

Foreign tax status declaration form – Entities

Use this form to declare your tax status. Please complete all sections of the form

1. Entity details

Full name:

ACN or other registration number:

Registered address or principle place of business (PO Box is not acceptable)

Street name and number:

Suburb:

State:

Postcode:

Country:

2. Tax Information

2.1 Tax status

Select ONE of the tax status boxes below (if the entity is a Financial Institution, please provide all the requested information below)

A Financial Institution (A custodial or depository institution, an investment entity or a specified insurance company for FATCA/CRS purposes)

Provide the entity's Global Intermediary Identification Number (GIIN), if applicable:

If the entity is a Financial Institution but does not have a GIIN, provide its FATCA status (select ONE of the following statuses)

Deemed Compliant Financial Institution

Excepted Financial Institution

Exempt Beneficial Owner

Non Reporting IGA Financial Institution

Nonparticipating Financial Institution

Other (describe the company's FATCA status in the box provided):

If the Financial Institution is not an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution ► **go to section 3 to complete the form**

or

A Public Listed Company, Majority Owned Subsidiary of a Public Listed company, Government Entity, International Organisation, Central Bank, an Australian Registered Charity or Deceased Estate

If the entity type is listed above ► **go to section 3 to complete the form**

or

A Foreign Charity or an Active Non-Financial Entity (NFE) (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (eg dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at www.oecd.org.)

If the entity is a Foreign Charity or an Active NFE ► **go to section 2.3 (Country of tax residency)**

or

Other (Entities that are not previously listed – Passive Non-Financial Entities)

► **Go to section 2.2 (Foreign Controlling Persons)**

2.2 Foreign Controlling Persons (Individuals)

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

Are any of the entities' Beneficial Owners¹ or Controlling Persons² tax residents of countries other than Australia?

No

Yes, please provide the details of these individuals below and complete a separate Individual identification form for each Controlling Person.

Individual 1	Individual 2	Individual 3
Full given name(s)	Full given name(s)	Full given name(s)
Surname	Surname	Surname
Role (eg Director or Senior Managing Official)	Role (eg Director or Senior Managing Official)	Role (eg Director or Senior Managing Official)

Please cross this box if there are more Controlling Persons and provide details on a separate sheet.

► **go to section 2.3 (Country of Tax Residency)**


2.3 Country of tax residency

Is the entity a tax resident of a country other than Australia?

No ► **go to section 3 to complete the form**

Yes, please provide the entities' country of tax residence and tax identification number (TIN) or equivalent below. If the entity is a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or an Employer Identification Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

 **PLEASE NOTE:** Effective 1 January 2021, a US TIN must be provided if the entity is a US Specified Person. This is a **mandatory requirement** and a TIN exemption reason will no longer be accepted. The account cannot be opened without a US TIN.

Country 1	Country 2	Country 3
Country	Country	Country
TIN (if no TIN, list reason A, B or C)	TIN (if no TIN, list reason A, B or C)	TIN (if no TIN, list reason A, B or C)

Reason A: The country of tax residency does not issue TINs to tax residents
(Only valid for Bahrain, The Bahamas, Bermuda, British Virgin Islands, Cayman Islands, Monaco, Montserrat, Turks and Caicos Islands, United Arab Emirates)

Reason B: The entity has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed
(Only valid for Japan)

Please cross this box if there are more countries, provide details on a separate sheet.

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1. A Beneficial owner is any individual who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings).
2. A Controlling Person is any individual who directly or indirectly exercises control over the entity. For a company, this includes any beneficial owners controlling more than 25% of the shares in the company. For a Trust, this includes Trustees, Settlers or Beneficiaries. For a partnership this includes any partners.

3. Declaration



IMPORTANT NOTE: The Declaration must be signed by:

- **The client:**
 - **for joint accounts, all accounts holders, or**
 - **for companies, two directors or a director and a company secretary, or**
 - **for partnerships, any two partners, or**
 - **for trusts, all trustees necessary to sign for the trust, or**
- **The client's Adviser.**

Client declaration

By completing and signing this form, I/we declare that:

- the information provided by me/us in this form is correct and reflects my/our tax status. This information will allow the relevant product issuer to comply with applicable tax laws, including the US Foreign Account Tax Compliance Act and Common Reporting Standards (FATCA/CRS); and
- I/we will promptly notify the relevant product issuer of any changes to my/our FATCA/CRS information.

Client signature 1

Client signature 2

Client signature 3

Date:

Date:

Date:

Name:

Name:

Name:

If a company officer, your corporate title:

If a company officer, your corporate title:

If a company officer, your corporate title:

OR Adviser declaration

By completing and signing this declaration I certify that an authorised representative of the entity or the individual(s) have verbally or in writing confirmed to me the truth of the information provided to me and I have no reason to doubt its reasonableness.

AFS Licensee name

Signature

AFSL number:

Date:

Representative/Employee name:

Phone number: