



Australian Government

Department of Immigration and Border Protection

Declaration in relation to complying significant and premium investments

Form
1413D

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*.

For Significant Investor stream applicants the Complying Significant Investment must include:

- a total of at least AUD500,000 in one or more venture capital funds; and
- a total of at least AUD1,500,000 in emerging companies investments.

Any remaining portion of the investment may be invested in one or more balancing investments and/or either of the above.

The complying significant investment allows for investments to be made via a fund of fund structure. Declarations are to be made by the declaring fund manager for the fund which has overarching control of the investment.

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

Office hours

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 Details of the venture capital fund(s)

1. Name of the venture capital fund

Fund registration / licence number

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Name of the fund manager

Telephone number	Country code	Area code	Number
	()	()	

AFS licence number

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Investment amount

AUD

To be completed if the investment is made through a fund of fund or an investor directed portfolio service.

2. Name of the subsequent venture capital fund

Fund registration / licence number

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Name of the fund manager

Telephone number	Country code	Area code	Number
	()	()	

AFS licence number

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Investment amount

AUD

Declaration

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

Managed fund(s) details

To be completed by the relevant fund manager

1 Details of the managed fund(s)

1. Name of the managed fund

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

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Name of responsible entity / trustee / issuer

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

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Address of responsible entity / trustee / issuer

Postcode

Investment amount

AUD

What asset classes are you investing in?

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

To be completed if the investment is made through a fund of fund or an investor directed portfolio service.

2. Name of the subsequent managed fund

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

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Name of responsible entity / trustee / issuer

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

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Address of responsible entity / trustee / issuer

Postcode

Investment amount

AUD

What asset classes are you investing in?

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

Declaration

2 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

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Name

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Position

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Date

Day	Month	Year
/	/	

**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 Details of the managed fund(s)

1. Name of the managed fund

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

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Name of responsible entity / trustee / issuer

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

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Address of responsible entity / trustee / issuer

Postcode

What asset classes are you investing in?

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

*To be completed if the investment is made through a fund of fund
or an investor directed portfolio service.*

2. Name of the subsequent managed fund

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

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Name of responsible entity / trustee / issuer

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

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Address of responsible entity / trustee / issuer

Postcode

What asset classes are you investing in?

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

Declaration

2 *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**

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Name

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Position

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Date

Day	Month	Year
/	/	