
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Derivatives and securities lending arrangements — global exposure limit
See ss19, 23, 25 - 28, 39, 40 and 55 of the Passport Rules.

Is any holding of a derivative involved in a relevant netting arrangement? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Why does the relevant netting arrangement qualify? <i>[Part A – Public]</i>	
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Provide the sum of the following exposures in Australian dollars
[Part A – Public]

Global exposure

Exposures calculated under s39(2)(a) of the Passport Rules	
Exposures calculated under s39(2)(b) of the Passport Rules	
Exposures calculated under s39(2)(c) of the Passport Rules	
Exposures calculated under s39(2)(d) of the Passport Rules	
Exposures calculated under s39(2)(e) of the Passport Rules	
Total	
	Complete each row. If there is no exposure, enter '0' Use the valuation methodology in s53 of the Passport Rules at the last hard close. The hard close should not be more than one month old.

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		<p><i>Total percentage exposure is calculated by comparing the total of the values entered under global exposures and the 'Value of assets in AUD' in the 'Proposed operator and fund details' section.</i></p>	
<p>Does the fund use derivatives traded on a financial market for index replication where derivatives are mainly used to reflect returns on the index? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
<p>When did the fund commence exceeding the limit? (if applicable) <i>[Part A – Private]</i></p>			
<p>What plan is in place to bring the portfolio allocation within the limit? (if applicable) <i>[Part A – Private]</i></p>			
<p>Securities lending limit <i>See ss41 and 55 of the Passport Rules.</i></p>			
<p>What is the percentage of assets transferred to the fund under securities lending arrangements? <i>[Part A – Public]</i></p>	<p><i>Use the valuation methodology in s53 of the Passport Rules. Enter a percentage to one decimal place of the fund value.</i></p>		
<p>When did the fund commence exceeding the 50% limit in s41 of the Passport Rules? (if applicable) <i>[Part A – Private]</i></p>			
<p>What plan is in place to bring the portfolio allocation within the limit? (if applicable) <i>[Part A – Private]</i></p>			

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Prohibition on provision of loans, guarantees and underwriting

See ss43 and 55 of the Passport Rules.

Does the fund's constitution permit it to lend money, act as a guarantor or underwrite securities?

[Part A – Public]

- Yes
- No

Exclude any deposits held under Div 6.2 of the Passport Rules and exclude any sub-underwriting arrangements.

Does the fund currently lend money, act as guarantor or underwrite any securities?

[Part A – Public]

- Yes
- No

Provide details of any outstanding loans, guarantees or underwritten securities (if applicable)

[Part A – Public]

Borrowing

See ss44 and 55 of the Passport Rules.

Does the fund's constitution permit borrowing?

[Part A – Public]

- Yes
- No

What is the percentage of borrowings of the fund?

[Part A – Public]

*Enter a percentage to one decimal place of the fund value.
The amount payable to the fund by the lender does not reduce the amount borrowed.*

Select each purpose of the fund's borrowing (if applicable)

[Part A – Public (all options)]

- Enable payment of redemption requests
- Enable payment of expenses properly payable
- Enable payment of dividends or distributions to members
- Other

If 'Other' selected, what is the 'other' purpose of the borrowing?

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	<i>Exclude expenses associated with making additional investments, fees to the operator and fees to the independent oversight entity.</i>
<p>Select the form of the borrowing (if applicable) <i>[Part A – Public (all options)]</i></p>	<p><input type="checkbox"/> Trade credit <input type="checkbox"/> Loan or overdraft from a financial institution licensed or regulated in the home economy <input type="checkbox"/> Other</p> <p>If 'Other' selected, what is the 'other' form of the borrowing?</p> <div style="border: 1px solid black; height: 80px; width: 100%;"></div>
<p>Is there a risk that redemption requests will not be met without borrowing? (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>The risk must be material.</i></p>
<p>Is there a risk that expenses will not be paid without borrowing? (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>The risk must be material.</i></p>
<p>Does the operator have documented cash flow projections showing the fund will fully repay borrowing in less than 31 days without relying on other borrowings or finance? (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the fund have securities lending arrangements to acquire collateral provided to the fund? (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is this arrangement limited to covering an unexpected shortfall of holdings in collateral that is necessary to meet an obligation to another person? (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

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Short-selling <i>See ss45 and 55 of the Passport Rules.</i>	
Does the fund's constitution permit short-selling? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the fund have any obligation to transfer an asset where it does not have a right to give title to the asset to the buyer? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>The right must be presently exercisable and unconditional.</i>
Does the fund have an agreement to buy the asset that meets s45(1)(b) of the Passport Rules? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the agreement cover more than one asset? (if applicable) <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Performance fees <i>See ss47 and 55 of the Passport Rules.</i>	
Does the fund charge a performance fee? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes selected, how does the operator comply with the requirements of s47 of the Passport Rules? <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 5px;"></div>

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Redemptions	
Rights to redemptions <i>See ss48 - 51 and 55 of the Passport Rules</i>	
Are members permitted to request redemptions at any time except when redemption is suspended under s51 of the Passport Rules? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Processing of redemption requests <i>See ss48 - 52 and 55 of the Passport Rules.</i>	
Select the length in days of the redemption period applying unless suspended under s51 or deferred under s52 of the Passport Rules. <i>[Part A – Public]</i>	<input type="checkbox"/> 1 to 15 days <input type="checkbox"/> More than 15 days If ‘more than 15 days’ selected, how does the operator comply with the 15 day limit for the redemption period in s50(2) of the Passport Rules? <div style="border: 1px solid black; height: 80px; width: 100%;"></div>
Suspension of redemptions <i>See ss50 -52 and 55 of the Passport Rules.</i>	
Does the constitution allow suspension of redemptions outside s51 of the Passport Rules? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the constitution allow deferral of redemptions outside s52 of the Passport Rules? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Relief	
Have you applied for an exemption or modification of the Passport Rules? <i>[Part A – Private]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

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	<p>If yes selected, provide details of the exemption or modification.</p> <div style="border: 1px solid black; height: 80px; width: 100%;"></div>
<p>Do you intend to apply for an exemption or modification of the Passport Rules? [Part A – Private]</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes selected, provide details of the exemption or modification.</p> <div style="border: 1px solid black; height: 80px; width: 100%;"></div>
<p>Roles</p>	
<p>Delegation Details</p>	
<p>Does the operator delegate any functions? [Part A – Public]</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Delegation of roles See ss11, 13 and 55 of the Passport Rules.</p> <p>Include all delegates for all delegated roles. Include investment management (sub-delegate) if the investment manager (sub-delegate) manages 10% or more of fund assets.</p> <ul style="list-style-type: none"> • Administration includes legal and fund management accounting services, customer inquiries, valuation and pricing, distribution of income, issue and redemptions, contract settlements and record keeping. • Compliance includes functions, processes and procedures for monitoring and assessing the adequacy of compliance. • Custody is the safekeeping of fund assets. • Distribution and marketing includes inviting for issue or sale, offering for issue or sale and arranging for issue or sale about interests in the fund. • Investment management is the making of investment decisions for the fund. • Investment management (sub-delegate) is the making of investment decisions about some or all of the assets of the fund as a delegate of the investment manager. • IT includes software application development, software application maintenance, helpdesk, IT infrastructure, system integration and networks. • Risk management includes coordinated activities to direct and control an organisation with regard to risk. • Registrar includes maintenance of a member register 	
<p>Delegation of investment management role See ss11 and 55 of the Passport Rules. Complete this section if the investment management role is delegated</p>	
<p>What percentage of assets is managed by investment managers? [Part A – Public]</p>	

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Is the investment manager Australian? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<i>[Part A – Public (all fields)]</i>		
Identifier type	<input type="checkbox"/> ACN <input type="checkbox"/> ARBN <input type="checkbox"/> Foreign identifier	
ACN/ARBN/Foreign identifier		
Name		
Principal place of business	Address Line 1	
	Address Line 2	
	City / Municipality	
	Province / County / State	
	Postal Code / ZIP Code	
	Country/territory	
Registered office	Address Line 1	
	Address Line 2	
	City / Municipality	
	Province / County / State	
	Postal Code / ZIP Code	
	Country/territory	
Australian financial services licence (if applicable) <i>[Part A – Public]</i>		

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<p>Australian financial services authorised representative (if applicable) <i>[Part A – Public]</i></p>	
<p>Foreign authorisation, licence or registration number (if applicable) <i>[Part A – Public]</i></p>	
<p>Supervisory or regulatory authority <i>[Part A – Public]</i></p>	<p><i>Only complete if the investment manager is not Australian.</i></p>
<p>Provide details of authorisation, licence or registration <i>[Part A – Public]</i></p>	<p><i>Only complete if the investment manager is not Australian.</i></p>
<p>Why does the delegate not require an authorisation or licence? (if applicable) <i>[Part A – Private]</i></p>	
<p>Provide a description of the delegated function <i>[Part A – Public]</i></p>	
<p>Delegation agreement date <i>[Part A – Public]</i></p>	
<p>Is the delegate a related party of the operator or of another delegate? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Operator <input type="checkbox"/> Delegate <input type="checkbox"/> Both <input type="checkbox"/> No</p>
<p>Select how the entity is related to the operator or delegate (if applicable) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> s57(5)(a) of the Passport Rules <input type="checkbox"/> s57(5)(b) of the Passport Rules <input type="checkbox"/> s57(5)(c) of the Passport Rules <input type="checkbox"/> s57(5)(d) of the Passport Rules <input type="checkbox"/> s57(5)(e) of the Passport Rules <input type="checkbox"/> s57(5)(f) of the Passport Rules <input type="checkbox"/> s57(5)(g) of the Passport Rules <input type="checkbox"/> s57(5)(h) of the Passport Rules</p>

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	<input type="checkbox"/> s57(5)(i) of the Passport Rules <input type="checkbox"/> Other <i>Select one or more options.</i> If other, how is the entity related to the operator or delegate? <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
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Privacy Collection Notice

The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.

If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.

Provide details of the person responsible for the investment management role

[Part A – Private (all fields)]

Title	
Given name	
Other given name(s)	
Family name	
Role	
Date of birth	

Provide details about the person’s experience

[Part A – Private (all fields)]

Organisation name	
Country/territory	
Role	
Start date	
End date	<i>Enter application date if this is a current role.</i>

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Provide details about the experience in this role	
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Organisation name	
Country/territory	
Role	
Start date	
End date	<i>Enter application date if this is a current role.</i>
Provide details about the experience in this role	

Provide details about the person’s qualifications
[Part A – Private (all fields)]
Details of qualifications are only necessary if the responsible person has less than five years of relevant experience in the last seven years.

Qualification name	
Institution name	
Date completed	
Qualification level	<input type="checkbox"/> Bachelor degree or equivalent <input type="checkbox"/> Higher qualifications

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How is the qualification a relevant discipline?	
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Other delegated role

Complete this delegated role section if applicable

Select the delegated role <i>[Part A – Public]</i>	<input type="checkbox"/> Administration <input type="checkbox"/> Compliance <input type="checkbox"/> Risk management <input type="checkbox"/> Custody <input type="checkbox"/> Distribution <input type="checkbox"/> IT <input type="checkbox"/> Registrar <i>Select one or more options</i>
Is the delegate Australian? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

[Part A – Public (all fields)]

Identifier type	<input type="checkbox"/> ACN <input type="checkbox"/> ARBN <input type="checkbox"/> Foreign identifier		
ACN/ARBN/Foreign identifier			
Name			
Principal place of business	Address Line 1		
	Address Line 2		
	City / Municipality		
	Province / County / State		
	Postal Code / ZIP Code		
	Country/territory		
Registered office	Address Line 1		

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	Address Line 2		
	City / Municipality		
	Province / County / State		
	Postal Code / ZIP Code		
	Country/territory		
Australian financial services licence (if applicable) <i>[Part A – Public]</i>			
Australian financial services authorised representative (if applicable) <i>[Part A – Public]</i>			
Foreign authorisation, licence or registration number (if applicable) <i>[Part A – Public]</i>			
Supervisory or regulatory authority <i>[Part A – Public]</i>	<i>Only complete if the delegate is not Australian.</i>		
Provide details of authorisation, licence or registration <i>[Part A – Public]</i>	<i>Only complete if the delegate is not Australian.</i>		
Why does the delegate not require an authorisation or licence? (if applicable) <i>[Part A – Private]</i>			
Provide a description of the delegated function <i>[Part A – Public]</i>			
Delegation agreement date <i>[Part A – Public]</i>			

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<p>Is the delegate a related party of the operator or of another delegate? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Operator <input type="checkbox"/> Delegate <input type="checkbox"/> Both <input type="checkbox"/> No</p>
<p>Select how the entity is related to the operator or delegate <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> s57(5)(a) of the Passport Rules <input type="checkbox"/> s57(5)(b) of the Passport Rules <input type="checkbox"/> s57(5)(c) of the Passport Rules <input type="checkbox"/> s57(5)(d) of the Passport Rules <input type="checkbox"/> s57(5)(e) of the Passport Rules <input type="checkbox"/> s57(5)(f) of the Passport Rules <input type="checkbox"/> s57(5)(g) of the Passport Rules <input type="checkbox"/> s57(5)(h) of the Passport Rules <input type="checkbox"/> s57(5)(i) of the Passport Rules <input type="checkbox"/> Other <i>Select one or more options.</i></p> <p>If other, how is the entity related to the operator or delegate?</p> <div data-bbox="568 869 1465 1137" style="border: 1px solid black; height: 120px; width: 100%;"></div>
<p>Annual reviews</p>	
<p>Annual implementation review</p>	
<p>Privacy Collection Notice <i>The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.</i> <i>If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.</i></p>	
<p>Is the appointed compliance plan auditor the same as the annual implementation reviewer? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>If 'yes', go to the financial statement auditor section.</i> <i>If 'no', complete the annual implementation reviewer section below.</i></p>
<p>Annual implementation reviewer</p>	
<p>Auditor type <i>[Part A – Private]</i></p>	<p><input type="checkbox"/> Individual Auditor <input type="checkbox"/> Audit Company <input type="checkbox"/> Audit Firm</p>

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Registered auditor number (if applicable) <i>[Part A – Public]</i>		
Provide the auditor name <i>[Part A – Public]</i>		
Australian Company Number (ACN) (if applicable)		
Registered auditor number of lead auditor (if applicable) <i>[Part A – Private]</i>		
Principal place of business <i>[Part A – Public]</i>	Address Line 1	
	Address Line 2	
	City / Municipality	
	Province / County / State	
	Postal Code / ZIP Code	
	Country/territory	
Financial statements auditor <i>See ss16 and 55 of the Passport Rules.</i>		
Privacy Collection Notice <i>The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.</i> <i>If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.</i>		
Registered auditor number <i>[Part A - Public]</i>		
Auditor name <i>(individual, company or business name)</i> <i>[Part A - Public]</i>		

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Principal place of business <i>[Part A – Public]</i>	Address Line 1	
	Address Line 2	
	City / Municipality	
	Province / County / State	
	Postal Code / ZIP Code	
	Country/territory	
Name of individual auditor, lead auditor or review auditor <i>[Part A – Private]</i>		
External legal firm or company <i>[Part B]</i>		
Did you use an external legal firm or company to help prepare this application?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Name		
Principal place of business	Address Line 1	
	Address Line 2	
	City / Municipality	
	Province / County / State	
	Postal Code / ZIP Code	
	Country/territory	

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Organisational Competence

See ss6, 14 and 55 of the Passport Rules and ss601JA and 601JB of the Corporations Act.

Directors

Privacy Collection Notice

The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.

If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.

Details of director [Part A – Private (all fields)]

Given name	
Family name	
Date of birth	
Select capacity for this director	<input type="checkbox"/> CEO or equivalent <input type="checkbox"/> External director <input type="checkbox"/> Internal director <input type="checkbox"/> Compliance committee member <input type="checkbox"/> Responsible person

Provide the following details about the director’s experience

Organisation name	
Country/territory	
Role	
Start date	
End date	<i>Enter today's date for a current role.</i>

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<p>Provide details about the supervisory or managerial experience in this role.</p>	<p><i>If the director is a chief executive officer or equivalent, their experience must meet s6(2)(a) of the Passport Rules. Include experience for two directors or one director and one or more chief executive officers or equivalent. Include information about the director's day to day activities that are supervision or management related in this role and if the director is also a responsible person, information about the how the director was responsible for making or supervising discretionary investment decisions.</i></p>
<p>Have you attached a criminal history check and bankruptcy check (or statutory declaration) for each director? [Part A – Private]</p> <p>[<input type="checkbox"/>] Yes [<input type="checkbox"/>] No</p> <p><i>Note: Overseas criminal history and bankruptcy check are required for each country/territory of residence, in addition to Australian criminal history and bankruptcy checks, if the person has resided overseas within the past 10 years. Australian criminal history and bankruptcy checks are not required if the person has not resided in Australia at all over the past 10 years. Criminal history and bankruptcy checks must not be more than 12 months old.</i></p> <p><i>If the director has resided overseas provide both Australian and overseas criminal history and bankruptcy checks that cover the past 10 years.</i></p> <p><i>If the director has used or been known by another name provide checks for each other name.</i></p> <p><i>If the director has been unable to obtain an overseas criminal history or bankruptcy check, attach a statutory declaration, explaining the efforts they have made to obtain a check and stating their criminal or bankruptcy history.</i></p> <p><i>Provide translations for any document not in English.</i></p>	
<p>Details of director [Part A – Private (all fields)]</p>	
<p>Given name</p>	
<p>Family name</p>	
<p>Date of birth</p>	
<p>Select capacity for this director</p>	<p>[<input type="checkbox"/>] CEO or equivalent [<input type="checkbox"/>] External director [<input type="checkbox"/>] Internal director [<input type="checkbox"/>] Compliance committee member [<input type="checkbox"/>] Responsible person</p>

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Provide the following details about the director's experience	
Organisation name	
Country/territory	
Role	
Start date	
End date	Enter today's date for a current role.
Provide details about supervisory or managerial experience in this role	<p><i>If the director is a chief executive officer or equivalent, their experience must meet s6(2)(a) of the Passport Rules.</i></p> <p><i>Include experience for two directors or one director and one or more chief executive officers or equivalent.</i></p> <p><i>Include information about the director's day to day activities that are supervision or management related in this role and if the director is also a responsible person, information about the how the director was responsible for making or supervising discretionary investment decisions.</i></p>
<p>Have you attached a criminal history check and bankruptcy check (or statutory declaration) for each director? [Part A – Private]</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>Note: Overseas criminal history and bankruptcy check are required for each country/territory of residence, in addition to Australian criminal history and bankruptcy checks, if the person has resided overseas within the past 10 years. Australian criminal history and bankruptcy checks are not required if the person has not resided in Australia at all over the past 10 years. Criminal history and bankruptcy checks must not be more than 12 months old.</i></p> <p><i>If the director has resided overseas provide both Australian and overseas criminal history and bankruptcy checks that cover the past 10 years.</i></p> <p><i>If the director has used or been known by another name provide checks for each other name.</i></p> <p><i>If the director has been unable to obtain an overseas criminal history or bankruptcy check, attach a statutory declaration, explaining the efforts they have made to obtain a check and stating their criminal or bankruptcy history.</i></p> <p><i>Provide translations for any document not in English.</i></p>	

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Details of other director

[Part A – Private (all fields)]

Provide details of directors whose experience is not relied on to meet the requirements of s6 of the Passport Rules.

Given name	
Family name	
Date of birth	
Capacity	<input type="checkbox"/> CEO or equivalent <input type="checkbox"/> External director <input type="checkbox"/> Internal director <input type="checkbox"/> Compliance committee member <input type="checkbox"/> Responsible person

Details of chief executive officer

[Part A – Private (all fields)]

If there is a chief executive officer who is not identified in the section above, provide details.

Title	
Given name	
Other given name(s)	
Family name	
Date of birth	

Provide the following details about the chief executive officer’s experience

Organisation name	
Country/territory	
Role	
Start date	

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End date	<i>Enter today's date for a current role.</i>
Provide details about the managerial or supervisory experience in this role	
<p>Have you attached a criminal history check and bankruptcy check (or statutory declaration) for this officer? <i>[Part A – Private]</i></p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>Overseas criminal history and bankruptcy check are required for each country/territory of residence, in addition to Australian criminal history and bankruptcy checks, if the person has resided overseas within the past 10 years. Australian criminal history and bankruptcy checks are not required if the person has not resided in Australia at all over the past 10 years. Criminal history and bankruptcy checks must not be more than 12 months old.</i></p> <p><i>If the chief executive officer has resided overseas provide both Australian and overseas criminal history and bankruptcy checks that cover the past 10 years.</i></p> <p><i>If the chief executive officer has used or been known by another name provide checks for each other name.</i></p> <p><i>If the chief executive officer has been unable to obtain an overseas criminal history or bankruptcy check, attach a statutory declaration, explaining the efforts they have made to obtain a check and stating their criminal or bankruptcy history.</i></p> <p><i>Provide translations for any document not in English.</i></p>	
<p>Independent Oversight – Compliance committee members <i>[Part A – Private (all fields)]</i> <i>See Div 6.2 and 6.3 and ss12, 14 and 55 of the Passport Rules.</i> <i>Only complete this section if the fund has a compliance committee.</i></p>	
Does the fund have a compliance committee?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Privacy Collection Notice</p> <p><i>The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.</i></p> <p><i>If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.</i></p>	
<p>If yes, provide details of each compliance committee member not already entered above</p>	
Title	

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Given name	
Other given name(s)	
Family name	
Date of birth	
Title	
Given name	
Other given name(s)	
Family name	
Date of birth	
Title	
Given name	
Other given name(s)	
Family name	
Date of birth	

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Responsible persons

[Part A – Private (all fields)]

Include officers or employees who supervise or monitor another organisation to which investment management has been delegated.

Provide details of each person responsible for discretionary investment decisions

Privacy Collection Notice

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If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.

Title	
Given name	
Other given name(s)	
Family name	
Date of birth	

Provide the following details about the responsible officer’s experience

Organisation name	
Country/territory	
Role	
Start date	
End date	<i>Enter today's date for a current role.</i>
How was the person responsible for making or supervising discretionary investment decisions?	

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Provide the following details about the responsible officer’s qualifications

Details of qualifications are only necessary if the responsible officer has less than five years of relevant experience in the last seven years.

Qualification name	
Institution name	
Date completed	
Qualification level	<input type="checkbox"/> Bachelor degree or equivalent <input type="checkbox"/> Higher qualification
How is the qualification in a relevant discipline?	

Relevant parties

[Part A – Private (all fields)]

See s10 of the Passport Rules.

Include officers of entities which control the operator.

Exclude directors, chief executive officers or equivalent and responsible persons already included in application.

Only complete this section if the relevant party is a natural person.

Privacy Collection Notice

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If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.

Title	
Given name	
Other given name(s)	
Family name	
Date of birth	
Role	

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Have you attached a criminal history check and bankruptcy check (or statutory declaration) for this officer?

[Part A – Private]

Yes

No

Note: Overseas criminal history and bankruptcy check are required for each country/territory of residence, in addition to Australian criminal history and bankruptcy checks, if the person has resided overseas within the past 10 years. Australian criminal history and bankruptcy checks are not required if the person has not resided in Australia at all over the past 10 years. Criminal history and bankruptcy checks must not be more than 12 months old.

If the relevant party has resided overseas provide both Australian and overseas criminal history and bankruptcy checks that cover the past 10 years.

If the relevant party has used or been known by another name provide checks for each other name.

If the relevant party has been unable to obtain an overseas criminal history or bankruptcy check, attach a statutory declaration, explaining the efforts they have made to obtain a check and stating their criminal or bankruptcy history.

Provide translations for any document not in English.

Track record

Operator track record

Does the operator meet the track record test in its own right or is it relying on the track record of a related party operator of collective investment schemes?

[Part A – Public]

In its own right

Through related party reliance

If the applicant is relying on the operator's own track record, move to the 'Change in control' section and answer the questions in that section.

Related party details

ACN/ARBN/Other identifier of related party

[Part A – Public]

Australian Business Number (ABN) (if applicable)

[Part A – Public]

Name

[Part A – Public]

Country/territory of registration (if related party is not Australian)

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<p>[Part A – Public]</p>	
<p>Supervisory or regulatory authority (if related party is not Australian) [Part A – Public]</p>	
<p>Date the operator began operating the collective investment scheme [Part A – Public]</p>	
<p>Related party reliance <i>(complete this section if operator meets track record through related party reliance)</i></p>	
<p>Privacy Collection Notice <i>The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.</i> <i>If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.</i></p>	
<p>Select which processes and staff of the related party are materially different to those of the operator in relation to operating financial asset collective investment schemes [Part A – Public]</p>	<p> <input type="checkbox"/> Business processes <input type="checkbox"/> Decision-making processes <input type="checkbox"/> Staff <input type="checkbox"/> None </p> <p>Provide details about any differences [Part A – Private]</p> <div style="border: 1px solid black; height: 200px; width: 100%;"></div>

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<p>Select how the entity is related to the operator <i>[Part A – Private]</i></p>	<p> <input type="checkbox"/> s57(5)(a) of the Passport Rules <input type="checkbox"/> s57(5)(b) of the Passport Rules <input type="checkbox"/> s57(5)(c) of the Passport Rules <input type="checkbox"/> s57(5)(d) of the Passport Rules <input type="checkbox"/> s57(5)(e) of the Passport Rules <input type="checkbox"/> s57(5)(f) of the Passport Rules <input type="checkbox"/> s57(5)(g) of the Passport Rules <input type="checkbox"/> s57(5)(h) of the Passport Rules <input type="checkbox"/> s57(5)(i) of the Passport Rules <input type="checkbox"/> Other </p> <p>If 'Other' selected, how the entity is related to the operator?</p> <div style="border: 1px solid black; height: 60px; width: 100%;"></div> <p><i>Select one or more options. See section 57 of the Passport Rules.</i></p>
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Change in control

Privacy Collection Notice

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If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.

<p>Has the operator had a relevant change of control in the last five years? <i>[Part A – Public (all fields)]</i></p>	<p> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>If yes, answer the following questions.</p> <p>What were the reasons for the relevant change of control?</p> <div style="border: 1px solid black; height: 60px; width: 100%;"></div> <p>Has there been substantial continuity among those responsible for making or supervising discretionary investment decisions for the nominated financial asset collective investment scheme over the last five years?</p> <div style="border: 1px solid black; height: 60px; width: 100%;"></div>
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	<p>Has the fund been operated by the same corporate group for the last five years?</p> <div data-bbox="687 275 1485 495" style="border: 1px solid black; height: 98px;"></div> <p>Provide details about any changes to corporate governance arrangements</p> <div data-bbox="687 600 1485 819" style="border: 1px solid black; height: 98px;"></div> <p>Provide details about changes to the operational arrangements over the last five years</p> <div data-bbox="687 925 1485 1104" style="border: 1px solid black; height: 80px;"></div> <p><i>Include details about changes to directors and compliance committee members over the last five years. Include details about changes to the operator's or related party's reporting lines and compliance systems, procedures for monitoring service providers and accounting, computer and IT systems.</i></p>
<p>Has the related party had a relevant change of control in the last five years? <i>[Part A – Public (all fields)]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, answer the following questions.</p> <p>What were the reasons for the relevant change of control?</p> <div data-bbox="687 1509 1485 1688" style="border: 1px solid black; height: 80px;"></div> <p>Has there been substantial continuity among those responsible for making or supervising discretionary investment decisions for the nominated financial asset collective investment scheme over the last five years?</p> <div data-bbox="687 1868 1485 2047" style="border: 1px solid black; height: 80px;"></div>

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	<p>Has the fund been operated by the same corporate group for the last five years?</p> <div data-bbox="687 275 1487 495" style="border: 1px solid black; height: 98px; margin-bottom: 10px;"></div> <p>Provide details about any changes to corporate governance arrangements.</p> <div data-bbox="687 600 1487 819" style="border: 1px solid black; height: 98px; margin-bottom: 10px;"></div> <p>Provide details about changes to the operational arrangements over the last five years.</p> <div data-bbox="687 925 1487 1104" style="border: 1px solid black; height: 80px;"></div> <p><i>Include details about changes to directors and compliance committee members over the last five years.</i></p> <p><i>Include details about changes to the operator's or related party's reporting lines and compliance systems, procedures for monitoring service providers and accounting, computer and IT systems.</i></p>
<p>Who has substantial influence over the operator or related party? (if applicable) <i>[Part A – Private]</i></p>	
<p>Provide details about how the person exercises substantial influence. (if applicable) <i>[Part A – Private]</i></p>	
<p>Provide details about circumstances which prevented the decisions being made without substantial influence. (if applicable) <i>[Part A – Private]</i></p>	
<p>Provide details about what type of decisions were made (if applicable)</p>	

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<i>[Part A – Private]</i>	
<p>Collective investment scheme <i>[Part A – Public (all fields)]</i> See ss9 and 55 of the Passport Rules and s10 of the Superannuation Industry (Supervision) Act 1993.</p>	
<p>Provide details of a collective investment scheme demonstrating the track record You can nominate a regulated public offer superannuation fund.</p>	
Is the collective investment scheme Australian?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Type of collective investment scheme	<input type="checkbox"/> Managed investment scheme <input type="checkbox"/> Regulated public offer superannuation
Identifier type	<input type="checkbox"/> Australian Registered Scheme Number (ARSN) <input type="checkbox"/> Registrable Superannuation Entity Number (RSE) <input type="checkbox"/> Australian Registered Body Number (ARBN) <input type="checkbox"/> Other identifier
Identification number	
Name	
Country/territory of registration	<i>If the collective investment scheme is not Australian.</i>
Supervisory or regulatory authority	<i>If the collective investment scheme is not Australian.</i>
Is the collective investment scheme a financial asset kind?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is the collective investment scheme able to be offered to the general public?	<input type="checkbox"/> Yes <input type="checkbox"/> No
How does the collective investment scheme demonstrate the track record?	

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Adequacy of resources

Assets under management by the operator and related parties

See s3(4) of the Common Regulatory Arrangements, s55 of the Passport Rules and s1212A of the Corporations Act.

What is the total sum of assets of financial asset collective investment schemes or discretionary management powers of others' money under management?

[Part A – Public (all fields)]

In Australian dollars	
In US dollars	
Valuation date	

Exclude assets invested in another collective investment scheme or through other discretionary management arrangements, operated by the operator or its related parties to avoid double counting.

To convert values to US dollars, use the methodology in s3(5) of the Common Regulatory Arrangements at the Reserve Bank of Australia's historical exchange rates.

Financial resources of the operator

See s7 of the Passport Rules.

Provide the equity of the operator in Australian dollars and US dollars and the date of the valuation

[Part A – Public (all fields)]

In Australian dollars	
In US dollars	
Valuation date	

To convert values to US dollars, use the methodology in the definition of 'relevant exchange rate' in s7(4) of the Passport Rules at the Reserve Bank of Australia's historical exchange rates.

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Provide the total assets under management of the operator in Australian dollars and US dollars and the date of the valuation

[Part A – Public (all fields)]

In Australian dollars	
In US dollars	
Valuation date	

To convert values to US dollars, use the methodology in the definition of 'relevant exchange rate' in s7(4) of the Passport Rules at the Reserve Bank of Australia's historical exchange rates.

Provide the value of any guarantee or undertaking included in the equity of the operator in Australian dollars

[Part A – Public]

If relying on a guarantee or undertaking, and the guarantor is not an ADI, the operator should seek a written opinion from ASIC that the body providing the guarantee or undertaking is subject to prudential supervision by a financial supervisory authority that is generally largely compliant with the guidelines of the Basel Committee on Banking Supervision.

Provide the value of approved personal indemnity insurance cover included in the equity of the operator in Australian dollars

[Part A – Public]

If relying on personal indemnity insurance cover the personal indemnity insurance policy must be approved by ASIC under s7 of the Passport Rules.

Good standing of operator

[Part B (all fields)]

See ss10 and 55 of the Passport Rules.

Privacy Collection Notice

The Privacy Collection Notice given under APP 5 of the Privacy Act 1988 applies to your provision of personal and sensitive information below.

If you are providing personal details of another person, you are responsible for obtaining and recording their consent before you provide their personal and sensitive information below.

Select any finding, infringement notice, action, decision, judgment, settlement or undertaking for the operator, controller or each officer

Provide details covering the last 10 years.

Finding by a dispute resolution service or supervisory or regulatory body:

Provide details about each finding

Who was the finding about?	
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What was the finding?	
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Include a description of the finding and the name of the dispute resolution service.

Enforcement action taken by a supervisory or regulatory body for a contravention:

Provide details about each enforcement action

Who was the enforcement action against?	
What was the enforcement action about?	

Include a description about the enforcement action and the name of the supervisory or regulatory body.

Judgment or decision given by a court, tribunal, arbitrator, dispute resolution service or equivalent:

Provide details about each judgment or decision

Who was the judgment or decision against?	
What was the enforcement action about?	

Include a description about the judgment or decision, the name of the court, tribunal, arbitrator, dispute resolution service or equivalent and decision or judgment reference.

Settlement with a supervisory or regulatory body or person, or in relation to an action or proposed action before a court, tribunal, arbitrator or dispute resolution service:

Provide details about each settlement

Who was the settlement with?	
What was the settlement about?	

Include a description about the terms of settlement, the name of the supervisory or regulatory body or person and the name of the court, tribunal, arbitrator or dispute resolution service.

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Enforceable undertaking given to a supervisory or regulatory body, court, tribunal, arbitrator, dispute resolution service or equivalent:

Provide details about each enforceable undertaking

Who was the enforceable undertaking about?	
What was the enforceable undertaking about?	

Include a description about the terms of enforceable undertaking, the name of the supervisory or regulatory body and the name of the court, tribunal, arbitrator or dispute resolution service.

Are there any extra matters that impact on the integrity or competence to operate the fund?	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Provide details about any extra matters	<i>Include a description of each matter and the names of all parties involved in it.</i>
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Compliance

Eligible entity

See s3 of the Common Regulatory Arrangements, and ss6 - 10 and 55 of the Passport Rules.

Qualifications and experience

See ss6 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations for officers having relevant qualifications and experience

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Checks are performed to ensure that qualifications, competency and experience requirements are satisfied before reliance is placed on them		
<input type="checkbox"/> Checks are performed on documentary evidence and references before reliance is placed on an officer's or employee's qualifications or experience		
<input type="checkbox"/> Documented monitoring processes are in place to check that the operator satisfies the organisational competency requirements under their AFS licence and the Passport Rules		
<input type="checkbox"/> Officers and employees responsible for operation and oversight of passport funds are trained to perform their roles		

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<input type="checkbox"/> Records of officer and employee qualifications and training are maintained		
<input type="checkbox"/> Documented organisational structure is in place with roles, responsibilities and accountabilities in relation to passport funds clearly articulated for all officers and employees		
<input type="checkbox"/> Aptitude tests are held before staff are recruited that address relevant job requirements		
<input type="checkbox"/> Job descriptions for relevant officers and employees involved in the operation of passport funds mandate the minimum qualifications and experience requirements under the Passport Rules		
<input type="checkbox"/> Other – Please specify:		

Financial resources

See ss7 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about meeting the financial resources test

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Checks on whether financial resources meet requirements are made, including by preparing and checking management accounts and reconciliations of any deposit accounts		
<input type="checkbox"/> Directors confirm equity is held as required by the Passport Rules		
<input type="checkbox"/> The terms of any guarantees or undertakings relied on to meet financial resources requirements satisfy the requirements in the Passport Rules		
<input type="checkbox"/> Any professional indemnity insurance relied on to meet financial resources requirements satisfy the requirements in the Passport Rules and any conditions of ASIC approval		
<input type="checkbox"/> Other – Please specify:		

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Organisational arrangements <i>See ss8 and 55 of the Passport Rules.</i>	
What procedures does the operator have to manage conflicts of interest where any function is delegated to a related party? (if applicable) <i>[Part A – Public]</i>	
What procedures does the operator have to manage conflicts of interest where derivatives are not cleared through a central clearing counterparty and the derivative counterparty is a related party? (if applicable) <i>[Part A – Public]</i>	
What procedures does the operator have to manage conflicts of interest where a securities lending counterparty is a related party? (if applicable) <i>[Part A – Public]</i>	
What procedures does the operator have to know when there are exceptional circumstances that would mean the derivative does not have to be closed or sold for the value in the time stated in s25(1)(c) of the Passport Rules? (if applicable) <i>[Part A – Private]</i>	
Does the operator store records securely for at least seven years? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the operator have a disaster recovery plan that is reviewed and tested? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the operator have documented procedures in place about keeping a register of members? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the operator have a documented organisational structure that assigns responsibilities and reporting lines? <i>[Part A – Public]</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

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<p>Does the operator have a documented conflicts of interest policy? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the operator have implemented processes to identify actual or potential conflicts of interest? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the operator have implemented processes to monitor compliance and identify non-compliance? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the operator assess actual and potential conflicts of interest that are notified? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the operator have implemented processes for disclosing conflicts of interests to members and how they may be affected? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Are the conflicts of interest policy and processes reviewed at least annually? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Does the operator have documented procedures to comply with the Passport Rules? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Are there identified functionally separate roles for carrying out each compliance control and monitoring that compliance control? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Which compliance controls do not have identified functional roles? <i>[Part A – Public]</i></p>	
<p>Why do these compliance controls not have identified functional roles? <i>[Part A – Public]</i></p>	
<p>What processes are in place to monitor compliance controls which do not have identified functional roles?</p>	

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<p><i>[Part A – Public]</i></p>	
<p>Is the compliance management system reviewed at least annually? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>When was the compliance management system last updated? <i>[Part A – Public]</i></p>	
<p>Is there a documented risk management framework? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is there a policy or procedure for identifying, assessing and understanding each of the material risks of the operator and passport fund? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is there a policy or procedure for adequate controls in place to manage the risks identified? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is there a policy or procedure for adequate oversight of the risk management systems by both the party responsible for ownership of the risk and the compliance function? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is there a risk appetite and tolerance statement for each identified material risk? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is the risk management framework reviewed at least annually? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

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Track record

See ss9 and 55 of the Passport Rules.

If a related party is relied upon to meet the track record test, provide details about each compliance control for compliance obligations to meet the track record test

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
[] Checks are performed to ensure that there is a degree of relevant commonality in processes and staff between the operator and a related party relied on		
[] Monitoring any related party to ensure the operator can continue to rely on the related party to satisfy the track record requirements under the Passport Rules		
[] The terms of the arrangement with any related party requires the related party to notify the operator of relevant changes in processes and staff		
[] Other – Please specify:		

What procedures does the operator have to monitor decisions in relation to the operation of financial asset collective investment schemes without substantial influence by any person who controls the operator?

[Part B]

Good standing

See s10 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations to meet the good standing test

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
[] Pre-engagement checks to ensure each relevant party meets the good standing test		
[] Arrangements and procedures that require each relevant party to disclose to the operator any matter affecting their integrity or competence		
[] Other – Please specify:		

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Corporations legislation

Delegation and engagement of service providers
See ss11, 13, 15 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about delegating functions and engaging service providers
[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Checks are made that each delegate or service provider involved in the operation of the passport fund meets regulatory requirements and is competent		
<input type="checkbox"/> Written agreements exist for delegates and service providers specifying the duties, standards and access to information of the parties		
<input type="checkbox"/> Written agreements for delegates and service providers are consistent with the operator’s obligations as an AFS licensee including compliance with the Passport Rules		
<input type="checkbox"/> Performance of duties to the required standards by delegates and service providers are checked to ensure they are consistent with the operator’s obligations as an AFS licensee including for compliance with the Passport Rules		
<input type="checkbox"/> Relevant policies, processes and compliance controls of delegates and service providers are consistent with the Passport Rules		
<input type="checkbox"/> The terms of the appointment of delegates and service providers require them to report breaches and potential breaches of the Passport Rules and the operator’s AFS licence to the operator		
<input type="checkbox"/> Evidence is obtained that each delegate or service provider has insurance addressing its liability to the operator to the extent reasonably necessary		
<input type="checkbox"/> Checks are made that investment management delegates and sub-delegates are authorised or registered as required under the Passport Rules		
<input type="checkbox"/> Receiving certification that the delegate or service provider has complied with the written agreement		
<input type="checkbox"/> Arrangements for delegate or service provider material change notifications are documented, agreed and followed		
<input type="checkbox"/> Measures to mitigate cybersecurity risks are documented, periodically tested and enhanced as required		

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<input type="checkbox"/> Checks are performed for investment management delegates and sub-delegates to ensure investment decisions are made by persons meeting the requirements in the Passport Rules		
<input type="checkbox"/> Certifications are obtained from investment management delegates and sub-delegates that investment decisions are made by persons meeting the requirements in the Passport Rules		
<input type="checkbox"/> Other – Please specify:		

Reporting breaches and changes

See ss12 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about reporting breaches and changes

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Breaches and potential breaches are documented		
<input type="checkbox"/> Breaches and potential breaches are investigated		
<input type="checkbox"/> Remediation activities to be undertaken in relation to breaches to address risk of recurrence are formally documented and tracked		
<input type="checkbox"/> Actual and potential breaches are assessed to determine if they are required to be reported to ASIC when they are identified		
<input type="checkbox"/> Breaches are analysed to identify causes and any appropriate remediation		
<input type="checkbox"/> Staff are trained to identify and immediately report any breaches or potential breaches		
<input type="checkbox"/> Procedures for dealing with staff who report breaches ensure they are not penalised or disadvantaged because they do so		
<input type="checkbox"/> Processes are in place to identify any reportable event under the Passport Rules		
<input type="checkbox"/> Compliance staff monitor key events relating to the fund to determine if reporting obligations are met		
<input type="checkbox"/> Other – Please specify:		

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Monitoring by independent oversight entity

See ss14 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about monitoring by the independent oversight entity

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> The operator analyses the information that needs to be provided to the independent oversight entity to enable it to meet its functions		
<input type="checkbox"/> Arrangements are in place to ensure that information necessary for the independent oversight entity to meet its functions has been provided		
<input type="checkbox"/> The performance of the independent oversight entity is assessed by the Board		
<input type="checkbox"/> Processes are in place to ensure any contravention by the independent oversight entity is documented, considered by the Board and remedial action taken		
<input type="checkbox"/> Any breaches or potential breaches of the Passport Rules identified by the independent oversight entity are reported to the operator		
<input type="checkbox"/> If a compliance committee member resigns or is appointed, checks are made to ensure that the composition of the compliance committee continues to meet the requirements of the Corporations Act and Passport Rules		
<input type="checkbox"/> Members of the compliance committee and directors have agreed to notify the operator of any change which results in them ceasing to be external		
<input type="checkbox"/> Arrangements are established to ensure records are kept and assistance of staff and information is provided to assist the implementation reviewer in its functions		
<input type="checkbox"/> Each implementation review that is qualified is reviewed by the Board and the independent oversight entity		
<input type="checkbox"/> Other – Please specify:		

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Permitted assets and portfolio allocation and exposure

See s55 and Div 6.2, 6.3 and 6.4 of the Passport Rules.

Provide details about each compliance control for compliance obligations about permitted assets and portfolio allocation and exposures

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
[] Each proposed investment mandate is confirmed to ensure compliance with the Passport Rules relating to investments		
[] Exposure levels are checked to ensure compliance		
[] Investment mandate restrictions are given contractual force		
[] Procedures are in place to check that each investment manager is following the investment mandate		
[] Checks are undertaken to verify the asset register		
[] Before each acquisition is made, a check is made that it will not contravene the Passport Rules		
[] Any guarantee, loan or underwriting requires legal advice on compliance		
[] The extent of any guarantees, loans or underwriting is checked		
[] Relevant staff are trained about permitted assets, portfolio allocation and exposures under the Passport Rules		
[] A section about whether a new asset will meet the Passport Rules is included in the approval template		
[] Where exposures are close to limits in the Passport Rules, systems alert those involved in investment decision making		
[] Other – Please specify:		

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Restrictions for loans, guarantees and underwriting

See s55 and Div 6.5 of the Passport Rules.

Provide details about each compliance control for compliance obligations about restrictions for loans, guarantees or underwriting
(if applicable)

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Any guarantee, loan or underwriting requires legal advice on compliance		
<input type="checkbox"/> The extent of any guarantees, loans or underwriting is checked		
<input type="checkbox"/> Other – Please specify:		

Borrowing

See ss44 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about borrowing.
(if applicable)

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Any guarantee, loan or underwriting requires legal advice on compliance or must meet an existing policy about when borrowing may occur		
<input type="checkbox"/> If borrowing becomes permitted, legal advice is obtained to confirm that any borrowing policy complies with the Passport Rules		
<input type="checkbox"/> The extent of any borrowing is monitored		
<input type="checkbox"/> Other – Please specify:		

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Short-selling

See ss45 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about short-selling (if applicable)

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> There is a policy about short selling that is consistent with the Passport Rules		
<input type="checkbox"/> Contractual arrangements with investment managers and custodians require compliance with the policy and Passport Rules		
<input type="checkbox"/> Short sales transactions are checked for compliance with the policy and Passport Rules		
<input type="checkbox"/> Certification is obtained from each investment manager or custodian that all assets short-sold by them or a delegate comply with the Passport Rules		
<input type="checkbox"/> Other – Please specify:		

Liability of members

See ss46 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about liability of members

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> The constitution provides that members are not liable as members		
<input type="checkbox"/> Legal advice has been obtained that provisions in the constitution are as effective as practicable to ensure members are not liable as members		
<input type="checkbox"/> Where practicable agreements with creditors include provisions seeking to preclude members being liable to creditors because they are members		
<input type="checkbox"/> Other – Please specify:		

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Performance fees

See ss47 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about performance fees.
(if applicable)

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> Performance fees are reviewed for consistency with the Passport Rules by the independent oversight entity and the Board		
<input type="checkbox"/> Performance fee calculations are reviewed and validated prior to payment		
<input type="checkbox"/> Written policies and procedures for performance fees designed to ensure compliance are approved by the Board and checked by the independent oversight entity		
<input type="checkbox"/> Disclosures are included in a Passport Fund’s offer document that confirm any performance fees payable are consistent with the Passport Rules		
<input type="checkbox"/> The reasons why each performance fee complies with the Passport Rules are documented before payment		
<input type="checkbox"/> Performance fee policy is reviewed if there is evidence of excessive risk taking or non-compliance in connection with investments or performance fee calculations		
<input type="checkbox"/> Other – Please specify:		

Withdrawal

See ss48 - 52 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about withdrawing

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> The passport fund’s constitution has provisions that align to the Passport Rules in relation to redemptions and withdrawals		
<input type="checkbox"/> The passport fund’s constitution has provisions that align to the Passport Rules in relation to suspension of redemptions		
<input type="checkbox"/> The operational procedures for processing redemptions and withdrawals are checked to be consistent with the Passport Rules		

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<input type="checkbox"/> Policies concerning suspension and deferral of redemptions have been approved by the Board and checked for consistency with the Passport Rules		
<input type="checkbox"/> The pricing policy is checked for consistency with the Passport Rules and the constitution		
<input type="checkbox"/> For an exchange traded passport fund, arrangements and processes are applied to ensure that the market price does not materially vary from the net asset value		
<input type="checkbox"/> Liquidity is managed to ensure that sufficient cash will be available to meet redemption obligations		
<input type="checkbox"/> Stress tests are conducted to ensure that redemption requests can continue to be satisfied even in adverse market circumstances		
<input type="checkbox"/> Pricing systems are reviewed and tested to ensure they produce reliable and accurate prices		
<input type="checkbox"/> Information is sought and analysed to enable cash flow budgets to be developed to ensure redemption requirements are met		
<input type="checkbox"/> Other – Please specify:		

Valuation

See ss53 and 55 of the Passport Rules.

Provide details about each compliance control for compliance obligations about valuation

[Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
<input type="checkbox"/> There is a written valuation policy designed to ensure compliance		
<input type="checkbox"/> Processes for valuation of assets are designed to ensure they produce fair value as set out in the Passport Rules		
<input type="checkbox"/> Valuations and pricing are checked for consistency with the valuation policy		
<input type="checkbox"/> Valuations and pricing are checked for consistency with market movements		
<input type="checkbox"/> Operational procedures for valuations and pricing are checked to ensure consistency with the valuation policy		
<input type="checkbox"/> Procedures to identify and remediate pricing errors are established		

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<input type="checkbox"/> Price movements are monitored against pre-determined tolerances and any variances are investigated		
<input type="checkbox"/> Tests are conducted to ensure that financial records relating to the assets and liabilities of the fund are accurate and complete		
<input type="checkbox"/> Procedures are in place to ensure that income earned by assets is collected and recorded in a way that is timely, accurate and complete		
<input type="checkbox"/> Independent valuations are periodically conducted for Passport Fund assets without observable market values		
<input type="checkbox"/> Appropriately qualified independent valuers are engaged by written agreement		
<input type="checkbox"/> Checks are made to ensure an external valuer is independent from the operator and free of any conflict of interest		
<input type="checkbox"/> Checks are made to ensure a valuer has appropriate qualifications and experience		
<input type="checkbox"/> Procedures are in place to ensure valuers are rotated at regular intervals		
<input type="checkbox"/> Other – Please specify:		

Compliance history

Breach history

[Part B (all fields)]

See s1212A(1)(b) of the Corporations Act.

Is the operator in breach of the Corporations Act, the ASIC Act or the conditions of its Australian financial services licence?

- Yes
 No

Include all breaches and likely breaches the operator has identified but not rectified, even if the operator has not reported them to ASIC.

Provide details of the breach (if applicable)

Has the breach been reported to ASIC?

- Yes
 No

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When was the breach reported to ASIC?	
Provide details of the breach	
Specify any actions that have been undertaken to prevent recurrence of similar breaches	
<p>Has the operator contravened the Corporations Act, ASIC Act or the conditions of its Australian financial services licence in the last five years?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>Include any circumstance where a particular contravention will occur or is likely to occur. Include any contravention by the operator caused by the act or omission of the operator or another person including any agent or service provider. Include sufficient information to enable ASIC to form the opinion that the contraventions do not indicate the operator is not likely to meet its obligations.</i></p>
<p>Provide details of the contravention (if applicable)</p>	<p><input type="checkbox"/> Contravention has required disclosure to ASIC <input type="checkbox"/> Contravention where a decision about whether to report it to ASIC was escalated to senior management and/or written legal advice was obtained and it was not reported to ASIC. <input type="checkbox"/> Contravention where the significance has not been decided. <input type="checkbox"/> Other <i>Select type of contravention</i></p>
<p style="text-align: center;"><i>Information about 'Other' types of contravention is not required.</i></p>	
When was the contravention reported to ASIC?	<p><i>Only answer this question if the contravention has required disclosure to ASIC.</i></p>
Provide details of the contravention	<p><i>Information about 'Other' types of contravention is not required.</i></p>

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Documentation

See ss4 and 55 of the Passport Rules and s1212(2)(b) of the Corporations Act.

Passport fund documents

<p>Have you attached the proposed Product Disclosure Statement (PDS) <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><i>The PDS must be in Microsoft Word or machine-readable PDF. The PDS can exclude the Australian Passport Fund Registration Number (APFRN), must meet all other requirements in Div 2 of Pt 7.9 of the Corporations Act.</i></p>
<p>Has the operator amended the constitution to remove content that is inconsistent with the Passport Rules? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Has the operator updated the compliance plan to add new compliance controls for complying with the Passport Rules? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Has the operator updated the compliance management system to add new compliance controls for complying with the Passport Rules? <i>[Part A – Public]</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Constitution content

Provide a reference to each section in the constitution that meets:

[Part B (all fields)]

s4(3)(a)(i) of the Passport Rules	
s4(3)(a)(ii) of the Passport Rules	
s4(3)(b) of the Passport Rules	
s4(3)(c) of the Passport Rules	

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Provide details about each compliance control for compliance obligations about constitution content
 [Part B (all fields)]

Compliance control	Frequency carried out	Frequency monitored
[] Legal advice that the fund constitution complies with s4 of the Passport Rules		
[] Compliance documents and staff training supports the obligations in the law, even where inconsistent with the passport fund’s constitution		
[] The compliance plan contains adequate measures to ensure compliance with the Passport Rules		
[] Other – Please specify:		

Contact details

Contact details for this application

Title			
Given name			
Other given name(s)			
Family name			
Business phone number			
Mobile phone number			
Email address			
Company or business name			
Role			
Address	Address Line 1		
	Address Line 2		
	City / Municipality		
	Province / County / State		
	Postal Code / ZIP Code		
	Country/territory		

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Declaration	
Capacity	
In what capacity are you submitting this document to ASIC:	<input type="checkbox"/> On behalf of the Regulated Entity named in this document as a director of that entity <input type="checkbox"/> On behalf of the Regulated Entity named in this document as a secretary of that entity <input type="checkbox"/> On behalf of the Regulated Entity named in this document as an agent of that entity or person otherwise authorised by that entity of that entity or person otherwise authorised by that entity
For the purpose of these declarations, please provide your name and address:	Name:
	Address:
Declarant and authority	
I submit this document and make the following declarations and give the following consents.	
<input type="checkbox"/> I am authorised by the Regulated Entity to submit this document and any attachments and am authorised to make the following declarations.	
Confidential and personal information	
<i>The information provided to ASIC in this document may include confidential, personal or sensitive information. ASIC's Privacy Policy contains information about how ASIC handles personal information generally and sets out how you can request access or correction to your personal information and how to make a complaint if you think your privacy has been breached.</i>	
<i>Instructions: Please tick one of the boxes in this section, depending on your capacity in submitting this notice.</i>	
Director declarants: <input type="checkbox"/> I have read and understood ASIC's Privacy Policy.	
Secretary or agent declarants: <input type="checkbox"/> I have read and understood ASIC's Privacy Policy and I have obtained confirmation from the Regulated Entity that it, or an officeholder or partner of the Regulated Entity (or of its trustee), has read and understood ASIC's Privacy Policy.	
All declarants: <input type="checkbox"/> I consent to: (a) ASIC collecting, using and disclosing my confidential, personal or sensitive information for the purposes set out in ASIC's Privacy Policy; and (b) ASIC disclosing this information to Federal, State or Territory police, relevant professional and industry bodies, other Commonwealth, State or Territory government departments or agencies, foreign law enforcement agencies or regulators, foreign industry bodies, or any other	

FORM 5301 – Apply for registration as an Australian Passport Fund

person or body named in this document or its attachments; (c) disclosure to ASIC of any relevant information by the bodies or persons referred to in paragraph (b).

[] If this document and any attachments contain another individual’s confidential, personal or sensitive information, I declare I have obtained their written consent to submit that information to ASIC and to ASIC’s collection, use and disclosure of their information in the same terms as in (a), (b) and (c) immediately above. If requested by ASIC, I can provide a copy of that consent.

NOTE: You may use this template consent if you wish: <https://asic.gov.au/online-services/regulatory-portal/asic-regulatory-portal-third-party-information-consent-template/>

True and correct

Instructions: Please cross out the declaration capacity that is NOT relevant to you.

Director declaration:

I understand that:

- [] giving false or misleading information or documents to ASIC is a serious offence.
- [] failure to give information, which renders the information or documents given to ASIC false or misleading, is also a serious offence.
- [] giving false or misleading information or documents to ASIC and could lead to a criminal prosecution of myself personally.

Secretary or Agent declaration:

I understand that, and I have obtained confirmation from the Regulated Entity that it, or an officeholder or partner of the Regulated Entity (or of its trustee) understands that:

- [] giving false or misleading information or documents to ASIC is a serious offence
- [] failure to give information, which renders the information or documents given to ASIC false or misleading, is also a serious offence
- [] giving false or misleading information or documents to ASIC and could lead to a criminal prosecution of myself personally and the Regulated Entity on whose behalf I am acting.

Instructions: Please tick one of the boxes in this section, depending on your capacity in submitting this notice.

Director declaration:

[] To the best of my knowledge, the information contained in this document, including any attachments, is complete, true and correct, and I have taken reasonable steps and made reasonable inquiries to confirm this.

Secretary or Agent declaration:

[] To the best of my knowledge, the information contained in this document, including any attachments, is complete, true and correct, and I have taken reasonable steps and made reasonable inquiries to confirm this including obtaining confirmation from the Regulated Entity that to the best of their knowledge, or the knowledge of an officeholder or partner of the Regulated Entity (or of its trustee) the information contained in this document, including any attachments, is complete, true and correct, and they have taken reasonable steps and made reasonable inquiries to confirm this.

Signature

Dated signed	
Signature	

Guide: Apply for registration as an Australian Passport Fund

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5301.

Lodgement fee

A lodgement fee applies to this form. The fee is set out in *Corporations (Fees) Regulations 2001* Schedule 1 Item 79A inserted by [Corporations Amendment \(Asia Region Funds Passport\) Regulations 2018](#). You can pay the application fee using the payment options available at the point of submission

How to provide additional information

Additional Form 5301 pages

If there is insufficient space in any section of the form, you may print additional copies of the relevant page(s) and submit as part of this lodgement.

Annexures

If there is insufficient space in any section of the form, you may alternately submit annexures as part of this lodgement.

To make any annexure conform to the regulations, you must

1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides
2. show the fund name and ARSN or if the fund is not yet registered, the operator name and ACN
3. number the pages consecutively
4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied
5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.
6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)
7. sign and date the annexure

The annexure must be signed by the same person(s) who made the declaration.

Privacy

The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.

Lodgement

Send completed and signed forms to: Australian Securities and Investments Commission, GPO Box 9827 Brisbane 4001.

For more information

Web www.asic.gov.au

Need help? www.asic.gov.au/question

Telephone 1300 300 630