

**GUIDE TO COMPLETING THIS FORM**

- o This form is required for any entity that is required to confirm:
  - a) Its FATCA status (FATCA = Foreign Account Tax Compliance Act),
  - b) Its CRS status (CRS = Common Reporting Standard), or
  - c) Whether it or any of its controlling persons are foreign tax residents, or
- o An entity can be a company, trust, partnership, association, registered co-operative or government body.
- o Complete one form for each entity. Complete all applicable sections of this form in BLOCK LETTERS.
- o Tax information must be collected from an authorised representative of the entity
- o Contact your licensee if you have any queries.

**SECTION 1: ENTITY DETAILS**

**1.1 General Information**

Full name

ACN or other registration number

**Registered address or principal place of business (PO Box is NOT acceptable)**

Street

Suburb  State  Postcode  Country

**SECTION 2: TAX INFORMATION**

**2.1 Tax Status**

Tick  **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  
(If the Entity is a Trustee-Documented Trust, provide the Trustee's GIIN)
- Nonparticipating Financial Institution
- US Financial Institution
- Other (describe the FATCA status in the box provided)

**PLEASE ANSWER THE QUESTION BELOW FOR ALL FINANCIAL INSTITUTIONS**

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

Yes  No

If Yes, proceed to section 2.2 (Foreign Controlling Persons). If No, Please go to section 3 to complete the form.

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

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

If the entity type is listed above, please proceed to section 3 to complete the form.

- 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 (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](http://www.oecd.org).)

If the entity is a Foreign Charity or an Active NFE, please proceed to section 2.3 (Country of Tax Residency).

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

Please proceed to section 2.2 (Foreign Controlling Persons).

**2.2 Foreign Controlling Persons (Individuals)**

Does the entity have any Controlling Persons\* who are tax residents of countries other than Australia? Yes  No

\* 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.

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.

If Yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Controlling Person (unless already provided as Beneficial Owner).

Full given name(s)	Surname	Role (such as Director or Senior Managing Official)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Proceed to section 2.3.

**2.3 Country of Tax Residency**

Is the entity a tax resident of a country other than Australia? Yes  No

If 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.

If No, please proceed to section 3 to complete the form.

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.

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<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 entity has not been issued with a TIN

**Reason C** The country of tax residency does not require the TIN to be disclosed

**SECTION 3: DECLARATION**

**IMPORTANT NOTE:**

→ Complete the Declaration section below (either an authorised representative of the entity or their financial planner to sign)

By completing and signing this declaration I certify that the information I have provided is true and correct.

**ENTITY DECLARATION (To be completed by an authorised representative of the entity, such as a Director or Trustee)**

Representative Name	<input type="text"/>		
Capacity (Company Director, Trustee, etc.)	<input type="text"/>		
Signature	<input type="text"/>	Date	<input type="text"/>

OR

**FINANCIAL PLANNER DECLARATION**

I certify that the an authorised representative of the entity has verbally or in writing confirmed to me the truth of the information provided and I have no reason to doubt its reasonableness.

AFS Licensee Name	<input type="text"/>	AFSL No.	<input type="text"/>
Representative/ Employee Name	<input type="text"/>	Phone No.	<input type="text"/>
Signature	<input type="text"/>	Date	<input type="text"/>