FUTURITY

FATCA/CRS Self-Certification Form

IMPORTANT INFORMATION

Complete this form only if directed to do so by the Futurity Investment Group Limited (Futurity) Application Form or if required by Futurity. Information collected may be reported to the Australian Taxation Office (ATO) and exchanged with overseas tax authorities under the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS).

This information is general in nature and does not consider your personal circumstances. Futurity is not authorised to provide tax advice. You should seek independent professional advice for your specific personal circumstances.

Before you start

- Use black or blue pen
- Use **BLOCK LETTERS** throughout
- Tick boxes clearly with an X
- Complete ALL applicable sections before signing
- If a section does not apply, write N/A
- Do NOT use a PO Box as a residential address
- Attach additional signed pages if more space is needed

Completing your form

Section 1 ▶ **Applicant type**
All applicants

Sections 2 to 4 ▶ **Individual details and declaration**
Individuals only

Sections 5 to 9 ▶ **Entity details and declaration**
Entities only

Section 1 – Self-certification type

Please indicate the self-certification type (please tick):

☐ Individual ▶ **If self-certification is for an individual — complete Sections 2 to 4.**

☐ Entity ▶ **If self-certification is for an entity — complete Sections 5 to 9.**

Section 2 – Individual self-certification

This section is used to collect an individual's tax status where this information has not been previously provided, where the individual has been identified as a potential taxpayer in a country other than Australia, or where updated tax residency information is required. A separate form must be completed for each individual. Please note that if the requested information is not provided, you may be treated as a non-Australian taxpayer.

Bond number: (if available)

Title: (please tick) ☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other: (please specify)

First name: Middle name:

Surname:

Phone:

Email:

Section 3 – Individual classification

Complete Sections 3A and 3B below. Section 3A identifies whether you are a Specified U.S. Person (as defined by the Australia/U.S. Intergovernmental Agreement to Improve International Tax Compliance and to Implement FATCA) for FATCA purposes. Section 3B identifies your tax residency for CRS purposes. If you are unsure of your status, you should seek independent professional advice for your specific personal circumstances.

3A. Individual — FATCA status

Are you a Specified U.S. Person for FATCA purposes? ☐ Yes ☐ No

- **If Yes – please provide your U.S. Taxpayer Identification Number (TIN) below.**
- **If No – proceed to Section 3B.**

U.S. TIN:

3B. Individual — CRS tax residency

List every country where you are a tax resident and provide your TIN for each.
If you do not have a TIN, enter the reason code (A, B or C) in the last column. See reason codes below.

Country of tax residence	TIN or equivalent	If no TIN – reason (A, B or C)
1.		
2.		
3.		

Reason A – The country does not issue TINs to its tax residents.
Reason B – You have not been issued a TIN. Please explain why in the space provided below.
Reason C – The country does not require the TIN to be disclosed.

Reason B explanation – why you have not been issued a TIN

If you are a tax resident of more than 3 countries, attach a signed and dated additional page.

- **Proceed to Section 4.**

Section 4 – Declaration and signature

I/We acknowledge, declare and certify that:

- the information provided in this form is true, correct and complete;
- I/we have provided complete tax residency details, including all countries of tax residence and any applicable TINs or equivalent numbers;
- I/we undertake to notify Futurity within 30 days if any information in this form changes or becomes incorrect, incomplete or misleading;
- I/we have read and understood Futurity's Privacy Policy;
- Futurity may collect, use, store and disclose my/our personal information for the purposes of complying with obligations under FATCA and CRS, including disclosure to relevant tax authorities and for identity verification and record accuracy.

I/we am/are giving instructions under authority of a power of attorney, I/we declare that:

- at the relevant time, I/we am/are acting in that capacity and that the power of attorney is current and valid; and
- I/we have not received notice of revocation of that power and agree to provide a certified copy of the power of attorney to Futurity.

Signature:

Print name:

Date: / /

If signing under a power of attorney, a certified copy of the power of attorney document must be attached to this form. If the certified copy has not previously been registered with Futurity, appropriate proof of identification will also be required under Anti-Money Laundering and Counter-Terrorism Financing Laws.

-- END OF INDIVIDUAL CERTIFICATION --

Section 5 – Entity details

Complete this section if you are completing on behalf of a company, trust, partnership or corporate trustee. The authorised representative (e.g. director or trustee) completes and signs this form on behalf of the entity.

Bond number: (if available)

Full entity name:

Contact person: Phone:

Email:

Section 6 – Entity classification

Complete Sections 6A and 6B below. Section 6A identifies whether the entity has a U.S. connection for FATCA purposes. Section 6B identifies the entity's classification for CRS. If unsure of the classification, you should seek independent professional advice for your specific circumstances.

6A. Entity — FATCA status

Select ONE of the following that best describes the entity's status under FATCA.

Please tick **ONE** of the following:

☐ **U.S. Entity**

This entity is incorporated, organised or established in the United States, or is otherwise treated as a U.S. person for FATCA purposes.

Please provide the entity's U.S. Taxpayer Identification Number (TIN) below.

U.S. TIN:

Is the entity exempt from U.S. tax? ☐ Yes ☐ No

☐ **Financial Institution**

Please provide your Global Intermediary Identification Number (GIIN) below, if applicable.

GIIN:

If the entity does not have a GIIN, please select your FATCA Foreign Financial Institution (FFI) status classification from the following:

- ☐ Deemed compliant financial institution
- ☐ Excepted financial institution
- ☐ Exempt beneficial owner
- ☐ Other FATCA status (please specify):
- ☐ Non-reporting IGA financial institution
- ☐ Non-participating financial institution
- ☐ U.S. financial institution

☐ **Passive Non-Financial Foreign Entity (Passive NFFE)**

This entity does not carry on an active business and derives most of its income from dividends, interest, rent, royalties or other passive sources.

Important: If the entity is a Passive NFFE, each controlling person (directors, trustees, settlors, appointers, beneficial owners) who is a foreign tax resident or Specified U.S. person must complete a separate individual FATCA/CRS Self-Certification Form.

☐ **Active Non-Financial Foreign Entity (Active NFFE)**

This entity carries on an active business (less than 50% passive income and assets), or is a government entity, international organisation, central bank, listed company or Australian registered charity.

Continued on next page ▶

6B. Entity — CRS tax residency

Select ONE of the following that best describes the entity's status under CRS. All entities -- including U.S. entities identified in Section 6A – must complete Section 6B.

Please tick **ONE** of the following:

- ☐ **Government Entity, International Organisation or Central Bank** ▶ **If selected – proceed to Section 9.**
- ☐ **Listed Public Company or Majority Owned Subsidiary of a Listed Public Company** ▶ **If selected – provide the required information and proceed to Section 9.**

  Please provide the name of the stock exchange and company/security code

- ☐ **Financial Institution** (bank, credit union, investment fund, custodian, investment manager or specified insurance company) ▶ **If selected – proceed to Section 7.**
- ☐ **Active Non-Financial Entity (Active NFE)** -- less than 50% of gross income is passive AND less than 50% of assets produce passive income ▶ **If selected – proceed to Section 8.**
- ☐ **Passive Non-Financial Entity (Passive NFE)** -- does not meet the Active NFE criteria above ▶ **If selected – proceed to Section 8.**

  Important: If the entity is a Passive NFE, each controlling person (directors, trustees, settlors, appointors, beneficial owners) who is a foreign tax resident or Specified U.S. person must complete a separate individual FATCA/CRS Self-Certification form.

Section 7 – Financial institution details

You only need to complete this section if you selected 'Financial Institution' in Section 6B.

Please select the **ONE** classification below that best describes the entity under CRS:

- ☐ **Financial Institution — Investment Entity**

  Is this Investment Entity located in a non-participating CRS jurisdiction and managed by another financial institution?

  - ☐ Yes ▶ **If Yes – proceed to Section 8.**
  - ☐ No ▶ **If No – proceed to Section 9.**

  Important: Each controlling person (directors, trustees, settlors, appointors, beneficial owners) who is a foreign tax resident or Specified U.S. Person must also complete a separate individual FATCA/CRS Self-Certification Form.

OR

- ☐ **Other Financial Institution**

  Specify entity type below:

  - ☐ Depository institution
  - ☐ Custodial institution
  - ☐ Specified insurance company
  - ☐ Non-reporting financial institution

▶ **Proceed to Section 9.**

Section 8 – Entity tax residency details

Complete Section 8 only when directed from Section 6B or Section 7.

List every country where the entity resides and provide the entity's Tax Identification Number (TIN) for each.
If the entity does not have a TIN, enter the reason code (A, B or C) in the last column. See reason codes below.

Country of tax residence	TIN or equivalent	If no TIN – reason (A, B or C)
1.		
2.		
3.		

Reason A – The country does not issue TINs to its tax residents.

Reason B – The entity has not been issued a TIN. Please explain why in the space provided below.

Reason C – The country does not require the TIN to be disclosed.

Reason B explanation – why the entity has not been issued a TIN

If the entity is a tax resident of more than 3 countries, attach a signed and dated additional page.

▶ **Proceed to Section 9.**

Section 9 – Entity declaration and signature

I/We declare and certify that:

- the information provided in this form is true, correct and complete;
- I/we have provided complete tax residency details for the entity, including all countries of tax residence and any applicable TINs or equivalent numbers;
- I/we undertake to notify Futurity within 30 days if any information in this form changes or becomes incorrect, incomplete or misleading;
- I/we have read and understood Futurity's Privacy Policy;
- all controlling persons (directors, trustees, settlors, beneficiaries, appointors, beneficial owners) of the entity have been disclosed in the Application Form. Where any such person is a foreign tax resident or Specified U.S. Person, the required FATCA/CRS Form has been, or will be, completed;
- I/we acknowledge that Futurity may collect, use, store and disclose my/our personal information for the purposes of complying with obligations under FATCA and CRS, including disclosure to relevant tax authorities, and for identity verification and record accuracy.

If I/we am/are giving instructions under authority of a power of attorney, I/we declare that:

- at the relevant time, I/we are acting in that capacity and that the power of attorney is current and valid; and
- I/we have not received notice of revocation of that power and agree to provide a certified copy of the power of attorney to Futurity.

Signature:		Signature:	
Print name:		Print name:	
Capacity:		Capacity:	
Date:	/ /	Date:	/ /

If signing under a power of attorney, a certified copy of the power of attorney document must be attached to this form.
If the certified copy has not previously been registered with Futurity, appropriate proof of identification will also be required under Anti-Money Laundering and Counter-Terrorism Financing Laws.

How to submit this form

By email:

investorcare@futurityinvest.com.au

By post:

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Melbourne VIC 3000

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