

CRS Self-Certification Form

This form must be completed and returned no later than **30 April 2018**

Account No./Investor No.

Account Name

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be a result of citizenship or residency.

Please complete the section below that corresponds to your 'investor type' as indicated on your initial Application Form, e.g. individual investor, company, trust/superannuation fund, etc.

Section 1 – Fill out if you are a(n) Individual/Joint Investor/Sole Trader/ Individual Trustee

Investor A

Please answer **both** tax residency questions:

Are you a tax resident of Australia?

Yes

No

Are you a tax resident of another Country?

Yes

No

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

If you are located outside of Australia and do not have a TIN or TIN equivalent, we may need to contact you to further verify your residence for tax purposes.

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 the reason for not providing a TIN in the boxes below, choosing a reason of the following: A) The country of tax residency does not issue TINs to tax residents; B) The individual has not been issued with a TIN; or C) The country of tax residency does not require the TIN to be disclosed.

Please note that if Australia is your country of residence, it is not required to indicate the TFN in this section.

Country

TIN

Country

TIN

Country

TIN

If there are more countries, provide details on a separate sheet and tick this box.

Investor B (if applicable)

Please answer **both** tax residency questions:

Are you a tax resident of Australia?

Yes

No

Are you a tax resident of another Country?

Yes

No

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

If you are located outside of Australia and do not have a TIN or TIN equivalent, we may need to contact you to further verify your residence for tax purposes.

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 the reason for not providing a TIN in the boxes below, choosing a reason of the following: A) The country of tax residency does not issue TINs to tax residents; B) The individual has not been issued with a TIN; or C) The country of tax residency does not require the TIN to be disclosed.

Country	TIN
<input type="text"/>	<input type="text"/>
Country	TIN
<input type="text"/>	<input type="text"/>
Country	TIN
<input type="text"/>	<input type="text"/>

If there are more countries, provide details on a separate sheet and tick this box.

Please proceed to **Section 5** (Declaration and Signature) on page 6 if you are not investing on behalf of a Trust. If you are investing on behalf of a Trust, please proceed to **Section 3**.

Section 2 – Fill out if you are a Company/Corporate Trustee

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

1. Tax Status

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

A Financial Institution (a custodial or depository institution, an investment entity or a specified insurance company for FATCA/CRS purposes)

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

Non-Financial Australian Public Listed Company (public listed companies that are not Financial Institutions as described above)

Non-Financial Australian Proprietary Company or an unlisted public company (that are not Financial Institutions as described above)

Australian Public Listed Company, Majority Owned Subsidiary of an Australian Public Listed company or Australian Registered Charity

An Active Non-Financial Entity (NFE) (active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at www.oecd.org.)

Other (Entities that are not previously listed – Passive Non-Financial Entities)

Once you have made a selection from the options above, please proceed to **Section 2.2** (Foreign Beneficial Owners) below.

2. Foreign Beneficial Owners (Individuals)

Are any of the company's Beneficial Owners tax residents of countries other than Australia?

Yes

No

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be a result of citizenship or residency.

If yes, please provide the details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in Section 1).

Full given name(s)	Sur name	Role (such as Director or Senior Managing Official)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Full given name(s)	Sur name	Role (such as Director or Senior Managing Official)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Full given name(s)	Sur name	Role (such as Director or Senior Managing Official)
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box.

Please proceed to **Section 2.3** (Country of Tax Residency) below.

3. Country of Tax Residency

Is the company a tax resident of a country other than Australia?

- Yes
 No

If yes, please provide the company's country of tax residence and tax identification number (TIN) or equivalent below. If the company is a tax resident of more than one country, please list all relevant countries below.

If no, please proceed to **Section 5** (Declaration and Signature) on page 6 to complete the form.

If you are located outside of Australia and do not have a TIN or TIN equivalent, we may need to contact you to further verify your residence for tax purposes.

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 the reason for not providing a TIN in the boxes below, choosing a reason of the following: A) The country of tax residency does not issue TINs to tax residents; B) The individual has not been issued with a TIN; or C) The country of tax residency does not require the TIN to be disclosed.

Country	TIN
<input type="text"/>	<input type="text"/>
Country	TIN
<input type="text"/>	<input type="text"/>
Country	TIN
<input type="text"/>	<input type="text"/>

If there are more countries, provide details on a separate sheet and tick this box.

Please proceed to **Section 5** (Declaration and Signature) on page 6 if you are not investing on behalf of a Trust. If you are investing on behalf of a Trust, please proceed to **Section 3**.

Section 3 – Fill out if you are a Regulated Trust/Superannuation Fund

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Tick one of the Tax Status boxes below.

- Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete this section and can proceed to **Section 5** (Declaration and Signature) on page 6.

- A Financial Institution** (a custodial or depository institution, an investment entity or a specified insurance company for FATCA/CRS purposes)

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

Please proceed to **Section 5** (Declaration and Signature) on page 6.

Section 4 – Fill out if you are/have a(n) Unregulated Australian Trust/ Foreign Trust

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

1. Tax Status

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

- A Financial Institution** (a custodial or depository institution, an investment entity or a specified insurance company for FATCA/CRS purposes)

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

Please answer the question below for **all** financial institutions.

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?

- Yes
 No

If yes, proceed to **Section 4.2** (Foreign Controlling Persons) below. If no, please go to **Section 5** (Declaration and Signature) on page 6 to complete the form.

CRS Participating Jurisdictions are on the OECD website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction>.

- Australian Registered Charity or Deceased Estate**

If the Trust is an Australian Registered Charity or Deceased Estate, please proceed to **Section 5** (Declaration and Signature) on page 6 to complete the form.

- A Foreign Charity or an Active Non-Financial Entity (NFE)** (active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at www.oecd.org.)

If the Trust is a Foreign (non-Australian) Charity or an Active NFE, please proceed to **Section 4.3** (Country of Tax Residency).

- Other** (Trusts that are not previously listed – Passive Non-Financial Entities)

Please proceed to **Section 4.2** (Foreign Controlling Persons).

2. Foreign Controlling Persons (Individuals)

Are any of the Trust's Controlling Persons tax residents of countries other than Australia?

- Yes
 No

If the Trustee is a company, are any of this company's Controlling Persons tax residents of countries other than Australia?

- Yes
 No

A Controlling Person is any individual who directly or indirectly exercises control over the Trust. For a Trust, this includes all Trustees, Settlers, Protectors or Beneficiaries. For a Trustee company this includes any Beneficial Owners controlling more than 25% of the shares in the company or Senior Managing Officials.

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If you answered yes to either of the two questions above, please provide the details of these individuals below and complete a separate Individual Identification Form for each Controlling Person (unless already provided as a Beneficial Owner).

Full given name(s)	Sur name	Role (such as Trustee or Beneficiary, etc.)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Full given name(s)	Sur name	Role (such as Trustee or Beneficiary, etc.)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Full given name(s)	Sur name	Role (such as Trustee or Beneficiary, etc.)
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more Controlling Persons, provide details on a separate sheet and tick this box.

Please proceed to **Section 4.3** (Country of Tax Residency).

3. Country of Tax Residency

Is the Trust a tax resident of a country other than Australia?

- Yes
 No

If yes, please provide the Trust's country of tax residence and tax identification number (TIN) or equivalent below. If the Trust is a tax resident of more than one country, please list all relevant countries below.

If no, please proceed to **Section 5** (Declaration and Signature) on page 6 to complete the form.

If you are located outside of Australia and do not have a TIN or TIN equivalent, we may need to contact you to further verify your residence for tax purposes.

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Country	TIN
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Country	TIN
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If there are more countries, provide details on a separate sheet and tick this box.

Please proceed to **Section 5** (Declaration and Signature) on page 6.

Section 5 – Declaration and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the account holder's relationship with TLIM setting out how TLIM may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the account holder and any reportable account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the account holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am authorised to sign for the account holder in respect of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. I undertake to advise TLIM within 30 days of any change in circumstances which affects the tax residency status of the account holder(s) identified in this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons), and to provide TLIM with a suitably updated Self-Certification and Declaration within 30 days of such change in circumstances.

Signature

Print name

Date (dd/mm/yyyy)

 / /

Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity

Please print, date and sign this form and return it to TLIM:

Client Services
Third Link Investment Managers Pty Limited
PO Box 1087
Sydney NSW 2001