









































## 4.2 Voting rights

If there are any other individuals, who have not been listed above in Section 4.1, and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please provide their name, date of birth, and residential address on a separate sheet and attach to this form.

## 4.3 Senior Managing Official details

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

Title Full given names

Surname

Date of birth (DD/MM/YYYY)  
 /  /

Company title

## Residential address/Registered office address

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

### HELP

**Senior managing official:** an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

## 5. Signing instructions

Where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

Signature of director 1

Please print full name

Date (DD/MM/YYYY)  
 /  /

Company officer (please indicate company capacity)

- Director  
 Sole director and company secretary

Signature of director 2

Please print full name

Date (DD/MM/YYYY)  
 /  /

Company officer (please indicate company capacity)

- Director  
 Company secretary

**Client Services contact details**

**Phone**

Within Australia: 1300 997 774

International: +(61) 3 9616 8687

**Send your application form by email:**

[australianunitywealth\\_transactions@unitregistry.com.au](mailto:australianunitywealth_transactions@unitregistry.com.au)

**Email enquiries:**

[australianunitywealth@unitregistry.com.au](mailto:australianunitywealth@unitregistry.com.au)

## Identification form – Trusts and Trustees

Complete this form if you have not previously invested in a fund. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

1. Please complete this identification form in BLOCK letters and using a black pen.
2. Make copies of your ID document(s) and arrange for them to be certified. Please refer to the 'Instructions' page for more information on getting your documents certified.
3. Include this identification form and certified copies of your ID documents with your initial application form when you send it to us. Please refer to the 'Instructions' page for information on how your identification documents can be sent to us.

## 1. Trust details

Full name of trust

Business name (if any)

Country where the trust was established

Please indicate the source and origin of funds being invested:

- Savings
- Investment
- Superannuation contributions
- Commission
- Donation/gift
- Inheritance
- Normal course of business
- Asset sale
- Other – write the source and origin of funds below

## 2. Type of trust

### 2.1 Regulated trusts

This includes complying superannuation funds and SMSFs or another type of trust registered and regulated by an Australian Commonwealth statutory regulator.

No  Yes

If yes, please tell us:

The trust's ABN

The regulator if not APRA or the ATO

Any license number

Registered managed investment scheme

No  Yes

If yes, please tell us the ARSN

Government superannuation fund

No  Yes

If yes, please tell us the name of the Act that regulates the trust

If you answered yes to any of these questions, then please provide a certified copy of one of the following:

- Superannuation funds**  
go to [www.abn.business.gov.au](http://www.abn.business.gov.au), select the 'Super Fund Lookup' option and print out the results for your super fund
- Registered managed investment schemes**  
an ASIC search of the scheme
- Government superannuation funds**  
an extract of the establishing legislation.

### 2.2 Non-regulated trusts

Including family trusts, testamentary trusts and other unit trusts, deceased estates and charitable trusts (but not including self-managed superannuation funds)

No  Yes

If yes, please specify the type of trust

Please provide full name, address and date of birth of all beneficial owners who are individuals who own 25% or more of the trust income or assets or who control (whether directly or indirectly) the trust and either the date of birth or full residential address of each beneficial owner:

#### HELP

'Control' includes control (directly or indirectly) as a result of, or by means of trusts (including in the capacity as beneficiary, trustee or settlor), an agreement, an understanding or practice, and further includes the ability to exercise control over decisions about financial and operating policies.

'Owns' means ownership (either directly or indirectly) of 25% or more by you.

**Beneficial owner 1**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 2**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 3**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 4**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address/Registered office address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Please provide the name of all beneficiaries that are not beneficial owners**

If the trust deed describes the beneficiaries by reference to member of a class please provide details of, the class to which the beneficiaries belong e.g. family members, unit holders, un-named charities on a separate sheet and attach to this form.

**Beneficiary 1**

Title Full given names

Surname

**Beneficiary 2**

Title Full given names

Surname

**Beneficiary 3**

Title Full given names

Surname

**Beneficiary 4**

Title Full given names

Surname

Please provide the name of the **appointor** of the trust, if applicable

**HELP**

**Appointor:** the appointor has the power to appoint or remove the trustees of the trust. Not all trusts have an **appointor**.

Name of trust **settlor**

**HELP**

**Settlor:** this is the person that creates the trust. The settlor may be, for example, your accountant or solicitor.

Note: you do not need to provide the name of the trust settlor if they are deceased, or the material asset at the time the trust was established was less than \$10,000.

If you are a non-regulated trust, please provide us with certified copies of one of the following:

- Trust deed**  
or an extract of the trust deed showing the full name of the trust and any named trust settlor
- Other documentation**  
confirming the full name of the trust and the name of the trust settlor

### 3. Trustee details

#### 3.1 Verification procedure - individual trustee

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

##### Group 1

Provide a certified copy of one of these:

- Australian driver's license**  
showing your photo, and please copy the front and back
- Foreign driver's license**  
showing your date of birth, signature and photo
- Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- Foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- Foreign Government issued ID card**  
showing your date of birth, signature and photo.

##### Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- Australian or foreign government issued birth certificate**
- Australian or foreign government issued citizenship certificate**
- Centrelink pension or health card**  
please copy the front and back.

PLUS, provide a certified copy of one of the following:

- a Government issued notice**  
one which shows your name and residential address, not more than 12 months' old
- a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months' old
- ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

a completed Identification form – Australian and Foreign companies, plus any relevant identification.

#### 3.2 Verification procedure - company trustees

##### 3.2.1. General information

Full name of company trustee

Nature of business

ACN

##### 3.2.2. Australian company trustee

Place of business (if different to registered office address)  
A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

##### 3.2.3. Foreign company trustee

Country of formation

Registered in Australia?

No  Yes

If yes, please provide the ARBN

Registered in that country?

No  Yes

If yes, please provide the name of regulator/exchange

Identification number issued by foreign registration body

**Registered business address in country of formation**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

Please provide us with certified copies of one of the following:

- an ASIC or foreign regulator search  
 an ASIC or foreign regulator certificate of registration.

**3.2.4. Company Type**

Please complete the section below for public companies (3.2.4 (a)) or private companies (Section 3.2.4 (b)) as applicable.

**3.2.4. (a) Public company**

Are you a public company?

No  Yes

If yes, please proceed to Section 3.2.5

**3.2.4. (b) Private company**

Are you a private company?

No  Yes

If yes, please complete the director details section below if you are a private Australian company or a private foreign company. Do not complete for public companies.

**Director details**

How many directors are there?

**Provide the full name of each director:**

**Director 1**

Title Full given names

Surname

**Director 2**

Title Full given names

Surname

**Director 3**

Title Full given names

Surname

**Director 4**

Title Full given names

Surname

If there are more directors, please provide their name on a separate sheet and attach to this form.

**3.2.5. Regulated/Listed companies**

Are you an Australian listed company?

No  Yes - please provide name of market/exchange

Market/Exchange

**Are you a majority-owned subsidiary of an Australian listed company?**

No  Yes - please provide name of listed company and market/exchange

Company

Market/Exchange

Are you a regulated company?

One which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

One that which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

No  Yes – please provide details of the regulator and licence number

Regulator

Licence number

If you answered yes to any of these questions, please provide us with a certified copy of one of the following and sign the form at the end. For you, this form is complete.

- an ASIC search
- a search of the licence or other records of the relevant regulator
- a public document issued by the company
- a search of the relevant market/exchange

**3.2.6. Non-regulated/non-listed companies**

If you answered no to all the questions in Section 3.2.5, please fill in the Sections 3.2.6 (a), (b) and (c) below.

**3.2.6. (a) Beneficial owner details**

Provide details of all beneficial owners (i.e. company shareholders) who, through one of more shareholdings, own 25% or more of the company's issued capital.

**Beneficial owner 1**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 2**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 3**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Beneficial owner 4**

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

**Verification procedure - beneficial owners**

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

**Group 1**

Provide a certified copy of one of these:

- Australian driver's licence**  
showing your photo, and please copy the front and back
- Foreign driver's licence**  
showing your date of birth, signature and photo
- Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- Foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- Foreign Government issued ID card**  
showing your date of birth, signature and photo.

## Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- Australian or foreign government issued birth certificate
- Australian or foreign government issued citizenship certificate
- Centrelink pension or health card  
please copy the front and back.

**PLUS, provide a certified copy of one of the following:**

- a Government issued notice  
one which shows your name and residential address, not more than 12 months' old
- a rates or utilities notice  
one which shows your name and residential address, not more than three months' old
- ATO notice  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

- a completed Identification form – Australian and Foreign companies, plus any relevant identification.

### 3.2.6. (b) Voting rights

If there are any other individuals, who have not been listed above in Section 3.2.6 (a), and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please write down their full names on a piece of paper and attach to this form.

### 3.2.6. (c) Senior Managing Official details

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

Title Full given names/Full company name

--	--

Surname

--

Date of birth (DD/MM/YYYY)

--	--	--	--	--	--	--	--	--	--

Usual occupation/Nature of business

--

Company title

--

Residential address

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

--

Unit Street number

--	--

Street name

--

Suburb

State

--	--

Postcode

Country

--	--

#### HELP

**Senior managing official:** an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

#### Verification procedure - senior managing official details

If you are unable to provide details of beneficial owners in Section 3.2.6. (a) above, please provide documentation showing the name of the senior managing official, as provided in this Section 3.2.6. (c).

## 4. Signing instructions

**Individual Trustee:** where the investment has one individual trustee, the trustee must sign.

**Multiple trustees:** where the investment has more than one individual trustee, all trustees must sign.

**Corporate trustee:** where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

**Trust:** the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney:** if signing under a Power of Attorney and you have not already lodged the Power of Attorney document, please attach a certified copy of the Power of Attorney annotated with the following: I/We attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

Signature of trustee 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- Director
- Sole director and company secretary
- Authorised signatory

Signature of trustee 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- Director
- Company secretary
- Authorised signatory

#### Client Services contact details

##### Phone

Within Australia: 1300 997 774

International: +(61) 3 9616 8687

##### Send your application form by email:

[australianunitywealth\\_transactions@unitregistry.com.au](mailto:australianunitywealth_transactions@unitregistry.com.au)

##### Email enquiries:

[australianunitywealth@unitregistry.com.au](mailto:australianunitywealth@unitregistry.com.au)

## Tax information form

### Why you need to complete this form

The Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and a number of other foreign Governments have an agreement which requires us to obtain certain information from investors, including taxation information. You may be liable to a penalty if you provide information that is false or misleading in a material particular. We may decide not to open an account without first receiving the required information. For more information, visit [ato.gov.au](http://ato.gov.au).

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

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

If you are unsure of any of the answers, please contact a legal or accounting professional.

### Which sections of the form should you complete?

Superannuation funds, testamentary trusts, registered charities – Section 1

Individuals – Section 2

Companies and other trusts – Section 3

- Corporate trustee – Section 3
- Individual trustee – Section 2

### What if more than one person is applying?

Each individual investor will need to complete a copy of this form.

#### HELP

##### Tell me about tax residence

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

Section 1 Superannuation funds and other special trusts

1. Are you a superannuation or other special type of trust?

- I am the trustee of a regulated superannuation fund, this includes a self-managed superannuation fund
- I am a trustee of a **testamentary trust**, or
- I am a trustee of a **registered charity**

Where to now?

I ticked a box ► go to Section 4 Signatures

I did not tick a box ► go to Section 2 if you are an individual, or Section 3 if you are a company or another type of trust

**HELP**  
**Regulated superannuation fund:** means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled superannuation trusts.  
**Testamentary trust:** this is a trustee of a trust set up in a deceased's will.

Section 2 Individuals

Do not complete Section 2 if you are a non-superannuation trustee or you are a company ► complete Section 3 instead.

2. Are you a US resident for tax purposes?

- No ► go to question 3
- Yes – please tell us your TIN ► go to question 3

TIN

**HELP**  
**What is a TIN?**  
 This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

3. Are you a resident of any other country for tax purposes?  
 Other than the US or Australia.

- No ► go to Section 4 Signatures
- Yes – please tell us which ones, using the table below. ► then go to Section 4 Signatures

**HELP**  
**No TIN? Reasons we accept are:**

1. This country does not issue TINs
2. I have asked for a TIN, but have not yet been given one – **you must tell us when received**
3. The laws of this country do not require me to disclose my TIN
4. I have an exemption under the laws of this country from holding a TIN – **write a code or give us details**

Country	TIN	No TIN? Which reason? See HELP box above
1		
2		
3		
4		

Section 3 Companies and non-superannuation trusts

4. Is the company or trust a US resident for tax purposes?

No ► go to question 5

Yes – please tell us your TIN ► then go to question 5

TIN
-----

5. Is the company or trust a resident of any country other than Australia or the US for tax purposes?

No ► go to question 6

Yes – please tell us which ones, using the following table ► then go to question 6

Country	TIN	No TIN? Which reason? See HELP box above
1		
2		
3		
4		

## 6. Is the company or trust a 'financial institution'?

Be careful – financial Institution is broadly defined – see HELP box

- Not relevant - I wrote my TIN in question 4 ► go to question 7
- No ► go to question 7
- Yes – please tell us your GIIN – see HELP box

GIIN

### Where to now?

I ticked **YES** and completed my GIIN ► go to question 7

I ticked **YES** but did not write a GIIN

– tell us below why you did not write a GIIN ► then go to question 7

- Excepted Financial Institution
- Deemed Compliant Financial Institution
- Exempt Beneficial Owner
- Non-participating Financial Institution
- Non-reporting IGA Financial Institution
- The trust is a trustee-documented trust - their GIIN is
- Sponsored financial institution – their GIIN is

GIIN

## 7. Are you a public company listed on a stock exchange?

- No ► go to question 8
- Yes ► go to Section 4 Signatures

## HELP

### What is a financial institution?

This includes:

- 1. an investment entity** - any entity that conducts certain activities or operations for or on behalf of a customer, including:
  - 'trading in money market instruments' and other relevant instruments
  - 'individual and collective portfolio management'
  - 'investing, administering, or managing funds or money on behalf of other persons'.

However, any trading, investing, administering or managing of financial assets on behalf of other persons must be done as a business. Note that financial assets do not include direct interests in real property.

An entity is also an investment entity if it is managed by another investment entity, depository institution, custodial institution or other prescribed entity and its gross income is primarily attributable to investing reinvesting or trading in financial assets.

So, as general rules:

- managed investment schemes are investment entities
- trusts with professional corporate trustees (and often professional corporate investment managers) often are investment entities, such as unregistered (wholesale) managed investment schemes
- discretionary family trusts are not usually investment entities, even if they have someone managing the trust's assets for them.

The ATO gives some help on this, seek advice if you are unsure.

### 2. a depository institution

you accept deposits in the ordinary course of a banking or similar business e.g. a bank

### 3. a custodial institution

a substantial portion of your business (20% or more of gross income) has been held in financial assets for the account of others for the previous three years or since the establishment of the entity e.g. a custodian

### 4. certain prescribed entities

e.g. types of insurance companies that have cash value products or annuities.

## 8. Are you 'active' or 'passive'?

The company or trust is an 'active' non-financial entity ► go to Section 4 Signatures

The company or trust is a 'passive' non-financial entity ► go to question 9

### HELP

What is 'active' and 'passive'?

A non-financial entity (NFE) is any entity that is not a financial institution as defined above. 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

You will be a passive NFE if you are not an active NFE. Generally, you will be an active NFE if:

- your stock (or a related entity's stock) is regularly traded on established securities market
- less than 50% of your gross income for the previous reporting period was passive income and less than 50% of your assets during that period produce or were held to produce passive income
- you are a Governmental entity, an international organisation, a central bank or an entity wholly owned by one of the above
- you are exempt from income tax in your residential jurisdiction and were established and operated exclusively for religious, charitable, scientific, artistic, athletic or educational purposes and meet certain other specific criteria, or
- you have not been a financial institution in the past five years and are in the process of liquidating your assets or reorganising with the intent to recommence operations other than as a financial institution.

If you are unsure whether you are an Active or Passive NFE, please get advice.

## 9. Do you have any 'controlling persons' who are resident of another country for tax purposes?

I am passive, and **YES** I do have controlling persons who are resident of another country for tax purposes.

Complete the **controlling persons details** in the table below ► then go to Section 4 Signatures. Please note: if the Financial Institution is an investment entity located in a non-participating CRS Jurisdiction and managed by another Financial Institution you will also need to complete the **controlling persons details**.

If there is not enough room in the table, please copy the page and attach it to your completed form.

I am passive, but **NO** I do not have controlling persons who are resident of another country for tax purposes. Please read the HELP box before making your selection. If you have made this selection ► go to Section 4 Signatures.

### HELP

#### Controlling persons

Controlling persons are natural persons who directly or indirectly exercise control over an entity.

For trusts, controlling persons includes any trustees, settlors, beneficiaries, classes of beneficiaries or any other person who has the power to effectively control the trust.

For companies, controlling persons generally include any person who holds (directly or indirectly) more than 25% of the shares in the company and any person who has the power to influence decisions about the company's financial and operating policies, such as senior managing officials or directors.

**Controlling person**

Title Given name

Surname

Date of birth (DD/MM/YYYY)

City and country of birth

**Residential address**

Number Street name

Suburb

State

Postcode/Zip

Country

Country of tax residence	TIN	No TIN? Which reason? See HELP at questions 3 or 5
1		
2		
3		
4		

1
2
3
4

**Controlling person**

Title Given name

Surname

Date of birth (DD/MM/YYYY)

City and country of birth

**Residential address**

Number Street name

Suburb

State

Postcode/Zip

Country

Country of tax residence	TIN	No TIN? Which reason? See HELP at questions 3 or 5
1		
2		
3		
4		

1
2
3
4

**Controlling person**

Title Given name

Surname

Date of birth (DD/MM/YYYY)

City and country of birth

**Residential address**

Number Street name

Suburb

State

Postcode/Zip

Country

Country of tax residence

TIN

No TIN?  
Which reason?  
See HELP at  
questions 3 or 5

1

2

3

4

**Controlling person**

Title Given name

Surname

Date of birth (DD/MM/YYYY)

City and country of birth

**Residential address**

Number Street name

Suburb

State

Postcode/Zip

Country

Country of tax residence

TIN

No TIN?  
Which reason?  
See HELP at  
questions 3 or 5

1

2

3

4

**Important information**

Nothing in this form is advice (and any 'help' is general guidance only). Seek professional advice to be sure of your answers.

It is a condition of investing that you keep your details (including tax details) with us, up to date. We recommend that you review this tax information form at the end of the financial year and update your details if required. You must contact us when you learn new things about the matters in this form. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form again and emailing, faxing or posting it to our Administrator.

**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.
- that my/our personal information will be collected, used and disclosed by Australian Unity in accordance with its Privacy Policy which can be accessed at [australianunity.com.au/privacy-policy](http://australianunity.com.au/privacy-policy) and in accordance with the law.
- that if this application is signed under a Power of Attorney, the Attorney verifies that no notice of revocation of that power has been received at the date of completing this application.

**Controlling Person Declaration and Undertaking**

- 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 represent having read and understood this form.
- I represent this form is complete and accurate.
- If I have applied for but not received the TIN or GIIN, I undertake to provide this information within 30 days of receiving it.
- I undertake that if information in this form changes, I will update this within 30 days.

**How to sign**

**Individual:** sign in the left box and have someone witness in the right box. If you are investing jointly, you need a separate form for each individual.

**Company:** two directors, or a director and a secretary sign, or if you are a sole director company, that sole director signs in the left box and a witness in the right box.

Signature

Please print full name

Date (DD/MM/YYYY)

 /  /    

Signature

Please print full name

Date (DD/MM/YYYY)

 /  /