



Declaration in relation to complying significant investments

Form
1413D

Australian Government
Department of Home Affairs

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

For 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 AUD750,000 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.

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

- a total of at least AUD1,000,000 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 (Investor and Significant Investor streams) visa applications invited on or after 1 July 2021.

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

Important information about privacy

The *Privacy Act 1988* contains 13 Australian Privacy Principles which regulate the way that the Department collects and handles personal information. Information about how the Department collects, uses and discloses personal information for its key functions can be found in form 1442i *Privacy notice*. More information about the Department's general information handling practices (including form 1442i) can be found in the Department's Privacy policy at <https://www.homeaffairs.gov.au/access-and-accountability/our-commitments/privacy>

About this form

This form has 4 parts.

- *Part A – Client details*
- *Part B – Investor or Significant Investor stream – Declaration in relation to venture capital and growth private equity funds* to be completed by the relevant fund manager
- *Part C – Investor or Significant Investor stream – Declaration in relation to emerging companies investments* to be completed by the relevant fund manager
- *Part D – Investor or Significant Investor stream – Declaration in relation to balancing investments* to be completed by the relevant fund manager

Please open this form using Adobe Acrobat Reader. Either type in the fields provided or print this form and complete it using a pen and BLOCK LETTERS.

Tick where applicable

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

Office hours () ()

Mobile/cell

Department's Client ID number (if known)

2 Type of application (tick one box only)

Subclass 188 Investor visa stream ▶ The fund manager(s) to complete **Parts B, C and D**

Subclass 188 Significant Investor visa stream ▶ The fund manager(s) to complete **Parts B, C and D**

Part B – Investor or 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 Home Affairs, 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 Investor or Significant Investor visa streams 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 Investor or Significant Investor visa stream applicant.

Signature of declaring fund manager



Name

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Position

--

Day Month Year

Date

--

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

Name of responsible entity / trustee / issuer

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

Address of responsible entity / trustee / issuer

Postcode

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 managed fund

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

Name of responsible entity / trustee / issuer

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

Address of responsible entity / trustee / issuer

Postcode

Investment amount

AUD

Declaration

2 I hereby notify the Department of Home Affairs, 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 Investor or Significant Investor visa stream applicant's funds 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 Investor or Significant Investor visa stream applicant.

Signature of declaring fund manager



Name

Position

Date

Day	Month	Year

Part D – Investor or 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

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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

[]

Address of responsible entity / trustee / issuer

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[]

[]

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

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[]

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

[]

Name of responsible entity / trustee / issuer

[]

Telephone number

Country code	Area code	Number
()	()	

AFS licence number of responsible entity / trustee / issuer

[]

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 Home Affairs, 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 Investor or 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 Investor or Significant Investor visa stream applicant.

Signature of declaring fund manager



Name []

Position []

Date

Day	Month	Year
[]	[]	[]