

# Additional Application Form

Lazard Asset Management Pacific Co.

ABN 13 064 523 619

Australian Financial Services Licence No. 238 432

The Additional Application Form is to be used for existing investors ONLY.

## Section 1: Investment Details

Account Name

Account Number

## Section 2: Investment Option

### 2A – Target Market Determination

**Only complete this section if Investing into a new Lazard Fund.**

Please complete the questions below which relate to the target market for each of the Funds as set out in each Funds' Target Market Determinations (TMD) available on our [website](#). You may wish to refer to the Fund's TMD when completing this section 2A.

1. Have you received personal financial advice from a licensed financial adviser in relation to this investment?

Yes. (if yes, please skip to Section 2B Lazard Fund Selection)

No. (if no, please answer the following questions)

2. What is your primary investment objective for this Fund(s)?

Capital Growth

Capital Growth (you seek to invest in a product designed or expected to generate capital return over the investment timeframe. You prefer exposure to growth assets (such as shares or property) or otherwise seek an investment return above the current inflation rate)

Capital Preservation

Capital Preservation (you seek to invest in a product designed or expected to have low volatility and minimise capital loss. You prefer exposure to defensive assets that are generally lower in risk and less volatile than growth investments (this may include cash or fixed income securities)).

Income distribution

Income Distribution (you seek to invest in a product designed or expected to distribute regular and/or tax-effective income. You prefer exposure to income-generating assets (this may include high dividend-yielding equities, fixed income securities and money market instruments)).

3. What is your intended use of this Fund(s) in your investment portfolio

Solution/Standalone (up to 100%)

Major allocation (up to 75%)

Core component (up to 50%)

Minor allocation (up to 25%)

Satellite allocation (up to 10%)

4. What is your intended investment timeframe for this Fund(s)?

≤ 2 years

≥ 5 years

> 7 years

5. Under normal circumstances, how soon after your withdrawal request do you want your withdrawal proceeds to be paid?

Within 7 business days of a withdrawal request.

Within one month of withdrawal request.

Within three months of a withdrawal request.

6. For this investment, what is your tolerance for risk (your ability to bear loss) and return profile?

Low

You are looking for an investment that is low risk in nature e.g. you have the ability to tolerate up to 1 negative return over a 20-year period and you are comfortable with a low target return from this investment.

Very High

You are looking for an investment that is very high risk in nature e.g. you have the ability to tolerate 6 or more negative returns over a 20 year period as you are seeking to maximise returns.

Medium

You are looking for an investment that is moderate or medium risk in nature, e.g. you have the ability to tolerate up to 4 negative returns over a 20-year period and you are comfortable with a moderate target return from this investment

Extremely High

You are looking for an investment that is extremely high risk in nature e.g. you have the ability to accept significant volatility and losses as you are seeking to obtain accelerated returns (potentially in a short timeframe).

High

You are looking for an investment that is higher risk in nature e.g. you have the ability to tolerate up to 6 negative returns over a 20-year period in order to achieve a higher target return from this investment.

## 2B - Lazard Fund Selection

A minimum additional investment of **A\$5,000** applies to those making an additional application to their existing investment. A minimum initial investment of **A\$20,000** applies to those making an initial investment into a new Lazard Fund. You should consider whether your own objectives, financial situation and needs are consistent with the target market of the Fund in which you are considering to invest or are currently invested. A copy of the Target Market Determination for each Fund is available at our [website](#).

Please indicate  the Fund(s) you would like to invest in and the amount you wish to invest:

Fund	ARSN Code	Investment Amount
Lazard Australian Equity Fund (W and I Class)	095 114 631	A\$
Lazard Select Australian Equity Fund (W and I Class)	095 115 414	A\$
Lazard Defensive Australian Equity Fund	163 078 813	A\$
Lazard Global Small Cap Equity Advantage Fund (W Class)*	093 567 821	A\$
Lazard Emerging Markets Equity Fund	093 567 616	A\$
Lazard Global Convertibles Fund (W Class)	640 152 030	A\$
Lazard Global Digital Health Fund (W Class)*	647 504 952	A\$
Lazard Emerging Markets Total Return Debt Fund*	162 470 046	A\$
	<b>Total</b>	A\$

\*For retail investors, you must have received personal financial advice to invest in this Fund. If you do invest in the Fund without receiving personal advice from a licensed financial adviser, we will ask you to provide a certificate confirming that you are a wholesale client within the meaning of Section 761G of the Corporations Act 2001.

Please indicate  the source and origin of funds being invested (select all applicable options)

Employment Income
Savings
Superannuation/retirement savings
Inheritance
Sale of assets (e.g. shares, property)
Donation/gift
Other

Ensure funds have been paid upon submission of this Form

## 2C – Payment Details

Please provide payment reference details and indicate  how your investment will be made:

### Cheque Attached (Cheques must be sent by mail)

Cheques should be made payable to: Lazard - Applications Account  
Please ensure cheques are crossed "Not Negotiable"

### Electronic Funds Transfer

Account Name: Lazard - Applications Account  
BSB: 032 000  
Account No: 944 542  
Description: Please quote the investor name as per the Application Form

Austraclear Austraclear code: SSBS20

### Real Time Gross Settlements (RTGS)

Bank Name: Westpac Banking Corporation  
Account Name: Lazard - Applications Account  
BIC: WPACAU2S  
BSB: 032 000  
Account No.: 944 542  
Reference: Please quote the investor name as per the Application Form

Payment Receipt Number

Date (DD/MM/YYYY)

**Please note:** Additional Applications will be processed with an effective date that State Street ("the administrator") receives both a valid Additional Application Form and cleared application money.

## Section 3: Investor Signature

### 3A – Declaration

The named that is applying for investments in the selected Fund(s), declares that the details given in this application form are true and correct.

By completing this application I/we acknowledge that I/we were given access to a complete copy of the PDS(s) at the same time (and by the same means) as accessing this application.

I/We declare that by signing and lodging this application form, I/we represent and acknowledge that I/we have read and understood the Offering Document(s) to which the application form relates.

I/We declare that by signing and lodging this application form, I/we represent and acknowledge that I/we have read and understood the Target Market Determination of the Fund to which the application form relates.

I/We acknowledge that by signing the application, I/we:

- Have advised Lazard of any changes in my/our details which were previously provided to Lazard, including any change in my/our tax residency, and have provided a suitably updated Change of Details Form and/or FATCA/CRS Self Certification Form to reflect these changes if applicable; and
- agree to become bound by the provisions of the Constitution(s) of the Fund(s), as may be amended from time to time;
- agree to be bound by the terms of the relevant Offering Document(s);
- agree that the Constitution(s) and the Offering Document(s) contain all of the terms and conditions that govern my/our investment in the Fund(s);
- provide consent to Lazard to use and disclose the information I/we have provided in this application as outlined in the "Privacy" section in the Offering Document(s);
- have the permission of any other person whose personal information we have provided, to disclose their information to Lazard and have their consent for their information to be used and disclosed as outlined in the "Privacy" section in the Offering Document(s) and any Updated Information;
- represent that if outside Australia, my/our application and its acceptance by Lazard does not breach applicable laws of the jurisdiction of the applicant;
- agree that Lazard may decide to delay or refuse any application or redemption if I/we do not provide the AML/CTF, FATCA and/or CRS information requested or Lazard is not satisfied as to my/our identity and Lazard will not incur any liability to me/us if it does so;

- i. have considered the appropriateness of the Fund(s) to my investment objectives and needs and have not received advice from Lazard;
- j. warrant that I/we am/are not a United States citizen(s) or a resident(s) of the United States for taxation purposes (US Person), nor do I/we act on behalf of or for the benefit of any US Person unless otherwise disclosed and I/we agree to promptly notify Lazard if I/we become a US Person;
- k. agree to promptly provide Lazard any information required from time to time to enable Lazard to comply with the US Foreign Account Tax Compliance Act and the Common Reporting Standard, together with the supporting regulations and any related Australian law designed to implement these regimes, and consent to Lazard to report relevant information to the ATO and exchanged with tax authorities of another country or countries in which I/we may be tax resident where those countries (or tax authorities in those countries) have entered into agreements with Australia to exchange financial account information. I/we agree to promptly provide an updated self-certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect;
- l. if this application is signed by an attorney, the attorney states that there is no notice of revocation of the power of attorney under which this application is signed;
- m. agree that any election I/we have made to receive annual reports electronically is taken to be given by me the time I/we are registered as a unit holder of the selected Fund(s) on this application;
- n. to the extent this form has been completed, or is accompanied by documentation completed or prepared, by the holder of an Australian Financial Services Licence (an AFS Licensee) who, in its capacity as an AFS Licensee, has arranged or is arranging the investment to which this application form relates, represent and warrant that all information given to the relevant AFS Licensee in connection with such arrangement is true and correct; and

I/We acknowledge and understand that:

- a. units in the Fund(s) do not represent deposits or other liabilities of the Lazard Group;
- b. investing in the Fund(s) is subject to investment risk, including possible delays in repayment and loss of income and principal invested; and
- c. neither Lazard, Lazard Group nor any other entity guarantee the performance of the Fund(s) or the repayment of capital invested in the Fund(s).

### 3B – Investor Signature

Please ensure that the additional application request is signed by all necessary authorised signatories to the investment, as per the current signing instructions you have previously provided Lazard.

**Investor 1**

Print Name

**Investor 2**

Print Name

Signature of Investor 1

Signature of Investor 2

Title of Signatory (e.g. Director, Trustee, Power of Attorney)

Title of Signatory (e.g. Director, Trustee, Power of Attorney)

Date (DD/MM/YYYY)

Date (DD/MM/YYYY)

## Where do I send my Application Form?

Completed Additional Application Forms should be mailed, faxed or emailed to:

The Manager, State Street Unit Registry  
 State Street Australia Limited  
 Level 14, 420 George Street  
 Sydney, NSW 2000  
 Fax: (02) 9323 6411  
 Email: [investorqueries@lazard.com](mailto:investorqueries@lazard.com)

## Further Assistance or Information

If you require assistance with completing the Additional Application Form, please call Lazard on: **1800 825 287** or [investorqueries@lazard.com](mailto:investorqueries@lazard.com)

Further information regarding our Funds can be accessed on our website: [www.lazardassetmanagement.com.au](http://www.lazardassetmanagement.com.au)