

Tax Residency Information Form

Please: Use **BLOCK** letters and a black or blue pen to complete this Form.

- Indicate using an 'X' where appropriate. If a section does not apply to you, please indicate using 'N/A'.
- Your personal information will be collected, used and disclosed by us in accordance with our Privacy Policy and in accordance with the law. You can obtain a copy of our Privacy Policy via our website australianunity.com.au/privacy-policy or by telephone 13 29 39.
- Individuals and Sole Traders to complete Section 1 **ONLY**. Entities to complete Section 2 and 3 **ONLY** starting on page 4.

Section 1 Investor tax information (Individuals and Sole Traders only)

Section 1 is designed to collect the tax status of an individual where this information has not previously been provided, the individual has been identified as a potential taxpayer of a country other than Australia or to provide updated information about tax residency for an individual.

Complete one Form for each individual.

PLEASE NOTE: You may be treated as being a non-Australian taxpayer if the requested information is not provided.

Investor 1

Step 1.1 Personal details

Title	<input checked="" type="checkbox"/> Mr <input checked="" type="checkbox"/> Mrs <input checked="" type="checkbox"/> Ms <input checked="" type="checkbox"/> Miss	Date of birth	<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"/> <input type="text"/>
Surname	<input type="text"/>		
Given name(s)	<input type="text"/>		
Occupation	<input type="text"/>		
Email	<input type="text"/>		

Step 1.2 Residential address (PO Box is NOT acceptable)

Unit	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Street number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Street name	<input type="text"/>			
Suburb	<input type="text"/>	State	<input type="text"/> <input type="text"/> <input type="text"/>	
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country (if not Australia)	<input type="text"/>	

Step 1.3 Tax status

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

If you have any questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Answer **both** tax residency questions:

Are you a tax resident of Australia?	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are you a tax resident of another Country?	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

If you are a tax resident of a country other than Australia, provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, list all relevant countries below.

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"/>

Reason A The country of tax residency does not issue TINs to tax residents

Reason B You have not been issued with a TIN.

Please explain why.

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

If you are a tax resident of more countries, please cross this box ☒ re-print this page and provide the additional details.

Step 1.4 Declaration and signature

By completing and signing this declaration I certify that:

- The information I have provided is true and correct.
- I have provided my tax residency status, including all countries which I am a tax resident and the respective TIN.
- I will inform you within 30 days of any change in circumstances which affect my tax residency status.
- I consent to the collection, use, storage and disclosure of my personal information in this Form. Any personal information collected for the purposes of the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) will be:
 - Used for the purpose of meeting obligations under CRS and the Intergovernmental Agreement (IGA) between Australia and United States implementing the United States legislation known as FATCA; and
 - Used for other purposes relating to verification of our identity and to review and correct discrepancies in the information provided and recorded.
- I confirm that I have read Australian Unity's Privacy Policy and understand the terms and conditions surrounding the collection, use, storage and disclosure of my personal information.
- (if signing under a Power of Attorney) I declare that I have not received notice of revocation of that power.

Signature of Investor 1

Print name of Investor 1

Date / /

Investor 2

Step 1.5 Personal details

Title	<input checked="" type="checkbox"/> Mr	<input checked="" type="checkbox"/> Mrs	<input checked="" type="checkbox"/> Ms	<input checked="" type="checkbox"/> Miss	Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>										
Given name(s)	<input type="text"/>										
Occupation	<input type="text"/>										
Email	<input type="text"/>										

Step 1.6 Residential address (PO Box is NOT acceptable)

Unit	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Street number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Street name	<input type="text"/>											
Suburb	<input type="text"/>								State	<input type="text"/>	<input type="text"/>	<input type="text"/>
Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country (if not Australia)	<input type="text"/>						

Step 1.7 Tax status

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

If you have any questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Answer **both** tax residency questions:

Are you a tax resident of Australia? ☐ Yes ☐ No

Are you a tax resident of another Country? ☐ Yes ☐ No

If you are a tax resident of a country other than Australia, provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, list all relevant countries below.

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"/>

Reason A The country of tax residency does not issue TINs to tax residents

Reason B You have not been issued with a TIN.

Please explain why.

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

If you are a tax resident of more countries, please cross this box ☐ re-print this page and provide the additional details.

If there are more than two individuals, reprint Section 1 of this Form and complete on behalf of the additional individuals.

Step 1.8 Declaration and signature

By completing and signing this declaration I certify that:

- The information I have provided is true and correct.
- I have provided my tax residency status, including all countries which I am a tax resident and the respective TIN.
- I will inform you within 30 days of any change in circumstances which affect my tax residency status.
- I consent to the collection, use, storage and disclosure of my personal information in this Form. Any personal information collected for the purposes of the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) will be:
 - Used for the purpose of meeting obligations under CRS and the Intergovernmental Agreement (IGA) between Australia and United States implementing the United States legislation known as FATCA; and
 - Used for other purposes relating to verification of our identity and to review and correct discrepancies in the information provided and recorded.
- I confirm that I have read Australian Unity's Privacy Policy and understand the terms and conditions surrounding the collection, use, storage and disclosure of my personal information.
- (if signing under a Power of Attorney) I declare that I have not received notice of revocation of that power.

Signature of Investor 2

Print name of Investor 2

Date / /

If you are filling this Form in as an individual investor or Sole Trader you have now completed this Form.
Please see page 8 for details on how to submit the Form to Australian Unity.

Section 2 Entity tax information

Section 2 is for entities completing Entity tax residence declarations. An Entity can be a company, trust, partnership, association, registered co-operative or government body.

Complete one Form for each Entity. If more space is required while filling any section, please re-print that page and fill out the additional details.

Sole Traders should complete Section 1 of this Form.

Step 2.1 General entity information

This step requires that the Entity provides general business and contact information.

Entity name

Entity ABN Entity ACN

Entity registered office address (Cannot be a PO Box)

Unit Street number

Street name

Suburb State

Postcode Country (if not Australia)

Entity postal address

Unit Street number

Street name

Suburb State

Postcode Country (if not Australia)

Entity contacts

Phone no. (business hours) Mobile no.

Phone no. (after hours) Email

Step 2.2 Tax status

This section is required for an Entity that is required to confirm:

- Its FATCA status (FATCA = Foreign Account Tax Compliance Act)
- Its CRS status (CRS = Common Reporting Standard), or
- Whether it or any of its controlling persons are foreign tax residents

Tick one of the Tax Status boxes below (if the Company or Trust is a Financial Institution, please provide all the requested information below)

☐ **An Australian regulated Superannuation Fund** including a complying SMSF retirement or pension fund. Please proceed to Step 2.5 (Entity declaration and signature).

☐ **A Financial Institution** (A custodial or depository institution, an investment entity, a specified insurance company or non-reporting financial institution 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) - -

☐ Non-Participating 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 Step 2.3 (Foreign Controlling Persons). If No, please proceed to Step 2.5 (Entity declaration and signature).

CRS Participating Jurisdictions are on the OECD website at oecd.org.

☐ **Public Listed Company, Majority Owned Subsidiary of a Public Listed Company that are not Financial Institutions**

Please provide the name of the market or stock exchange where your company is listed and your company's unique exchange code.

Please proceed to Step 2.5 (Entity declaration and signature).

☐ **Non-Financial Entity (NFE)/Non-financial Foreign Entity (NFFE)** An Entity is an active NFE or NFFE if, 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. An NFE/NFFE is passive if it does not fit the description of an active entity.

NFE/NFFE includes the following entity types:

- Private or proprietary company that is NOT a financial institution
- Public unlisted company that is NOT a financial institution
- Partnership, Trust, Co-operative, Association or club, that is NOT a financial Institution
- Registered or non-registered charitable organisations, that is NOT a financial Institution.

☐ **An Active NFE/NFFE** Please proceed to Step 2.4 (Country of Tax Residency).

☐ **A Passive NFE/NFFE** Please proceed to Step 2.3 (Foreign Controlling Persons).

☐ **Governmental entity, international organisation, central bank, Australian Registered Charity or Deceased Estate.**

Please proceed to Step 2.5 (Entity declaration and signature).

Step 2.3 Foreign Controlling Persons (Individuals)

Are any of the Entity's Controlling Persons* tax residents of countries other than Australia? ☐ Yes ☐ No

If **Yes**, provide the details of these individuals below and complete **Section 3 Controlling Persons Tax Information** of this Form for each controlling person.

* A Controlling Person is an individual who directly or indirectly exercises control over the Entity. For a company, this includes any beneficial owners controlling 25% of the shares in the company. For a Trust this includes Trustees, Settlers or Beneficiaries. For a partnership this includes any partners.

Where there are no natural persons that control the Entity through ownership, the controlling person(s) may be a natural person(s) who could be a senior managing official.

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 you have any questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Given name	Surname	Role (such as 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 than three individuals, please tick this box ☐ re-print this page and complete this table on behalf of the additional individuals.

Step 2.4 Country of Tax Residency

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

If you have questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Answer **both** tax residency questions.

Is the Entity a tax resident of Australia? ☐ Yes ☐ No

Is the Entity a tax resident in a country other than Australia? ☐ Yes ☐ No

If the Entity is a tax resident of a country other than Australia, you must provide the Entity's 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, 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. If a TIN is not provided, 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"/>

Reason A The country of tax residency does not issue TINs to tax residents

Reason B You have not been issued with a TIN.

Please explain why.

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

If you are a tax resident of more countries, please cross this box ☐ re-print this page and provide the additional details.

Step 2.5 Entity declaration and signature

This is to be completed by an authorised representative of the Entity, such as a Director or Trustee.

By completing and signing this declaration I certify that:

- The information that I have provided is true and correct.
- I have provided the Entity's country tax residency status, including all countries which it is a tax resident and the respective TIN.
- I will inform you within 30 days of any change in circumstances which affect the Entity's country tax residency status.
- I consent to the collection, use, storage and disclosure of our personal information in this Form. Any personal information collected for the purposes of the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) will be:
 - Used for the purpose of meeting obligations under CRS and the Intergovernmental Agreement (IGA) between Australia and United States implementing the United States legislation known as FATCA; and
 - Used for other purposes relating to verification of our identity and to review and correct discrepancies in the information provided and recorded.
- I confirm that I have read Australian Unity's Privacy Policy and understand the terms and conditions surrounding the collection, use, storage and disclosure of our personal information.
- (if signing under a Power of Attorney) I declare that I have not received notice of revocation of that power.

Signature

Capacity (Company Director, Trustee, etc.).

Representative name

Date

/ /

Section 3 Controlling Persons Tax Information

This section is designed to collect the tax status of an individual where this information has not previously been provided, or the individual has been identified as a potential taxpayer of a country other than Australia or to provide updated information about your tax residency.

Please complete for each Controlling Persons

PLEASE NOTE: You may be treated as being a non-Australian taxpayer if the requested information is not provided.

Step 3.1 Personal Details

Title	<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Ms	<input type="checkbox"/> Miss	Date of birth	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>														
Given name(s)	<input type="text"/>														
Occupation	<input type="text"/>														
Email	<input type="text"/>														

Step 3.2 Residential address (P.O. Box is not acceptable)

Unit	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Street number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Street name	<input type="text"/>											
Suburb	<input type="text"/>								State	<input type="text"/>	<input type="text"/>	<input type="text"/>
Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country (if not Australia)	<input type="text"/>						

Step 3.3 Tax status

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

If you have any questions on how to define your tax residency status, please visit the OECD website (oecd.org) or speak to a professional tax adviser as we are not allowed to give tax advice.

Answer **both** tax residency questions:

Are you a tax resident of Australia? ☐ Yes ☐ No

Are you a tax resident of another Country? ☐ Yes ☐ No

If you are a tax resident of a country other than Australia, provide your Tax Identification Number (TIN) or equivalent below.

If you are a tax resident of more than one country, 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. If a TIN is not provided, list one of the three reasons specified (A, B or C) for not providing a TIN.

If you are a tax resident of a country other than Australia, provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, list all relevant countries below.

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"/>

Reason A The country of tax residency does not issue TINs to tax residents

Reason B You have not been issued with a TIN.

Please explain why.

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

If you are a tax resident of more countries, please cross this box ☐ re-print this page and provide the additional details.

Step 3.4 Declaration and signature

Controlling Person Declaration and Undertakings

- I acknowledge that the information contained in this Form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which [I/the Controlling Person] may be a tax resident pursuant to international agreements to exchange financial account information.
- I certify that I am the Controlling Person, or I am authorised to sign on behalf the Entity, of all the account(s) held by the Entity Account Holder to which this Form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

- I undertake to advise the recipient within 30 days of any change in circumstances which affects the tax residency status of the individual identified in Step 2.3 of this Form or causes the information contained herein to become incorrect, and to provide the recipient with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.
- I consent to the collection, use, storage and disclosure of our personal information in this Form. Any personal information collected for the purposes of the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) will be:
 - Used for the purpose of meeting obligations under CRS and the Intergovernmental Agreement (IGA) between Australia and United States implementing the United States legislation known as FATCA; and
 - Used for other purposes relating to verification of our identity and to review and correct discrepancies in the information provided and recorded.
- I confirm that I have read Australian Unity's Privacy Policy and understand the terms and conditions surrounding the collection, use, storage and disclosure of our personal information.

Signature

Representative name

Date / /

Capacity

Capacity Note: If you are not the Controlling Person please indicate the capacity (e.g. Director or Senior Managing Officer) in which you are signing the Form. If signing under a Power of Attorney please also attach a certified copy of the Power of Attorney.



Return by email

If you are a current Lifeplan Member (or have investments in our Lifeplan products), please email

enquiries@australianunity.com.au

OR

If you have investment in our Property and Investment products, please email

australianunitywealth@unitregistry.com.au



Post

Send completed form together with relevant identification documents.

Australian Unity
GPO Box 4397
MELBOURNE VIC 3000

(No stamp required if mailed within Australia)

Contact us

Investor Services
1300 130 038

Adviser Services
1300 133 285

australianunity.com.au