



**Rabobank**

## Questionnaire for Entities that have activities in investment property

Rabobank Australia Limited is a subsidiary of Rabobank Nederland<sup>1</sup> and is subject to supervision by the Dutch Central Bank (De Nederlandsche Bank N.V. or 'DNB') in addition to local, Australian supervision. The Dutch Central Bank has issued a mandatory *Policy rule on integrity in investment property operations*. This Policy Rule requires us to ascertain and assess the integrity policy of your entity in relation to your activities in investment property.

We ask you, in your capacity as a beneficial controller (e.g. director, partner or trustee) to complete truthfully, sign duly and return this questionnaire (together with the additional answers) to us.

Based on the answers provided in the questionnaire we may ask you to provide further details or to supply supporting documents.

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### Your data

Entity Name: \_\_\_\_\_ Country of residence: \_\_\_\_\_

Client Number (if applicable): \_\_\_\_\_

### Questionnaire regarding activities in investment property

#	Question
1	<p>Does your entity have investment property either in Australia or in a country outside of Australia?</p> <p>'Investment property' includes residential and commercial property that is not used for 'own use'.</p> <p><input type="checkbox"/> <b>Yes - Australia</b>    <i>Move to question 2.</i></p> <p><input type="checkbox"/> <b>Yes – Foreign</b>    <i>Provide details under 'Additional information' of where the investment property is held and the purpose for having investment property in this other country. Then continue to question 2.</i></p> <p><input type="checkbox"/> <b>No</b>    <i>The remaining questions in this questionnaire do not need to be answered, please sign the form on under the declaration section.</i></p> <p><b>Additional information:</b></p>
2	<p>a) Have one or more of your entity's investment properties been rented out or leased in the previous 12 months?</p> <p><input type="checkbox"/> <b>Yes</b>    <i>Move to subpart (b) below.</i></p> <p><input type="checkbox"/> <b>No</b>    <i>Move to question 7.</i></p> <p>b) Is there a valid tenancy agreement between the entity and the tenant?</p> <p><input type="checkbox"/> <b>Yes</b>    <i>Proceed to question 3.</i></p> <p><input type="checkbox"/> <b>No</b>    <i>Provide details under 'Additional information' to specify how you ensure that the terms of the tenancy are adhered to by both parties. Then continue to question 3.</i></p>

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<sup>1</sup> Rabobank means Coöperatieve Rabobank U.A. an entity incorporated in the Netherlands



	<b>Additional information:</b>
3	<p>a) Is the rental of the investment property or properties managed by a property management company?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Move to subpart (b) below.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Continue to question 4.</i></p> <p>b) Is there a contract in place between the entity and the property management company?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Move to question 6.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Provide details under 'Additional information' to specify how you ensure that the terms of the arrangement is adhered to by both parties. Then continue to question 4.</i></p> <p><b>Additional information:</b></p>
4	<p>Does your entity perform a background check on the tenants prior to the start of their tenancy?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Specify under 'Additional information' the process undertaken to perform the background check. If this is done by a third party (i.e. real estate agent) on your behalf please provide details of the third party. Then continue to question 5.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Specify under 'Additional information' why you have not performed a background check on your tenants. Then continue to question 5.</i></p> <p><b>Additional information:</b></p>
5	<p>Please answer the following questions in relation to transactions relating to your entity's investment properties. This includes the receipt of rental income as well as outgoing payments made in relation to repairs and maintenance on the investment properties.</p> <p>a) Do the transactions go through a financial institution that is in the same country as your entity's country of registration?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Continue to subpart (b).</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Provide details under 'Additional information' why the transactions go through a financial institution in a different country. Then continue to subpart (b).</i></p> <p>b) Do you engage in any cash transactions in relation to your investment properties?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Specify under 'Additional information' the procedures you have in place to review and track the cash transactions. Continue to question 6.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Continue to question 6.</i></p>



	<b>Additional information:</b>
6	<p>Does your entity have a process in place to review the transactions relating to its investment properties to ensure that they are reasonable?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Specify under 'Additional information' the process undertaken to perform this review. Continue to question 7.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Provide details under 'Additional information' why you do not perform this reviews). Continue to question 7.</i></p> <p><b>Additional information:</b></p>
7	<p>Does your entity have a person that is responsible for supervising compliance related matters (or example, a risk manager or a compliance officer)?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Continue to question 8.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>State under 'Additional information' why your entity has no such officer, continue to question 8.</i></p> <p><b>Additional information:</b></p>
8	<p>a) Are the financial statements of your entity audited by a qualified auditor?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Move to subpart (b) below.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Provide reason in the additional information section, why an audit of your entity is not required</i></p> <p>b) Has the external auditor issued a unqualified audit statement over the past 3 years?</p> <p><input type="checkbox"/> <b>Yes</b>     <i>Proceed to sign the form under the declaration section.</i></p> <p><input type="checkbox"/> <b>No</b>     <i>Specify details below under 'Additional information'.</i></p> <p><b>Additional information:</b></p>



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**Privacy Notice**

Rabobank Australia Limited (Rabobank), as a subsidiary of Coöperatieve Rabobank U.A. (Rabobank Nederland), is required to collect information requested in this form (and any further details or supporting documents) in order to comply with its global regulatory obligations. Personal information collected in relation to this form may be disclosed to Rabobank Nederland and other entities and affiliates of the Rabobank Group.

If you would like further information about how Rabobank handles the personal information it collects, please refer to the Rabobank privacy policy available at: [www.rabobank.com.au](http://www.rabobank.com.au). The privacy policy also contains information on how to seek access to or correct personal information Rabobank holds and how to make a privacy-related complaint.

**Declaration**

By signing below, you declare that:

- the information provided on this form (and on any enclosures) is true;
- you are authorised to disclose this information to Rabobank;
- that you will inform Rabobank immediately of any material changes to the information provided ;and
- that you give Rabobank consent to share this document, any enclosures and/or supporting documents with those entities and affiliates within the Rabobank Group.

Name of entity: \_\_\_\_\_

Date: \_\_\_\_\_

Signature : \_\_\_\_\_

Name: \_\_\_\_\_