

Tax Residency Information Form

1 May 2018



Investment Bonds

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 1300 1300 38..

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

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.

- 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 from Application Form Part A

Investor 1 Name

Date of birth

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 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"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		If no TIN, please list reason A, B or C (see below)	<input type="text"/>						
2. Country	<input type="text"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		If no TIN, please list reason A, B or C (see below)	<input type="text"/>						
3. Country	<input type="text"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		If no TIN, please list reason A, B or C (see below)	<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

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 tick this box re-print this page and provide the additional details.

Investor 1 Declaration

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

Signature of Investor 1

Print name of Investor 1

Date

Investor 2 from Application Form Part A

Investor 2 Name

Date of birth

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

1. Country	<input type="text"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		If no TIN, please list reason A, B or C (see below)	<input type="text"/>						
2. Country	<input type="text"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		If no TIN, please list reason A, B or C (see below)	<input type="text"/>						
3. Country	<input type="text"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		If no TIN, please list reason A, B or C (see below)	<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

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

If you are a tax resident of more countries, tick this box and print the above table again 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.

Investor 2 Declaration

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

Signature of Investor 2

Print name of Investor 2

Date

Section 2 Company or Trust tax information

This section is required for any 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, or
 - An entity can be a company, trust, partnership, association, registered co-operative or government body.
 - Complete one form for each entity. Complete all applicable sections of this form in BLOCK LETTERS.

2.1 Tax Status

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

- 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 Company'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 section 2.2 (Foreign Controlling Persons). If No, Please continue 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>.

- Public Listed Company, Majority Owned Subsidiary of a Public Listed Company, Australian Registered Charity or Deceased Estate** (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)
- 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)
- If the company is an Active NFE, proceed to section 2.3 (Country of Tax Residency).
- Other** (Entities that are not previously listed – including Passive Non-Financial Entities)

Please proceed to the Section 2.2 (Foreign Controlling Persons)

2.2 Foreign Controlling Persons (Individuals)

Are any of the Company or Trust's Controlling Persons* tax residents of countries other than Australia? Yes No

* 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 or speak to a professional tax adviser as we are not allowed to give tax advice.

If **Yes**, provide the details of these individuals below and complete **Section 4 Controlling Persons Tax Information** of this form for each controlling person.

Given name	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 than three individuals, please tick this box re-print this page and complete this table on behalf of the additional individuals.

2.3 Country of Tax Residency

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

Is the Company or Trust a tax resident of Australia?

Yes No

If **Yes**, provide the Company or Trust's country of tax residency and Tax Identification Number (TIN) or equivalent below. If the Company or Trust 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.

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2. Country	<input type="text"/>	Please provide your ('TIN')	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Reason A The country of tax residency does not issue TINs to tax residents

Reason B You have not been issued with a TIN

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

If there are more countries, tick this box and print the above table again and provide the additional details.

Section 3 Declaration

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).

Signature

Representative name

Capacity (Company Director, Trustee, etc.).

Date / /

Section 4 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.
- Please complete for each Controlling Person.
- PLEASE NOTE: You may be treated as being a non-Australian taxpayer if the requested information is not provided.

Personal Details

Title Mr Mrs Ms Miss Date of birth / /

Surname

Given name(s)

Occupation

Email

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

Unit Street number

Street name

Suburb State

Postcode Country (if not Australia)

Tax status

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

1. Country		Please provide your ('TIN')							
		If no TIN, please list reason A, B or C (see below)							
2. Country		Please provide your ('TIN')							
		If no TIN, please list reason A, B or C (see below)							
3. Country		Please provide your ('TIN')							
		If no TIN, please list reason A, B or C (see below)							

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

Reason B You have not been issued with a TIN

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

If you are a resident of more countries, tick this box print this page again and provide the additional details.

Declaration

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 am authorised to sign for the Controlling Person, 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 Part 1 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.

Signature

Print name:

Date / /

Note: If you are not the Controlling Person please indicate the capacity 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.

Capacity



Return by email

enquiries@australianunity.com.au

Contact us



Australian Unity
114 Albert Road, South Melbourne VIC 3205



australianunity.com.au/wealth

Investor Services



enquiries@australianunity.com.au



1300 1300 38



1800 804 890

Adviser Services



investmentbonds@australianunity.com.au



1300 133 285



1800 804 890