

2D Is this investment held by a public listed company, or a majority owned subsidiary of a public listed company (other than financial institutions)?

No – Go to question 2E

Yes – If registered with ASIC, what is the company's registration number?

What is the name of the public listed parent company if a majority owned subsidiary?

What is the name of the market or exchange where the company is listed?

What is the company's unique exchange code e.g. ASX Code, ticker code?

Your certification is complete once you sign at section 5

2E Is this investment held by or on behalf of an entity i.e. does the Account Designation include a reference to one or more entities (e.g. a family trust or partnership etc) as being the beneficial owner/s?

No – the account is held solely for the benefit of the registered holders who is/are entities

Yes – the account is held for the benefit of an entity

In both cases, go to section 3 - Entities

SECTION 3 – ENTITIES (If more than one entity, attach a separate sheet with the requested information)

Please select the option that best describes the entity. Provide the entity's Australian registration number (e.g. ACN, ABN, ARBN, ARSN) where applicable

The entity is best described as:

3A An entity or legal arrangement established under the laws of the United States (U.S.) or otherwise considered to be a resident of the U.S. for tax purposes

Go to question 4A

3B **Financial Institution (other than a U.S. financial institution)**

A financial institution includes the following entity types: a Depository Institution, an Investment Entity, a Specified Insurance Company or a Custodial Institution

What is your GIIN?

If your entity does not have a GIIN, select the Foreign Financial Institution (FFI) status that most applies:

Deemed Compliant Financial Institution

Non-Participating Financial Institution

Excepted Financial Institution

Other – please describe:

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

Are you an Investment Entity located in a non-CRS participating jurisdiction and professionally managed by another financial institution?
Note: You can review the Automatic Exchange of Information (AEOI) guidance for non-CRS participating jurisdictions on the ATO website at: <https://www.ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/>

No - **Your certification is complete once you sign at section 5**

Yes – What is the non-CRS participating jurisdiction?

Go to question 4A

3C **Not a Financial Account**

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

Certain accounts are not considered to be 'Financial Accounts' for the purposes of FATCA and CRS. These include:

- An Employee Share Scheme or Trust as defined in the Income Tax Assessment Act 1997
- An Escrow Account established in connection with a court order or judgment, or a sale, exchange, or lease of real or personal property where certain requirements have been met

Your certification is complete once you sign at section 5

3D **Exempt Beneficial Owner**

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

Under FATCA and CRS, an Exempt Beneficial Owner includes:

- Australian government organisation or agency
- Reserve Bank of Australia
- International (including intergovernmental) organisation

Your certification is complete once you sign at section 5

3E **Non-Financial Entity (NFFE/NFE)**

If registered in Australia, what is the entity's ACN, ABN, ARBN or ARSN?

A NFE/NFFE includes the following entity types: a company that is NOT a financial institution, a partnership, a trust, a co-operative, association or club, or a charitable organisation etc.

Go to question 3F

3F Is your entity an active or a passive NFFE/NFE?

(i) **Active NFFE/NFE**

The entity operates an active trade or business (other than a financial business) earning its income from providing services, or is engaged in producing, manufacturing or selling products or goods. Examples include: listed and regularly traded corporations, service providers, charities, primary producers, central banks and government agencies etc

Go to question 4A

(ii) **Passive NFFE/NFE**

The entity earns 50% or more of its revenue from investment activities (e.g. rent, dividends, interest or distribution), or 50% or more of the entity's assets are used to generate investment income

Go to question 4A, 4B and 4C

SECTION 4 – TAX RESIDENCY DETAILS

4A Entity from question 3A and question 3E/3F

Please provide information about the entity's tax residency

Legal Name of Entity

Entity Street Address

Tax resident of Australia only?

Yes – If the entity is a passive NFFE/NFE, **go to question 4B**

If the entity is an active NFFE/NFE, **go to section 5 - signing requirements**

No – Complete foreign tax residency information for every country in which you are a tax resident:

Country 1 Tax Residency Country 2 Tax Residency Country 3 Tax Residency

TIN 1 OR Country does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TIN

TIN 2 OR Country does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TIN

TIN 3 OR Country does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TIN

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation.

4B Passive NFFE/NFE from question 3F(ii) and question 4A:

Are there any beneficial owners or controlling persons (including those with direct or indirect ownership of 25% or more) of the Passive NFFE/NFE who is a U.S. citizen, OR a resident for tax purposes in a country other than Australia? Controlling persons include the settlor, protector or appointer of a trust. All beneficiaries of a trust are considered to be controlling persons. In relation to a company or other entity, if there are no beneficial owners or controlling persons as described above, then the person who exerts ultimate control over the entity (e.g. has the authority to make financial, policy and operating decisions) is the controlling person.

No – **Your certification is complete once you sign at section 5**

Yes – **Go to question 4C**

4C Individuals from question 1B and Beneficial Owners and Controlling Persons from question 4B:

Complete the following information for each individual investor, or each individual beneficial owner or controlling person. If there are more than four individual investors, beneficial owners or controlling persons, please attach a sheet with the required information.

Individual 1:

Legal Name of Person

Date of Birth (dd/mm/yyyy)

Residential Street Address

Tax resident of Australia only?

Yes - **Your certification is complete once you signed at section 5**

No - Complete foreign tax residency information for every country in which you are a tax resident:

Country 1 Tax Residency Country 2 Tax Residency Country 3 Tax Residency

TIN 1 OR Country does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TIN

TIN 2 OR Country does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TIN

TIN 3 OR Country does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TIN

If TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation.

Individual 2:Legal Name of Person Date of Birth (dd/mm/yyyy) Residential Street Address Tax resident of Australia only? Yes - **Your certification is complete once you signed at section 5**
 No - Complete foreign tax residency information for every country in which you are a tax resident:Country 1 Tax Residency Country 2 Tax Residency Country 3 Tax Residency TIN 1 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINTIN 2 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINTIN 3 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINIf TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation. **Individual 3:**Legal Name of Person Date of Birth (dd/mm/yyyy) Residential Street Address Tax resident of Australia only? Yes - **Your certification is complete once you signed at section 5**
 No - Complete foreign tax residency information for every country in which you are a tax resident:Country 1 Tax Residency Country 2 Tax Residency Country 3 Tax Residency TIN 1 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINTIN 2 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINTIN 3 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINIf TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation. **Individual 4:**Legal Name of Person Date of Birth (dd/mm/yyyy) Residential Street Address Tax resident of Australia only? Yes - **Your certification is complete once you signed at section 5**
 No - Complete foreign tax residency information for every country in which you are a tax resident:Country 1 Tax Residency Country 2 Tax Residency Country 3 Tax Residency TIN 1 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINTIN 2 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINTIN 3 OR County does not issue TINs OR TIN is available, but has not been obtained or has not been issued a TINIf TIN is available, but you have not obtained or been issued with a TIN, please provide an explanation. **SECTION 5 – SIGNING REQUIREMENTS**

The signatories declare that the certification provided on this form is correct to the best of his/her knowledge and belief. The signatories further acknowledge that they must re-certify if any of the information disclosed on this form changes or becomes invalid.

Investor/Individual 1 or Entity (Authorised Person) <input type="text"/>	Investor/Individual 2 or Entity (Authorised Person) <input type="text"/>	Investor/Individual 3 or Entity (Authorised Person) <input type="text"/>
Sole Director and Sole Company Secretary/Director/Trustee/Partner/Governing Member Print Name	Director/Company Secretary/Trustee/Partner/Governing Member Print Name	Date <input type="text"/> / <input type="text"/> / <input type="text"/> Print Name

Personal Information Collection Notification Statement: Link Group advises that the *Tax Laws Amendment (Implementation of the FATCA Agreement) Act 2014*, which inserted Division 396–FATCA into Schedule 1 of the Taxation Administration Act 1953 and Tax Laws Amendment (Implementation of the Common Reporting Standard) Act 2016 (Cth) which gave domestic legal effect to the CRS obligations by inserting Division 396-C Common Reporting Standard into the Taxation Administration Act 1953 (Cth), requires that organisations seek information about your residency and/or citizenship status for tax purposes. The personal information and self-certification collected complies with the requirements of the FATCA Intergovernmental Agreement (IGA) entered into between the Australian and United States governments and the OECD requirements relating to the CRS including the guidelines of the ATO. Some or all of your personal information may be disclosed to the Australian Taxation Office (ATO), the U.S. Internal Revenue Service (IRS) or other foreign competent tax authorities, or as required under other Australian law. For further information about Link's privacy policy, visit our website at www.linkmarketservices.com.au