



Section 1 Customer information

1.1 Type of Entity (tick one)

- Company
Trust

1.2 Application Number

[Application Number input field]

1.3 Full Name of the Company/Trust

[Full Name input field]

1.4 ABN/ACN

[ABN/ACN input field]

Section 2 FATCA Information for Companies

2.1 Is the Company organised or incorporated in the U.S.?

- Yes

What is the Company's Employer Identification Number (EIN)

[EIN input field]

(Go to Question 2.3)

- No (Go to Question 2.2)

2.2 Is the Company a financial institution? (Refer to DEFINITIONS section at the end of this document)

- Yes

What is the Company's Global Intermediary Identification Number?

[GIIN input field]

OR

Any other FATCA Status of the Company (if any)

[Other FATCA Status input field]

(Go to Question 2.3)

- No (Go to Question 2.3)

2.3 Are any of the directors or beneficial owners (who own more than 25% controlling shares) of the company U.S. citizens or residents of the U.S. for tax purposes?

- Yes (Complete details of such directors/beneficial owners in the below table)

Name of Director

[Director Name input fields]

Tax Identification Number

[Director TIN input fields]

Name of Beneficial Owner

[Beneficial Owner Name input fields]

Tax Identification Number

[Beneficial Owner TIN input fields]

(Go to Question 2.4)

No (End of Section 2)

2.4 (Complete Question 2.4 only if the company is a non-U.S. incorporated, non-financial company, but has any director or beneficial owner of the company who are U.S. citizens or residents of U.S. for tax purposes).

In the preceding calendar year, did the Company either:

a) earn more than 50% of its gross income from investment sources deriving distributions, dividends, rental, interest or other investment income

OR

b) hold more than 50% of its assets in shares, properties, bonds or similar investment assets?

Yes No

Section 3 FATCA Information for Trusts

3.1 Is the Trust a compliant super-fund? (This includes self-managed super funds, employer sponsored funds, industry funds and public funds)

Yes (Go to Question 3.4)

No (Go to Question 3.2)

3.2 Is the Trust organised or incorporated in the U.S.?

Yes

What is the Trust's Employer Identification Number (EIN)

(Go to Question 3.4)

No (Go to Question 3.3)

3.3 Is the Trust a financial institution? (Refer to DEFINITIONS section at the end of this document).

Yes

What is the Trust's Global Intermediary Identification Number?

OR

Any other FATCA Status of the Trust (if any)

(Go to Question 3.4)

No (Go to Question 3.4)

3.4 Are any of the trustees, beneficiaries, appointers or settlers of the trust U.S. citizens or residents of the U.S for Tax purposes?

Yes (Complete details of such trustees, beneficiaries, appointers or settlers in the below table).

Name of Individual Trustee

Tax Identification Number

Name of Individual Beneficiary

Tax Identification Number

Name of Appointer

Tax Identification Number

Name of Settler

Tax Identification Number

Note: If the Trustee/Beneficiary is a Company, please complete Section 2 for the company. (Go to Question 3.5)

No (End of Section 3)

3.5 (Complete Question 3.5 only if the trust is a non-U.S. incorporated, non-financial, non-compliant super fund trust, but has any trustee or beneficiary of the trust who are U.S. citizens or residents of U.S. for tax purposes).

In the preceding calendar year, did the Trust either:

a) earn more than 50% of its gross income from investment sources deriving distributions, dividends, rental, interest or other investment income

OR

b) hold more than 50% of its assets in shares, properties, bonds or similar investment assets?

Yes No

Definitions

Financial Institution

As defined by FATCA, a Financial Institution may be any of the following:

- Custodial Institution – that conducts a substantial business of holding financial assets for others;
- Depository Institution – a bank or similar business that accepts deposits in the ordinary course of a business;
- Investment Entity – that conducts (or is managed by an entity that conducts)
 - a) money market trading,
 - b) portfolio management, or
 - c) investing, administering or managing funds or money, as a business on behalf of a customer. Examples include responsible entities for managed funds, professional fund managers;
- Specified Insurance Company – Issues a cash value insurance contract or annuity; but excludes small passive investment vehicles, such as family trust and personal investment companies, that are not managed by professional trustees or fund managers.