

# Centuria



CENTURIA LIFE LIMITED AFSL 230 867 ACN 087 649 054

## Centuria LifeGoals Investment Bond and Child Plan

### APPLICATION FORM

Centuria's Investment Bonds offered by this product disclosure statement are designed for investors seeking a tax-effective investment over the medium to long-term. For investment and product related questions, please contact Centuria Investor Services on 1300 50 50 50.

APIR CODE CNT0032AU | 27 November 2025

# How to invest

## Online application

Go to [centuria.com.au/lifegoals/invest](https://centuria.com.au/lifegoals/invest) and follow the instructions.

## Postal application

Refer below and follow the instructions to complete your application.

**We highly recommend applying through our streamlined online application portal. Online application forms will be processed immediately, as opposed to postal applications which may take several days to be received.**

This application form (including direct debit authority form) is part of the Product Disclosure Statement issued by Centuria Life Limited (ABN 79 087 649 054) (AFSL 230867) for Centuria LifeGoals dated 27 November 2025. The PDS contains important information about Centuria Investment Bonds. Please read the PDS before applying. You should also read the target market determination (TMD) for Centuria LifeGoals, which is available at [centuria.com.au/investment-bonds/investor-centre](https://centuria.com.au/investment-bonds/investor-centre). Any person who gives another person access to this application form must at the same time and by the same means, give the other person access to the PDS (and, if issued, any supplementary PDS). The offer to which the PDS relates is only available to eligible Investors receiving a copy (electronically or otherwise) in Australia. Unless the context requires otherwise, capitalised terms used in this application form have the meaning given to them in the PDS. We reserve the right to accept or refuse any application for investment in the Centuria Investment Bonds.

## Checklist – completing your application form

- Step 1:** Complete the **target market determination**.
- Step 2:** Complete the **application form**.
- Step 3:** If required complete the **identification form 1 – individual, joint or sole trader**.
- Step 4:** If required complete the **identification form 2 – companies**.
- Step 5:** If required complete the **identification form 3 – trusts, trustees**.
- Step 6:** Complete the **tax status declaration form**.
- Step 7: Make payment** using one of the payment methods below.

## Payment method

Please select one of the two payment methods and indicate your preference on your application form. All payments must be made in Australian dollars (AUD).

### 1. BPAY® telephone and internet banking



**Biller code** 315879  
**Reference number** Provided by Centuria

#### Telephone & Internet Banking – BPAY®

Contact your bank or financial institution to make this payment from your cheque, savings, debit, or transaction account. More info: [www.bpay.com.au](https://www.bpay.com.au)

\* Registered to BPAY Pty Ltd ABN 69 079 137 518

You can make payment with your bank using telephone or internet banking. You will need to quote the biller code and reference number when making your payment. Once your original application is accepted, Centuria Investor Services will contact you by phone or email to provide you with your BPAY® reference number. If you are an existing Investor, you can use your Investor number as your BPAY® reference. Please make your payment within 14 days of this notification.

### 2. Electronic funds transfer

Please transfer funds electronically to the following account and send us your completed application form.

<b>Account name:</b>	<b>BSB:</b>	<b>Account number:</b>	<b>Your reference:</b>
Centuria Life Limited	082 001	23 231 3591	Please use the name of the Investor.

**Please note:** You must include your **investment entity** as your reference to ensure there is no delay in allotting your Units in the Fund. If you are an existing Centuria Investor you can use your Investor Number.

### 3. Direct debit (maximum \$500,000)

Direct debit will be made through the Bulk Electronic Clearing System (BECS) from your account held at the financial institution you have nominated on the Direct Debit Authority Form. By completing this section, you have understood and agreed to the terms and conditions governing the debit arrangements between you and Centuria Life Limited, as set out in this request and in your Direct Debit Request Service Agreement, a copy of which is available within the PDS.

## Where to send your application

### Email

Centuria accepts application forms and identification documents via email. Scanned copies of certified documents are acceptable. Email your completed application form and identification documentation to [bonds.enquiry@centuriainvestor.com.au](mailto:bonds.enquiry@centuriainvestor.com.au).

**Please note:** Your application cannot be processed until your application form, payment and the required identification documents have been received by Centuria.

### By post

Mail to **Centuria LifeGoals C/O Centuria Investor Services, GPO Box 3993, Sydney NSW 2001**. If sending by post, your identification documents must be an original certified document, or a copy of the certified original document.

# Target market determination

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## Filtering questions for target market determination

The following questions assist in Centuria Life Limited (CLL) in meeting its regulatory obligations by enabling it to assess whether the Centuria LifeGoals is being offered to the stated target market. If you don't understand the questions or need assistance, we recommend that you seek advice from your financial adviser before deciding to proceed with your investment.

**Investor status** Are you investing in this Bond on the advice of a licensed financial adviser who has provided current investment advice having regard to your personal objectives, financial situation and needs?

Yes No

**If you have answered yes, you do not need to complete the target market determination questionnaire, but you must provide your adviser details in the application form.**

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## Target market determination questionnaire

**Question 1** Are you comfortable with selecting your own Investment Options?

Yes No

**Question 2** Can you confirm that you are not a superannuation fund looking to invest in the LifeGoals product?

Yes No

**Question 3** Can you confirm that you are not an investor looking for a product that calculates and pays a regular distribution?

Yes No

**Question 4** Investors that are paying no tax are generally not considered to be in the target market for this product unless there is a non-tax related outcome (e.g. estate planning, child plan or maximising social security benefits). This is because tax is paid within the Investment Bonds product at a higher tax rate of 30% and investors paying 0% tax may not benefit from the tax benefits under the investment bond structure. Can you confirm that you are paying more than 0% tax or you are seeking a non-tax related outcome?

Yes No

**IMPORTANT:** If you have answered 'no' to any of these questions, this product may not be suitable for you. Before proceeding with your investment, we recommend that you review the target market determination for the product which can be found on our website [centuria.com.au/lifegoals/investor-centre](http://centuria.com.au/lifegoals/investor-centre) or by calling us on 1300 50 50 50 and/or seek advice from your financial adviser before deciding to proceed with your investment.

**By completing the application form, you acknowledge that you have read and understood in the PDS and Investment Options Booklet how the Centuria LifeGoals Investment Bond invests your funds.**

# Application form Centuria LifeGoals

**Guide to completing this application form:**

- Complete the form for each new Investor nominated on your application.
- Complete the form in pen using block letters and mark appropriate answers with a cross X or number.
- Any queries please contact the Centuria Investor Services team on **1300 50 50 50**.

**Investor identification**

*The AML legislation requires Centuria Life Funds to confirm the identity of each Investor. If Centuria Life Limited is not able to do so, it may not be able to accept your Application.*

*If you are an existing Centuria Life Limited investor and HAVE NOT invested in a Centuria product in the last 5 years, we may require additional AML verification documentation to process your application. We will be in contact to request further information.*

Has the person/entity invested in a Centuria fund previously?

Yes, Bond number:

Has there been any change to the following?

- If applying as a company, the company details including directors, Beneficial Owners and key stakeholders 25% or more of shares.
- If applying as a trust, the trust details including trustee and beneficiaries.

Yes - you must complete the **identification form** referring to your investment entity.

No - complete the **tax status declaration form** (if not completed previously).

No, I have not invested previously.

In addition to this application form, you also need to complete the Investor Identification Form appropriate to the type of Investor you are, as below.

1. Individual/joint investor > Complete **identification form 1 – individual, joint or sole trader**
2. Company > Complete **identification form 2 – companies**
3. Trust > Complete **identification form 3 – trusts, trustees**

**Investor details**

*Adviser details are not acceptable unless your adviser holds a Letter of Authority which must be provided with the application form.*

*The investment contact will be the noted contact on all statements and correspondence.*

Bond entity name

Individual Investor name

Company Company name

Trust Trust name

Title Given name(s)

Surname

Address

Suburb State Postcode Country

Work phone Home phone

Mobile phone

Email

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**Investor details**
**Preferred method of communication**

By providing your email address, you agree that this email address can be used for all Investor correspondence types such as transaction confirmations, statements, and other reports from Centuria Life Limited.

I prefer to receive correspondence by post.

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**Investor contact**
**Authority to instruct Centuria**

Please select which joint applicants have authority to instruct on the investment and bind the other joint Investor(s) for future transactions (including additional investments, switches and withdrawals).

All applicants (default)

Applicant 1

Applicant 2

Either applicant

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**Regular Investment Plan**

I/We wish to participate in the Regular Investment Plan and I/we agree to be bound by the service agreement terms and conditions outlined in the Direct Debit Request Service Agreement. Direct debits are processed on day 17 of each month. If the processing day falls on a weekend, public holiday, state holiday or a non-Business Day your debits would be processed on next Business Day. It may also take funds up to three days to clear depending on the financial institution you bank with.

**Frequency**

Direct debit to commence

/

Monthly

Quarterly

Yearly

Would you like the regular contribution to automatically increase annually to take advantage of the 125% Rule. If so, by how much would you like the contribution amount to increase on the anniversary of you commencing the regular contribution plan?

0% (default)

5%

10%

15%

20%

25%

**Please complete the direct debit authority section.**

If you do not complete this form, your investment will not be processed.

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**Payment details**

*These details are required so your payment can be matched to your application form.*

Please indicate your payment method:

Direct debit

> Complete the **direct debit authority section**.

EFT

> Your reference

BPAY®

> Please refer to payment section 'How to invest'.

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**Source of funds**

*Please confirm the source and origin of funds being invested e.g. inheritance or savings.*

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**Direct debit authority**

- Complete this section in pen using BLOCK LETTERS and mark appropriate answer with a cross X.
- Any queries please contact the Centuria Investor Services team on 1300 50 50 50.
- Direct debits are only available for initial investments less than \$500,000. If your investments is greater than \$500,000 please use BPAY or EFT.

Establish a Regular Investment Plan with same amount as initial investment.

Establish once off direct debit for initial investment.

# Application form Centuria LifeGoals

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## Details

*These details are found on your investment correspondence*

Bond number – if you are an existing investor

Account name/investment entity

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## Bank details

Initial investment

Account name

Financial institution

BSB number

Account number

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## Adviser contact details

Please ensure your licensee has signed an RCTI agreement with Centuria Life Limited.

*Please have your financial adviser complete and sign this Section, to confirm they hold a current AFS licence and are authorised to deal and advise on managed investment products.*

Adviser given name(s)

Adviser surname

Adviser email address

Licensed dealer

AFS licence no.

Adviser company (if applicable)

*I confirm I have provided personal advice to the Applicant in relation to their investment in the Fund and I represent that I: have reviewed and considered the TMD in providing personal advice to the Applicant; have robust product governance arrangements in place to ensure compliance with my distribution obligations in Part 7.8A of the Corporations Act; have taken reasonable steps that will, or are reasonably likely to result in distribution of the Fund being consistent with the TMD; have complied with the distribution conditions/restrictions in the TMD; will provide to Centuria the reports specified in the TMD within the timeframes specified in the TMD; will not knowingly do anything to put Centuria in breach of Part 7.8A of the Corporations Act; and will notify Centuria immediately if I become aware of anything that would, or may potentially, put Centuria in breach of Part 7.8A of the Corporations Act.*

Adviser signature

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## Initial advice fee

*I hereby direct Centuria Life Limited to pay an adviser service fee, out of my application monies on my/our behalf to my financial adviser.*

Initial advice fee (if applicable) excluding GST\*

% OR \$

\*GST will be deducted separately

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**Ongoing adviser service fee**

Ongoing adviser service fee (excluding GST and paid monthly in arrears)

% p.a. based on the Investors account balance **OR** \$ p.a.

or such other percentage p.a. or other dollar amount p.a. that Centuria is instructed from time to time to pay to the financial adviser by the Investor.

For both initial and ongoing adviser service fee please ensure your adviser's licensee has signed an RCTI agreement with Centuria Life Limited. Please contact Centuria Investor Services to obtain a copy of the agreement.

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**Adviser switch**

I authorise the adviser nominated above to submit Investment Option switch requests on my behalf.

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**How would you like your Bond setup?**

**Life Insured** (Optional, however if no Life Insured is nominated this defaults to Bond holder)

Yes No

**Beneficiary nominations** (Optional)

Yes No

**Child Plan** (Optional, however if you choose to set up a Child Plan please note the Nominated Child must be the life insured only)

Yes No

**Please proceed to the relevant pages to set up your Bond.**

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**Life Insured**

- If no Life Insured is nominated, it will default to the Bond holder named in Section 2.
- If you are completing the Child Plan, the Nominated Child must be the life Insured only.
- Once the Life Insured is selected it cannot be changed, however for non-Child Plan investments you can add additional Life Insured to the policy during the nominated term.

**Life Insured 1**

Title Given name(s)

Surname

Date of birth

/ /

Address

Suburb

State

Postcode

Country

Phone (day)

Mobile

Email

# Application form Centuria LifeGoals

**Life Insured**

**Life Insured 2**

Title	Given name(s)		
Surname			Date of birth / /
Address			
Suburb	State	Postcode	Country
Phone (day)	Mobile		
Email			

If you have additional life insured to nominate, please contact **Centuria Investor Services on 1300 50 50 50**.

**Beneficiary nomination**

- Beneficiary nomination is only available on individual bonds where Applicant 1 is aged 16 years or older and is the Life Insured.
- Beneficiaries may be changed or revoked by notice in writing from Applicant 1 at any time prior to death.
- A transfer of the bond by way of an assignment will automatically cancel and revoke any prior nomination.
- When investing in Centuria LifeGoals Child Plan you may still select beneficiaries.
- The Investor must also be the Life Insured to nominate one or more beneficiaries (Nominated Beneficiaries).

**I, Applicant 1, nominate the beneficiary(s) listed below to receive the proceeds of the investment(s) to which this Application Form relates in the proportion specified hereunder.**

**Individual as beneficiaries**

**Beneficiary 1**

**Beneficiary 2**

Surname		
Given name(s)		
Date of birth	/ /	/ /
% of benefit	%	%
Phone number		
Email address		
Address		

**Beneficiary 3**

**Beneficiary 4**

Surname		
Given name(s)		
Date of birth	/ /	/ /
% of benefit	%	%
Phone number		
Email address		
Address		

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## Beneficiary nomination

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### Entities as beneficiaries

	Beneficiary 1	Beneficiary 2
Entity type e.g. company or trust		
Entity name		
ABN		
% of benefit	%	%
Phone number		
Email address		

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### Child Plan

- Complete this section if you wish to establish a Centuria LifeGoals Child Plan.
- A separate Child Plan application must be made for each child.
- The selected child must also be the only life insured.
- The investment can be owned individually or jointly, **it cannot be owned by a trust or company.**
- You may also select beneficiaries to receive the funds in the event of the death of the last surviving Life Insured.

<b>Nominated Child and life insured details</b>	Given name(s)		
	Surname	Date of birth	/ /
	Relationship to policy owner		
	Residential address	State	Postcode
Vesting age	The nominated vesting age must be between 10 and 25 years of age. If no age is selected it will default to 25 years of age.		

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### Investment Options - initial and Regular Investment Plan (minimum initial investment \$500)

**IMPORTANT:** The LifeGoals product requires you to select your own Investment Options that best fit your risk tolerances and objectives. The risk profile, investment objectives and strategy of each of the underlying Investment Options (the Investment Option features) can be found in the PDS Investment Options Booklet. It is important that you read and understand the risk profile of each underlying option and are comfortable that they are suitable for your particular financial situation, needs and objectives. Where you have selected a sector specific fund (e.g. a fund investing in Australian shares only), you should give consideration to diversifying your investment across multiple investment choices within the LifeGoals menu or otherwise across your investable assets held outside of this product, particularly where these funds also have a risk level of high or very high. If you require any further information on any of the investment options, please contact us on 1300 50 50 50.

By ticking this box, you acknowledge that you have read and understood the investment options features.

# Application form Centuria LifeGoals

## Investment Options - initial and Regular Investment Plan (minimum initial investment \$500)

INVESTMENT OPTION	REGULAR INVESTMENT AMOUNT	INITIAL INVESTMENT AMOUNT
<b>Cash and fixed interest funds</b>		
Pendal Short Term Income Securities Fund	\$	\$
Vanguard Australian Fixed Interest Index Fund	\$	\$
Betashares Australian Investment Grade Corporate Bond ETF	\$	\$
Pimco Australian Bond Fund	\$	\$
Pimco Global Bond Fund	\$	\$
Mutual Term Deposit Fund	\$	\$
<b>Diversified balanced funds</b>		
Vanguard Diversified Balanced Index Fund	\$	\$
Russell Investments Balanced Fund	\$	\$
MLC Wholesale Horizon 4 Balanced Portfolio	\$	\$
Pendal Sustainable Balanced Fund	\$	\$
CARE Balanced Fund	\$	\$
<b>Diversified growth funds</b>		
BlackRock Diversified ESG Growth Fund	\$	\$
Vanguard Diversified Growth Index Fund	\$	\$
Vanguard Diversified High Growth Index Fund	\$	\$
CARE High Growth Fund	\$	\$
CARE ESG High Growth Fund	\$	\$
Russell Investments Growth Fund	\$	\$
MLC Wholesale Horizon 5 Growth Fund	\$	\$
Schroder Real Return Fund	\$	\$
Providence Investment Fund	\$	\$
Dimensional World Allocation 70/30 Trust Fund	\$	\$
Perpetual Balanced Growth Fund	\$	\$
<b>Australian share funds</b>		
Vanguard Australian Shares Index Fund	\$	\$
AB Managed Volatility Equities Fund	\$	\$

**Investment Options - initial and Regular Investment Plan (minimum initial investment \$500)**

INVESTMENT OPTION	REGULAR INVESTMENT AMOUNT	INITIAL INVESTMENT AMOUNT
Bennelong Concentrated Australian Equities Fund	\$	\$
Firetrail Australian High Conviction Fund	\$	\$
Betashares Geared Australian Equity Fund (hedge fund)	\$	\$
Fidelity Future Leaders Fund	\$	\$
Alphinity Sustainable Share Fund	\$	\$
Greencape Broadcap Fund	\$	\$
<b>International share funds</b>		
Vanguard International Shares Index Fund	\$	\$
Vanguard International Small Companies Index Fund	\$	\$
Walter Scott Global Equity Fund (Unhedged)	\$	\$
T. Rowe Price Global Equity Fund	\$	\$
Magellan Global Fund	\$	\$
Betashares Nasdaq 100 ETF Fund	\$	\$
<b>Property and infrastructure funds</b>		
Vanguard Australian Property Securities Index Fund	\$	\$
VanEck FTSE Global Infrastructure (AUD Hedged) Fund	\$	\$
<b>Centuria multi-manager funds</b>		
Centuria Conservative Fund	\$	\$
Centuria Balanced Fund	\$	\$
Centuria Growth Bond Fund	\$	\$
Centuria Australian Share Fund	\$	\$
	<b>Total regular investment</b>	<b>Total initial investment</b>
<b>Nominal term (min 10 years)</b>	\$	\$

You can nominate any term between 10 and 40 years. Regardless of the nominated period you can access your funds at anytime and your investment can continue after the term. If you leave this blank you will default to a 40-year term to give you maximum flexibility. See the PDS for more details.

**Privacy statement and signatures**

By signing this application form you acknowledge that you have read, understood and agree to the collection, use and disclosure of your personal information as set out in the 'Other important information' section in the PDS or otherwise as required by law. In particular, you agree we may use your personal information to assess whether you are likely to be in the target market for the product and to tell you about other potential investment opportunities to be promoted and/or managed by Centuria Life Limited or any of its related entities.

If you do not wish to receive promotional information about other potential investment opportunities, please tick the box below.

I **DO NOT** wish to receive information about new Centuria Life investment products and events.

# Application form Centuria LifeGoals

## Declaration and signatures

- I/We agree to be bound by the Rules of the Fund (set out in Rule A of Centuria Life Limited's Constitution as amended from time to time) and the terms and conditions of the PDS.
- I/We have read the TMD for the Fund which is available at [centuria.com.au/investment-bonds/investor-centre](http://centuria.com.au/investment-bonds/investor-centre).
- I/We acknowledge that an investment in Centuria LifeGoals or Centuria LifeGoals Child Plan: (i) does not represent an investment in Centuria Life Limited or any subsidiary of Centuria Capital Limited; and (ii) is subject to investment and other risks, including possible delays in repayment and the loss of income and capital invested.
- I/We acknowledge that neither Centuria Capital nor any of its subsidiaries guarantees the performance of Centuria LifeGoals or the return or repayment of capital or income.
- I/We confirm that where the investment has been recommended to me by a financial planner/adviser, that planner/adviser has explained to me the features and risks of the products as detailed in the PDS.
- I/We have personally received the PDS or a complete and unaltered print out of the electronic PDS accompanied by or attached to this application form, which I/we have read and understood before applying to invest in LifeGoals.
- I/We have read, understood and agree to the collection, use and disclosure of my/our personal information as set out in the 'Other important information' section of the PDS and to its use for direct marketing (subject to my/our right to opt-out at any time).
- If this application form is signed under a power of attorney, then the attorney certifies that no notice of revocation of that power has been received.
- I/We have instructed Centuria Life Limited to make payments to my/our licensed financial adviser. I/We understand that these payments as detailed on the application form represent a deduction from the value of my investment in the bond and will be paid by Centuria Life Limited as agent of the recipient named in the adviser contact details section of the application form.
- I/We have no reason to suspect that our contribution lodged with this application or any subsequent contributions is or will be derived from or related to any money laundering, terrorism financing or other illegal activities.
- If the switch declaration has been agreed to and been selected in the adviser switch section, I/we agree to the adviser noted in the adviser contact details section to switch my/our investment on my/our behalf.
- I/We represent that all details contained in this application form, including if relevant my answers to the questions in section 'Target Market Determination' are complete and accurate.
- I/We undertake to provide any information that Centuria Life Limited reasonably requires for the purposes of its obligations under the Anti-Money Laundering legislation.
- I/We confirm the information provided in this Application Form is correct and will immediately inform Centuria Life Limited of any changes to the information supplied.
- I/We confirm that I will notify Centuria Life Limited of any changes to the information provided in the Tax Status Declaration form and will immediately provide a suitably updated Tax Status Declaration form to reflect the changes.

**Please note:** If you have received an electronic copy of the PDS, then Centuria Life Limited will provide you with a paper copy of the PDS, this form and any supplementary document on request. Applications received from companies must be signed in accordance with their Constitution.

## Direct debit declaration and authorisation

Where Direct Debit has been elected in the application, I/we request and authorise Centuria Life Limited ABN 79 087 649 054 AFSL 230 867 (CLL) through its own financial institution and registry provider, for funds to be debited from the nominated account for any amount CLL has deemed payable by the applicant. This debit charge will be made through the Bulk Electronic Clearing System (BECS) from the nominated account and the Applicant acknowledges this direct debit arrangement is subject to the terms and conditions of the Direct Debit Request Service Agreement outlined in the PDS. By signing and/or providing CLL with a valid instruction in respect to this Direct Debit Request, the applicant has understood and agreed to the terms and conditions governing the debit arrangements between the applicant and CLL as set out in this request and in the Direct Debit Request Service Agreement. The applicant authorises CLL to act in accordance with the applicant's instructions and acknowledges that these instructions supersede and have priority over all previous instructions in respect to the applicant's Investment. All bank account signatories must sign.

## Signatures

All authorised signatories to sign. If any to sign is ticked, this will authorise any signatory to operate the account in the future.

Any to sign; or All to sign

Signature A

Signature B

Full name

Full name

Date

/ /

Date

/ /

Director      Trustee

Director      Trustee

Company secretary

Company secretary

Other

Other

# Identification form 1: individuals, joint, sole trader

## Guide to completing this identification form:

- Complete the form in pen using block letters and mark appropriate answers with a cross X or number.
- Any queries please contact the Centuria Investor Services team on **1300 50 50 50**.

### Investor 1 (personal details)

Title

Mr Ms Mrs Dr Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

*Postal address  
(if different to  
residential address).*

Postal address

Suburb

State

Postcode

Country

*Complete if you are  
a sole trader.*

Full business name

ABN

Business address (not a PO box)

Suburb

State

Postcode

Country

### Investor 2 (personal details)

Title

Mr Ms Mrs Dr Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

*Postal address  
(if different to  
residential address).*

Postal address

Suburb

State

Postcode

Country

# Identification form 1: individuals, joint, sole trader

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## Required identification documents

(Minimum age for joint bond owners is 10 years. Where a bond owner is below 16 years of age, we require the identification documents of the parent or Guardian who completed Section 4, above).

**Note:** Certified copies of identification can be mailed, scanned or faxed. If you complete the online application these certified documents are not required.

A certified copy of current drivers licence or passport (an Australian passport that has expired within the preceding two years is acceptable); **or**

A certified copy of birth certificate **and** a tax assessment (less than 12 months old), council rates notice or utilities provider account (less than three months old).

For other acceptable forms of identification, please call our **Investor Services Team on 1300 50 50 50**.

### IMPORTANT:

This identification form is now complete. Please proceed to the **tax status declaration form**.

### Certification guidelines:

- Documents must be certified by an eligible certifier.
- Documents must be either certified on all pages or certified on the front page with a clear reference to the number of subsequent pages that are included.
- All documents should be certified within 12 months of when received by Centuria for processing.

### The below must be noted for certification to be accepted:

*I certify that this is a true copy of the original document.*

*Signature of Certifier*

*Name of Certifier*

*Qualification/occupation which makes the person certifying eligible (e.g. JP, Pharmacist)*

*Date of certification*

# Identification form 2: Australian companies

## Guide to completing this identification form:

- Complete the form in pen using BLOCK LETTERS and mark appropriate answers with a cross X or number.
- Any queries please contact the Centuria Investor Services team on **1300 50 50 50**.

## 1. Australian company details

### 1.1. General information

Full name as registered by ASIC/account designation

ACN/ABN

TFN

Registered office address (not a PO box)

Suburb

State

Postcode

Country

Principal place of business (if different from registered office) (PO box is NOT acceptable)

Suburb

State

Postcode

Country

### 1.2. Regulatory/listing details

*Select any categories which apply to the company and provide the information requested.*

Regulated company (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence details

Australian listed company

Name of market/exchange

Majority-owned subsidiary of an Australian listed company

Australian listed company name

### 1.3. Company type

*Select ONE of the following categories.*

Public

Proprietary

### 1.4. Directors

*Only needs to be completed for proprietary companies.*

How many directors are there?

Provide full name of each director below.

Full given name(s)

Surname

1.

2.

3.

4.

If there are more directors, provide details on a separate sheet

# Identification form 2: Australian companies

## 1.5. Beneficial Owners

*Please provide the details for the individual(s) who ultimately own 25% or more of the company. If there aren't any, provide the name(s) of the individual(s) who directly or indirectly 'control' the company.*

*This section is not required for companies that marked a box in Section 1.2.*

### Beneficial Owner 1

Title

Mr Ms Mrs Dr Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

### Beneficial Owner 2

Title

Mr Ms Mrs Dr Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

### Beneficial Owner 3

Title

Mr Ms Mrs Dr Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

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**1.5. Beneficial Owners****Beneficial Owner 4**

Title

Mr Ms Mrs Dr Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

---

**1.6. Acceptable company ID documents**

A certified copy of the driver's licence OR passport for each Beneficial Owner identified in Section 1.5; and

A copy of the full ASIC extract of the company (the ASIC extract is used to verify that the Beneficial Owners listed on the form are correct).

**Note:** Certified copies of identification can be mailed, scanned or faxed.

**IMPORTANT:** This identification form is now complete. Please proceed to the **tax status declaration form**.

# Identification form 3: Trusts

## Guide to completing this identification form:

- Section 1 must be completed for all trusts; **AND** select and complete **ONE** of the following sections for the trustee/s:
  - Section 2 (applicable sections) – if selected trustee is an individual.
  - Section 3 (applicable sections) – if selected trustee is an Australian company.
- Complete the form in pen using BLOCK LETTERS and mark appropriate answers with a cross X or number.
- Any queries please contact the Centuria Investor Services team on **1300 50 50 50**.

## 1. Trust details

General information.

Full name of trust

Full business name (if any)

Country where trust established

### 1.1. Unregulated trusts

Type of unregulated trust (select only ONE of the following trust types and provide the information requested).

Type of unregulated trust

Family trust

Unit trust

Testamentary trust

Other, please specify

**Beneficial Owner(s) of the trust** (Individual(s) that directly or indirectly control the trust e.g. appointer).  
If there are more beneficial owners, please provide details on a separate sheet.

Title

Mr

Ms

Mrs

Dr

Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

**Settlor name** (not required if the settlor is deceased or the material asset contribution to the trust by the settlor at the time the trust was established was less than \$10,000).

Title

Mr

Ms

Mrs

Dr

Miss

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

**1.1. Unregulated trusts**

**Beneficiary details**

If the trust identifies the beneficiaries by reference to membership of a class, please provide details of the class (e.g. family members of named person).

How many beneficiaries are there?

**Provide full name of each beneficiary below:**

Full given name(s)	Surname
1.	
2.	
3.	
4.	
5.	

If there are more beneficiaries, provide details on a separate sheet.

> Go to **Type of trustee**.

**2. Type of trustees**

*Type of trustee to the trust (select only ONE of the following trustee types and provide the information requested).*

Type of trustee	Individual(s)	Company
	> Go to <b>Section 2.1</b> .	> Go to <b>Section 3</b> .

**2.1. Trustee details**

How many trustees are there?

**Trustee 1**

Surname Date of birth  
/ /

First name(s)

Residential address (not a PO box)

Suburb State Postcode Country

**Trustee 2**

Surname Date of birth  
/ /

First name(s)

Residential address (not a PO box)

Suburb State Postcode Country

# Identification form 3: Trusts

## 2.1. Trustee details

**Trustee 3**

Surname

Date of birth

/ /

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

- Unregulated trust with a company as trustee - go to **Section 3**.
- Unregulated trust with individual trustee(s) - this identification form is now complete. Please proceed to the **verification requirements** in Section 4 and complete the **tax status declaration form**.

## 3. Company details (to be completed if trustee is a company)

### 3.1. General information

Full registered name

ACN or other registration number

Registered office address (not a PO box)

Suburb

State

Postcode

Country

Principal place of business (if any) (not a PO box)

Suburb

State

Postcode

Country

### 3.2. Regulatory/listing details

*Select any categories which apply to the company and provide the information requested.*

Regulated company (licensed by an Australian Commonwealth, State or Territory statutory regulator)

Regulator name

Licence details

Australian listed company

Name of market/exchange

Majority owned subsidiary of an Australian listed company

Australian listed company name

---

### 3.3. Company type

Select ONE of the following categories.

Public

Proprietary

---

### 3.4. Directors

Only needs to be completed for proprietary companies.

How many directors are there?

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

Full given name(s)

Surname

- 1.
- 2.
- 3.
- 4.
- 5.

If there are more directors, provide details on a separate sheet.

---

### 3.5. Company details

Please provide the details for the individual(s) who ultimately own 25% or more of the company. If there aren't any, provide the names of the individual(s) who directly or indirectly 'control' the company. This section is not required for companies that marked a box in Section 3.2.

**Beneficial Owner 1**

Surname

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

**Beneficial Owner 2**

Surname

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

# Identification form 3: Trusts

## 3.5. Company details

### Beneficial Owner 3

Surname

First name(s)

Residential address (not a PO box)

Suburb

State

Postcode

Country

## 3.6. Acceptable company ID Documents

Attach a certified copy of:

The driver's licence OR passport for each beneficial owner completed in Section 3.5.  
See Section 4.2 for acceptable alternative ID options for individual trustees.

A copy of the full ASIC extract of the company (the ASIC extract is used to verify that the Beneficial Owners listed on the form are correct).

Proceed to verification requirements in **Section 4**.

## 4. Verification requirements

### 4.1. Verification of the trust - unregulated trusts only

**In order to verify the trust the following is required.**

A certified copy of the trust deed **or**

**if not reasonably available** a certified extract of the trust deed. Extracts of trust deeds must include the name of the trust, trustees, beneficiaries, settlor/s and appointers (where applicable).

Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

### 4.2. Verification of trust beneficial owners and individual trustees

A certified copy of acceptable identification documents are required for ALL of the following:

**ALL** beneficial owner(s) listed in Section 1.1; **and**

**ONE** individual trustee listed in Section 2.1 (if applicable)

*Complete Section 4.2.1 (or if the individual does not own a document from Section 4.2.1, then complete either Section 4.2.2 or 4.2.3).*

#### Section 4.2.1. Acceptable primary ID documents

Select ONE option from this section only

Australian State/Territory driver's licence containing a photograph of the person;

Australian passport (a passport that has expired within the preceding two years is acceptable);

Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person; or

Foreign passport or similar travel document containing a photograph and the signature of the person.\*

\*Documents written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

Please complete the **tax status declaration form**.

**Certification guidelines:**

- Documents must be certified by an eligible certifier.
- Documents must be either certified on all pages or certified on the front page with a clear reference to the number of subsequent pages that are included.
- All documents should be certified within 12 months of when received by Centuria for processing.

**The below must be noted for certification to be accepted:**

*I certify that this is a true copy of the original document.*

*Signature of Certifier*

*Name of Certifier*

*Qualification/occupation which makes the person certifying eligible (e.g. JP, Pharmacist)*

*Date of certification*

**4.2. Verification of trust beneficial owners and individual trustees**

*Complete Section 4.2.1 (or if the individual does not own a document from Section 4.2.1, then complete either Section 4.2.2 or 4.2.3).*

**Section 4.2.2. Acceptable secondary ID documents – should only be completed if the individual does not own a document from Section 4.2.1**

Select **ONE** option from this section

Australian birth certificate

Pension card issued by Centrelink

Australian citizenship certificate

Health card issued by Centrelink

**AND ONE** option from this section

A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.

A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN on the certified copy of this document.

A document issued by a local government body or utilities provider within the preceding three months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).

**Section 4.2.3. Acceptable foreign ID documents\* – should only be completed if the individual does not own a document from Section 4.2.1**

**ONE** document from this section must be presented

Foreign driver's licence that contains a photograph of the person in whose name it is issued and the individual's date of birth; or

National ID card issued by a foreign government containing a photograph and a signature of the person in whose name the card was issued.

**Important:** Please attach a certified, legible copy of the original ID documentation used to verify the individual trustee (and any required translation).

\*Documents written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.

Please complete the **tax status declaration form**.

# Tax status declaration form

USE A **BLACK PEN**. PRINT IN CAPITAL LETTERS INSIDE THE BOXES

This form is to be used to record your Tax Residency in accordance with the Foreign Tax Compliance Act (FATCA) and the Common Reporting Standards (CRS). Please see Other Information for further details and definitions.

**TAX INFORMATION**

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.

**NOT REQUIRED FOR SELF MANAGED SUPERANNUATION FUND INVESTORS**

**Section 1 Individual(s) or Sole Trader only (all other Investor types proceed to Section 2)**

*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.*

**TAX INFORMATION**

**INDIVIDUAL 1**

Please answer both tax residency questions

<b>Are you a tax resident of Australia?</b>	Yes	No	If you are not a tax resident of another country proceed to Section 3 Signatures
Are you a tax resident of another country?	Yes	No	

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

If a TIN is not provided, please list one of the three reasons specified (A,B or C) for not providing a TIN.

**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 a Social Security 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	TIN	If no TIN, list reason A, B or C
2. Country	TIN	If no TIN, list reason A, B or C
3. Country	TIN	If no TIN, list reason A, B or C

If there are more countries, provide details on a separate sheet.

**Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed.

**INDIVIDUAL 2**

<b>Are you a tax resident of Australia?</b>	Yes	No	If you are not a tax resident of another country proceed to Section 3 Signatures
Are you a tax resident of another country?	Yes	No	

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

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

**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 a Social Security 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	TIN	If no TIN, list reason A, B or C
2. Country	TIN	If no TIN, list reason A, B or C
3. Country	TIN	If no TIN, list reason A, B or C

If there are more countries, provide details on a separate sheet.

**Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed.

**INDIVIDUAL 3**

**Are you a tax resident of Australia?** Yes No If you are not a tax resident of another country proceed to Section 3 Signatures  
 Are you a tax resident of another country? Yes No

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

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

**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 a Social Security 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	TIN	If no TIN, list reason A, B or C
2. Country	TIN	If no TIN, list reason A, B or C
3. Country	TIN	If no TIN, list reason A, B or C

If there are more countries, provide details on a separate sheet.

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

**Section 2 Companies and non-superannuation trusts**

Name of Company/Non-Superannuation Trust

If you are a company, please provide the country of incorporation

Provide the ABN, ARBN or ACN for the Company

**Are you a financial institution?** Yes No

If Yes, provide the company's Global Intermediary Identification Number (GIIN), if applicable

**If the company is a financial institution but does not have a GIIN, provide its FATCA status (select one of the following statuses)**

Deemed compliant financial institution	Non reporting IGA financial institution	Exempt Beneficial Owner
Excepted financial institution	Non participating financial institution	Other (describe the FATCA status in the box provided)

**Are you a financial institution that is not an Investment Entity managed by another financial institution which is not a resident of a participating jurisdiction?** Yes No

**Are you a public company listed on a stock exchange?** Yes No *If Yes, proceed to Section 3 Signatures*

**Are you an active non financial entity?** Yes No *If Yes, proceed to Section 3 Signatures*

# Tax status declaration form

## Section 2 Companies and non-superannuation trusts (continued)

<b>Are you a Passive Non Financial Entity (NFE)?</b>	Yes	No	<i>If No, proceed to Section 3 Signatures</i>
<b>If you are a Passive NFE, do you have any Controlling Persons who are resident of another country for tax purposes?</b>	Yes	No	<i>If you do not have any Controlling Persons who are a tax resident of another country, proceed to Section 3 Signatures</i>

### Name of Controlling Person 1

Date	Country of birth	Country of citizenship
------	------------------	------------------------

**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 a Social Security 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	TIN	If no TIN, list reason A, B or C
2. Country	TIN	If no TIN, list reason A, B or C
3. Country	TIN	If no TIN, list reason A, B or C

*If there are more countries, provide details on a separate sheet.*

### Name of Controlling Person 2

Date	Country of birth	Country of citizenship
------	------------------	------------------------

**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 a Social Security 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	TIN	If no TIN, list reason A, B or C
2. Country	TIN	If no TIN, list reason A, B or C
3. Country	TIN	If no TIN, list reason A, B or C

*If there are more countries, provide details on a separate sheet.*

**Name of Controlling Person 3**

Date	Country of birth	Country of citizenship
------	------------------	------------------------

**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 a Social Security 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	TIN	If no TIN, list reason A, B or C
2. Country	TIN	If no TIN, list reason A, B or C
3. Country	TIN	If no TIN, list reason A, B or C

*If there are more countries, provide details on a separate sheet.*

**Section 3 Signatures**

I/We acknowledge that the statements made in this form are, to the best of my knowledge and belief, correct and complete.  
 I/We acknowledge that the information contained in this form may be reported to the Australian Tax Office and exchanged with tax authorities of another jurisdiction or jurisdictions in which I may be a tax resident where those jurisdictions have entered into Agreements to exchange Financial Account Information.  
 I/We undertake to advise you within 30 days of any change in circumstances which affects the tax residency status of the account holder identified in the form or causes the information contained herein to become incorrect or incomplete, and to provide you with a suitably updated self certification and Declaration within 30 days of such change in circumstances.

**SIGNATURE(S) OF INVESTORS (THIS MUST BE COMPLETED BY ALL INVESTORS)**

- Individual:** This form is to be signed by investors.
- Joint:** Where the holding is in more than one name, all the investors must sign.
- Power of Attorney:** To sign as Power of Attorney, you must have already lodged it with the registry. Alternatively, attach a certified copy if the Power of Attorney with this form.
- Companies:** Two Directors, Director and Company Secretary, or Sole Director and Sole Company Secretary can sign. Please indicate the office held by signing in the appropriate space.
- SMSF and Trusts:** All individual trustees to sign or if a corporate trustee then sign as for a company entity.

Signature C

Full name

Date

Signature D

Full name

Date

If a company officer or trustee you must specify your title

Director      Sole Director and Company Secretary  
 Trustee    Other

Director      Company Secretary  
 Trustee    Other

# Tax status declaration form

**Section 3**

**Signatures**

Signature C	Signature D
Full name	Full name
Date	Date
If a company officer or trustee you must specify your title	
<input type="checkbox"/> Director <input type="checkbox"/> Sole Director and Company Secretary	<input type="checkbox"/> Director <input type="checkbox"/> Company Secretary
<input type="checkbox"/> Trustee <input type="checkbox"/> Other	<input type="checkbox"/> Trustee <input type="checkbox"/> Other

## Other information - form definitions

<b>Active NFE</b>	<p>An NFE that meets any one of the following definitions:</p> <ul style="list-style-type: none"> <li>• Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income.</li> <li>• Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.</li> <li>• A Charity.</li> </ul>
<b>Central Bank</b>	<p>An institution that is by law or government sanction the principal authority, other than the government of the jurisdiction itself, issuing instruments intended to circulate as currency. Such an institution may include an instrumentality that is separate from the government of the jurisdiction, whether or not owned in whole or in part by the jurisdiction.</p>
<b>Charity</b>	<p>An NFE that meets all of the following criteria:</p> <ol style="list-style-type: none"> <li>1. it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare</li> <li>2. it is exempt from income tax in its jurisdiction of residence</li> <li>3. it has no shareholders or members who have a proprietary or beneficial interest in its income or assets</li> <li>4. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or noncharitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased</li> <li>5. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.</li> </ol>
<b>Controlling Persons</b>	<p>A controlling person is any natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries and any other natural person(s) exercising ultimate effective control over the trust and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.</p>

<b>Deemed compliant Financial Institution</b>	<p>This includes:</p> <ul style="list-style-type: none"> <li>• Retirement savings accounts, employee share schemes, first home saver accounts, funeral policies, scholarship plans, certain life insurance policies and contracts, accounts held by an estate (eg deceased estates) and escrow accounts; and</li> <li>• Financial Institutions that only have an Australian client base, Local Banks and Financial Institutions that only have low-value accounts, qualified credit card issuers, Sponsored Investment Entities and certain Investment Managers and investment vehicles owned by other Deemed Compliant FFIs.</li> </ul> <p>Please find a full definition of Deemed Compliant financial institution in paragraph III of Annex II of the Intergovernmental Agreement between the United States of America and Australia.</p>
<b>Entity</b>	A legal person (which, for the avoidance of doubt, excludes a natural person) or a legal arrangement such as a trust.
<b>Excepted Financial Institution</b>	A Foreign financial institution that can rely on an exemption under the FATCA regulations.
<b>Exempt Beneficial Owner</b>	<p>This includes:</p> <ul style="list-style-type: none"> <li>• Superannuation funds: any plan scheme, fund, trust or other arrangement operated principally to administer or provide pension or retirement, superannuation or death benefits;</li> <li>• Any entity that is wholly owned by a superannuation fund or conducts investment activities, accepts deposits from, or holds financial assets exclusively for or on behalf of, one or more superannuation funds;</li> <li>• Government entities: Australian Government entities (including Federal, State, Territory or local government), any wholly owned agency of Australia and certain entities listed in Annex II of the IGA eg The Clean Energy Finance Corporation, the Future Fund, the New South Wales Treasury Corporation etc);</li> <li>• Any international organisation or wholly owned agency of an international organisation, including any intergovernmental organisation (including a supranational organisation the income of which does not inure to the benefit of private persons and that has signed an intergovernmental agreement with the Government of Australia); and</li> <li>• A financial institution that is an Investment Entity that is wholly owned by a superannuation fund, government entity or international organisation.</li> </ul>
<b>FATCA Status</b>	<p>Where a financial institution does not have a GIIN they will need to provide their FATCA status. This status can ONLY be one of the following:</p> <ol style="list-style-type: none"> <li>1. Non reporting IGA FI (listed in Annex II of an IGA)</li> <li>2. Deemed compliant FI</li> <li>3. Excepted FI</li> <li>4. Exempt beneficial owner</li> <li>5. Non participating FI</li> <li>6. GIIN applied for but not yet issued.</li> <li>7. US financial institution E</li> </ol>
<b>Financial Institution (FI)</b>	<p>A financial institution is an entity (e.g. company, partnership or trust) that engages in one of the following:</p> <ul style="list-style-type: none"> <li>• accepts deposits in the ordinary course of a banking or similar business (depository institution);</li> <li>• holds as a substantial portion of its business (equals or exceeds 20 percent of the entity's gross income) financial assets or the account of others (custodial institution);</li> <li>• is an investment entity including entities that trade in financial assets or that are investing, administering, managing funds, money, or certain financial assets on behalf of other persons;</li> <li>• is an insurance company; or</li> <li>• is an entity that is a holding company or treasury centre that is a part of a group that includes one of the above.</li> </ul>
<b>Global Intermediary Identification Number (GIIN)</b>	A Global Intermediary Identification Number (GIIN) is a unique ID number that non-US financial institutions receive from the IRS when they register as a financial institution for FATCA.
<b>Intergovernmental Agreement</b>	The Intergovernmental Agreement between the United States of America and Australia and information about it can be found by searching "FATCA" on the Australian Treasury website: <a href="http://treasury.gov.au">http://treasury.gov.au</a>

# Tax status declaration form

<b>Managed by another Financial Institution</b>	<p>An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the following activities or operations: trading in money market instruments; foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading.</p> <p>An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part).</p> <p>Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity that performs the above trading functions, if any of the managing Entities is such an Entity.</p>
<b>Non-Financial Entity (NFE)</b>	An NFE means any entity that is not a financial institution. An NFE may be an Active NFE or a Passive NFE.
<b>Non Participating Financial Institution</b>	Term is defined in relevant US Treasury Regulations, but does not include an Australian financial institution or other Partner Jurisdiction financial institution other than a financial institution treated as a Nonparticipating financial institution pursuant to subparagraph 2(b) of Article 5 of the Intergovernmental Agreement between the United States of America and Australia.
<b>Non Reporting Australian Financial Institution</b>	Any Australian Financial Institution, or other Entity resident in Australia, that is described in Annex II as a Non-Reporting Australian financial institution or that otherwise qualifies as a deemed-compliant FFI or any exempt beneficial owner under relevant US Treasury Regulations.
<b>Passive NFE</b>	A passive NFE means any NFE that is not an Active NFE.
<b>Public listed company</b>	<p>The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market.</p> <p><b>Regularly Traded</b> – Meaningful volume of trading with respect to the stock on an on-going basis.</p> <p><b>Established Securities Market</b> – An exchange that is officially recognised and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.</p> <p><b>Related Entity</b> – An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.</p>
<b>Settlor</b>	Settlers are natural or legal persons who transfer ownership of their assets to trustees by means of a trust deed or similar arrangement.
<b>Tax Identification Number (TIN)</b>	A TIN is the number assigned by each country for the purpose of administering tax laws. For example, a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified for not providing a TIN.
<b>Tax Residency</b>	<p>Tax Residency rules differ by country. Whether the individual is a 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 entities, these rules are often based on where the entity is established/incorporated, carried on business or is managed/controlled.</p> <p>For the US, for individuals, tax residency can be a result of citizenship or residency.</p> <p>If you are unsure of your tax residency, there is helpful guide on the ATO website <a href="https://ato.gov.au/individuals/international-tax-for-individuals/indetail/foreign-residents-reporting/foreign-tax-resident-reporting/">https://ato.gov.au/individuals/international-tax-for-individuals/indetail/foreign-residents-reporting/foreign-tax-resident-reporting/</a>. [^] Alternatively you should contact your tax adviser.</p>
<b>Financial Institution (FI)</b>	<p>A financial institution is an entity (e.g. company, partnership or trust) that engages in one of the following:</p> <ul style="list-style-type: none"> <li>• accepts deposits in the ordinary course of a banking or similar business (depository institution);</li> <li>• holds as a substantial portion of its business (equals or exceeds 20 percent of the entity's gross income) financial assets or the account of others (custodial institution);</li> <li>• is an investment entity including entities that trade in financial assets or that are investing, administering, managing funds, money, or certain financial assets on behalf of other persons;</li> <li>• is an insurance company; or</li> <li>• is an entity that is a holding company or treasury centre that is a part of a group that includes one of the above.</li> </ul>
<b>Global Intermediary Identification Number (GIIN)</b>	A Global Intermediary Identification Number (GIIN) is a unique ID number that non-US financial institutions receive from the IRS when they register as a financial institution for FATCA.

<b>Intergovernmental Agreement</b>	The Intergovernmental Agreement between the United States of America and Australia and information about it can be found by searching "FATCA" on the Australian Treasury website: <a href="http://treasury.gov.au">http://treasury.gov.au</a>
<b>Managed by another Financial Institution</b>	<p>An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the following activities or operations: trading in money market instruments; foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading.</p> <p>An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part).</p> <p>Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity that performs the above trading functions, if any of the managing Entities is such an Entity.</p>
<b>Non-Financial Entity (NFE)</b>	An NFE means any entity that is not a financial institution. An NFE may be an Active NFE or a Passive NFE.
<b>Non Participating Financial Institution</b>	Term is defined in relevant US Treasury Regulations, but does not include an Australian financial institution or other Partner Jurisdiction financial institution other than a financial institution treated as a Nonparticipating financial institution pursuant to subparagraph 2(b) of Article 5 of the Intergovernmental Agreement between the United States of America and Australia.
<b>Non Reporting Australian Financial Institution</b>	Any Australian Financial Institution, or other Entity resident in Australia, that is described in Annex II as a Non-Reporting Australian financial institution or that otherwise qualifies as a deemed-compliant FFI or any exempt beneficial owner under relevant US Treasury Regulations.
<b>Passive NFE</b>	A passive NFE means any NFE that is not an Active NFE.
<b>Public listed company</b>	<p>The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market.</p> <p><b>Regularly Traded</b> – Meaningful volume of trading with respect to the stock on an on-going basis.</p> <p><b>Established Securities Market</b> – An exchange that is officially recognised and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.</p> <p><b>Related Entity</b> – An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.</p>
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# Directory

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