



Declaration in relation to complying significant and premium investments

Form
1413D

Australian Government
Department of Immigration
and Border Protection

IMPORTANT: You may wish to seek independent legal advice in relation to ensuring that an investment made for the purpose of a subclass 188 (Significant Investor and Premium Investor streams) visa is a 'complying significant investment' or a 'complying premium investment' within the terms of the Migration Regulations 1994, in particular, *Migration (IMMI 15/100: Complying Investments) Instrument 2015*.

This form is relevant to subclass 188 (Significant Investor and Premium Investor streams) visa applications **lodged on or after 1 July 2015**.

For applications lodged before 1 July 2015, please use form 1413 *Declaration in relation to managed funds*.

Important information about privacy

Your personal information is protected by law, including the *Privacy Act 1988*. Important information about the collection, use and disclosure (to other agencies and third parties, including overseas entities) of your personal information, including sensitive information, is contained in form 1442i *Privacy notice*. Form 1442i is available from the department's website www.border.gov.au/allforms/ or offices of the department. You should ensure that you read and understand form 1442i before completing this form.

About this form

This form has 5 parts.

- *Part A – Client details*
- *Part B – Significant Investor visa stream – Declaration in relation to venture capital and growth private equity funds* to be completed by the relevant fund manager
- *Part C – Significant Investor visa stream – Declaration in relation to emerging companies investments* to be completed by the relevant fund manager
- *Part D – Significant Investor visa stream – Declaration in relation to balancing investments* to be completed by the relevant fund manager
- *Part E – Premium Investor visa stream – Declaration in relation to complying premium investments* to be completed by the relevant fund manager – for investments partially or wholly made through a managed fund.

Part A – Client details

1 Full name
Family name

Given names

Date of birth

Day	Month	Year
/	/	

Residential address

 Postcode

Telephone numbers

Country code	Area code	Number
()	()	

Mobile/cell

DIBP Client ID number (if known)

- 2 Type of application (tick one box only)
- Subclass 188 Significant Investor visa stream ▶ The fund manager(s) to complete **Parts B, C and D**
- Subclass 188 Premium Investor visa stream ▶ The fund manager to complete **Part E**

Part B – Significant Investor visa stream
– Declaration in relation to venture capital and growth private equity funds

Venture capital fund(s) details

To be completed by the relevant fund manager

1 Name of the venture capital fund

2 Fund registration / licence number

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3 Name of the fund manager

4 Telephone number

Country code	Area code	Number
()	()	

5 AFS licence number

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6 Investment amount

AUD

Declaration


7 I hereby notify the Department of Immigration and Border Protection, that the venture capital fund(s) listed at Part B Question 1 meet(s) the requirements set out in Legislative Instrument IMMI 15/100: Complying Investments.

The venture capital fund will be limited to investing a subclass 188 Significant Investor visa stream applicant's funds of a total of at least AUD500,000 in one or more venture capital funds in accordance with the requirements at section 8 and the General Requirements set out in section 11 of the Legislative Instrument IMMI 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence.

I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Significant Investor visa stream applicant.

Signature of declaring fund manager



Name

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Position

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Date

Day	Month	Year
	/	/

Part C – Significant Investor visa stream
– Declaration in relation to emerging companies investments

Managed fund(s) details

To be completed by the relevant fund manager

1 Name of the managed fund
SUMO SIV MANAGED FUND NO.2

2 Fund registration / licence number (ARSN number or ASX code)
ARSN 609 076 824

3 Name of responsible entity / trustee / issuer
ONE MANAGED INVESTMENT FUNDS LIMITED
ABN 47 117 400 987

4 Telephone number
Country code Area code Number
(61) (2) 8277 0000

5 AFS licence number of responsible entity / trustee / issuer
297042

6 Address of responsible entity / trustee / issuer
LEVEL 11, 20 HUNTER STREET
SYDNEY NSW AUSTRALIA
Postcode 2000

7 Investment amount
AUD

Declaration


8 I hereby notify the Department of Immigration and Border Protection, that the managed fund(s) listed at Part C Question 1 meet(s) the requirements set out in Legislative Instrument IMMI 15/100: Complying Investments, made pursuant to regulation 5.19C of the Migration Regulations 1994.

The managed fund will be limited to investing a subclass 188 Significant Investor visa stream applicant's funds of a total of at least AUD1,500,000 in emerging companies in accordance with the requirements at section 9 and the General Requirements set out in section 11 of the Legislative Instrument IMMI 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence.

I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Significant Investor visa stream applicant.

Signature of declaring fund manager



Name Justin Epstein

Position Director

Date 16 / 12 / 2015
Day Month Year

Part D – Significant Investor visa stream
– Declaration in relation to balancing investments

Managed fund(s) details

To be completed by the relevant fund manager

1 Name of the managed fund

SUMO SIV MANAGED FUND NO.2

2 Fund registration / licence number (ARSN number or ASX code)

ARSN 609 076 824

3 Name of responsible entity / trustee / issuer

ONE MANAGED INVESTMENT FUNDS LIMITED
ABN 47 117 400 987

4 Telephone number

Country code	Area code	Number
(61)) (2) 8277 0000

5 AFS licence number of responsible entity / trustee / issuer

297042

6 Address of responsible entity / trustee / issuer

LEVEL 11, 20 HUNTER STREET

SYDNEY NSW AUSTRALIA

Postcode

7 Investment amount

AUD

8 What asset classes are you investing in?

Equities

Bonds and notes

Annuities

Real property

Multi-asset classes ► List below

Declaration


9 I hereby notify the Department of Immigration and Border Protection, that the managed fund(s) listed at Part D Question 1 meet(s) the requirements set out in Legislative Instrument IMMI 15/100: Complying Investments, made pursuant to regulation 5.19C of the Migration Regulations 1994.

The managed fund will be limited to investing any remaining portion (balancing investment) of a subclass 188 Significant Investor visa stream applicant's funds in accordance with the requirements at section 10 and the General Requirements set out in section 11 of the Legislative Instrument IMMI 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence.

I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Significant Investor visa stream applicant.

Signature of declaring fund manager



Name

Justin Epstein

Position

Director

Date

Day	Month	Year
16	12	2015

**Part E – Premium Investor visa stream
– Declaration in relation to complying
premium investments**

Managed fund(s) details

**To be completed by the relevant fund manager – only for
investments partially or wholly made through a managed fund**

1 Name of the managed fund

SUMO SIV MANAGED FUND NO.2

2 Fund registration / licence number (ARSN number or ASX code)

ARSN 609 076 824

3 Name of responsible entity / trustee / issuer

ONE MANAGED INVESTMENT FUNDS LIMITED
ABN 47 117 400 987

4 Telephone number

Country code	Area code	Number
(61) (2) 8277 0000

5 AFS licence number of responsible entity / trustee / issuer

297042

6 Address of responsible entity / trustee / issuer

LEVEL 11, 20 HUNTER STREET
SYDNEY NSW AUSTRALIA

Postcode

7 What asset classes are you investing in?

- Equities
- Bonds and notes
- Annuities
- Real property
- Proprietary limited companies
- Multi-asset classes List below

Declaration

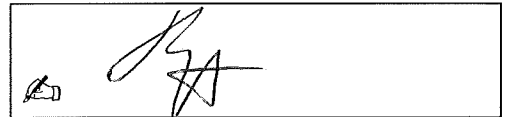
8 I hereby notify the Department of Immigration and Border Protection, that the managed fund(s) listed at Part E Question 1 meet(s) the requirements set out in Part 3 of Legislative Instrument IMMI 15/100: Complying Investments, made pursuant to regulation 5.19D of the Migration Regulations 1994.

The managed fund will be limited to investing any portion of a subclass 188 Premium Investor visa stream applicant's funds in accordance with the General Requirements set out in Part 3 of Legislative Instrument IMMI 15/100: Complying Investments.

I understand that giving false or misleading information is a serious offence.

I acknowledge that I may be contacted about the information provided on this form and the investments made for a subclass 188 Premium Investor visa stream applicant.

**Signature of
declaring fund
manager**



Name Justin Epstein

Position Director

Date 16/12/2015