

EXISTING INVESTOR

GLOBAL TAX STATUS DECLARATION FORM

FOR ENTITIES

This self-certification form is for all entity accounts, except regulated superannuation funds (including self-managed superannuation funds) which are exempt.

If you are unsure about how to complete this form speak to your financial adviser, accountant or lawyer as we cannot provide you advice.

ABOUT THIS FORM

- This form is for the collection of tax status information for entities that must confirm their tax status under the Common Reporting Standard CRS.
- Entities may be companies, trusts, associations, co-operatives, partnerships or government agencies.
- CRS regulations require that we collect this information, and that information is reported to the ATO. The ATO may provide information to foreign government agencies.
- Even if you have previously completed a similar form for FATCA purposes, you must still complete this form as it is for a separate regulation.
- If we have reason to doubt the reasonableness of the information provided, we have obligations to verify and report to the ATO.
- Tax information may be collected from authorised representatives of the entity.

TO FIND OUT MORE

Please refer to our CRS / FATCA Definitions and Key Terms Form and our FAQ Form at: www.fundhost.com.au/forms/

For more information you may also refer to the ATO website: www.ato.gov.au/CRS; the OECD website: www.oecd.org/tax/automatic-exchange/; or the US Internal Revenue Service (IRS) website: www.irs.gov

You may also seek professional advice from your adviser or lawyer.

Copies of this form can be downloaded at:

www.fundhost.com.au/forms/

SUBMIT THIS COMPLETED FORM TO FUNDHOST:

Email:
admin@fundhost.com.au

Fax:
+61 (0)2 9232 8600

Post:
Fundhost Limited
PO Box N561
Grosvenor Place NSW 1220
Australia

Deliver:
Suite 1, Level 9
70 Castlereagh Street
Sydney Place 2000
Australia
(Office hours 9am - 5pm, Sydney business days)

Questions?

Contact Fundhost
T: +61 (0)2 8223 5400
E: admin@fundhost.com.au

We accept forms by fax, email, post and delivery.

GLOBAL TAX STATUS DECLARATION FORM FOR ENTITIES

SECTION A

ENTITY DETAILS

Investor Number(s):

Full Name:

(Company or Trust in which investment is held)

ACN or other registration number:

Registered address or principal place of business:

Suburb: State: Postcode:

Country:

Email:

- We will contact you via email and online communication.
- Access your statements via our secured portal 24/7, reducing risk of identity theft.
- Opt out of receiving email and online communication via our secure portal

SECTION B

TAX STATUS

You must tick **ONE** of the 6 Tax Status boxes below that best describes your entity (if you are a Financial Institution, please provide all the requested information below for box 1):

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

Provide the Company's or Trusts Global Intermediary Identification Number (GIIN), if applicable:

If the Company or Trust is a Financial Institution but does not have a GIIN, provide its FATCA status (select ONE of the following):

<input type="checkbox"/> Deemed Compliant Financial Institution	<input type="checkbox"/> Excepted Financial Institution	<input type="checkbox"/> Exempt Beneficial Owner
<input type="checkbox"/> Non Reporting IGA Financial Institution	(If a Trustee Documented Trust provide the Trustee's GIIN below)	
<input type="checkbox"/> Non-Participating Financial Institution	<input type="checkbox"/> US Financial Institution	<input type="checkbox"/> Other (describe the FATCA status)

ALL Financial Institutions, please answer the question below:

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?

- Yes, complete section C and D, and sign the declaration at section E
- No, complete section D and sign the declaration at section E

CRS Participating Jurisdictions are on the OECD website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction>.

2. Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company (Public listed companies or majority owned subsidiaries of Australian listed companies that are not Financial Institutions as described above, or a company that is an Australian Registered Charity). You have completed this form. Please sign the declaration at section E.
3. Australian Registered Charity or Deceased Estate. You have completed this form. Please sign the declaration at section E.
4. Regulated superannuation fund such as Self-Managed Super Fund (SMSF). You have completed this form. Please sign the declaration at section E.
5. An Active Non-Financial Entity (NFE) or Foreign Charity (Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. 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). Complete section D and sign the declaration at section E.
6. Other (Entities that are not previously listed - Passive Non-Financial Entities). Please provide details below. Complete section C and D and sign the declaration at section E.

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SECTION C

FOREIGN CONTROLLING PERSONS AND BENEFICIAL OWNERS

Complete for each controlling person or beneficial owner:

- If you are a trust, this includes any natural person including trustee, protector, beneficiary, settlor or any other natural person exercising ultimate effective control over the trust.
- If you are a company, this includes any natural person including directors and beneficial owners who ultimately own 25% of the share capital.

1. Name Date of birth
 / /

Residential Address

Tax resident of Australia only? Yes No, complete tax residency information below. Codes are on Page 4.

Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>

2. Name Date of birth
 / /

Residential Address

Tax resident of Australia only? Yes No, complete tax residency information below. Codes are on Page 4.

Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>

3. Name Date of birth
 / /

Residential Address

Tax resident of Australia only? Yes No, complete tax residency information below. Codes are on Page 4.

Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>

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4. Name Date of birth / /

Residential Address

Tax resident of Australia only? Yes No, complete tax residency information below. Codes are listed below.

Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>

Country of Tax Residence	TIN or equivalent	Reason Code if no TIN provided
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more than 4 controlling persons, please list them on a separate sheet and tick this box.

- **Reason A:** The country of tax residency does not issue TINs to tax residents
- **Reason B:** The Company or Trust has not been issued with a TIN
- **Reason C:** The country of tax residency does not require the TIN to be disclosed

If Reason B is selected above, explain why you are not required to obtain a TIN:

1. <input type="text"/>	3. <input type="text"/>
2. <input type="text"/>	4. <input type="text"/>

SECTION D

COUNTRY OF TAX RESIDENCE

Is the Company or Trust a Tax resident of a country other than Australia? Yes No, complete section E.

If yes, please provide the Company's and/or Trust's country of tax residence and tax identification number (TIN) or equivalent below. If the Company and/or Trust 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.

Country	TIN	If no TIN, list reason A, B or C
1. <input type="text"/>	<input type="text"/>	<input type="text"/>
2. <input type="text"/>	<input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more countries, provide details on a separate sheet and tick this box.

- **Reason A:** The country of tax residency does not issue TINs to tax residents
- **Reason B:** The Company or Trust has not been issued with a TIN
- **Reason C:** The country of tax residency does not require the TIN to be disclosed

If Reason B is selected above, explain why you are not required to obtain a TIN:

1. <input type="text"/>	3. <input type="text"/>
2. <input type="text"/>	

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SECTION E - INVESTOR DECLARATION

ACKNOWLEDGMENT

I/We acknowledge that it may be a criminal offence to knowingly provide false or misleading information.

I/We acknowledge Fundhost holds me/us to a number of representations and warranties, among other things, relating to matters which Fundhost must seek confirmation of in order to comply with the provisions of FATCA and CRS requirements. Appropriate steps to verify information may be taken, and information may be disclosed to government agencies in Australia and overseas.

I/We undertake to provide updated FATCA/CRS self-certification information within 30 days of a change in circumstances which causes the information to become incorrect.

Signature:

Signatory 1

Date (DD/MM/YYYY):

 / /

Print name:

Signature:

Signatory 2

Date (DD/MM/YYYY):

 / /

Print name:

FINANCIAL PLANNER DECLARATION (ON BEHALF OF CLIENT)

I certify that the individual named in this form has verbally or in writing confirmed to me the validity of the information provided and I have no reason to doubt its reasonableness.

I/We undertake to provide updated FATCA/CRS self-certification information within 30 days of a change in circumstances which causes the information to become incorrect.

AFS Licensee Name

AFSL No.

Representative/Employee Name

Phone No.

Signature

Date (DD/MM/YYYY):

 / /