









































Unit  Street number

Street name

Suburb  State

Postcode  Country

**Beneficial owner 2**

Title  Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 /  /

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit  Street number

Street name

Suburb  State

Postcode  Country

**Beneficial owner 3**

Title  Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 /  /

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit  Street number

Street name

Suburb  State

Postcode  Country

**Beneficial owner 4**

Title  Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 /  /

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit  Street number

Street name

Suburb  State

Postcode  Country

**Please provide the name of all beneficiaries that are not beneficial owners.**

If the trust deed describes the beneficiaries by reference to member of a class please provide details of, the class to which the beneficiaries belong e.g. family members, unit holders, un-named charities on a separate sheet and attach to this form.

**Beneficiary 1**

Title  Full given names

Surname

**Beneficiary 2**

Title  Full given names

Surname

**Beneficiary 3**

Title  Full given names

Surname

### Beneficiary 4

Title  Full given names

Surname

Please provide the name of the **appointor** of the trust, if applicable

#### DEFINITION

**Appointor:** the appointor has the power to appoint or remove the trustees of the trust. Not all trusts have an **appointor**.

Name of trust settlor

#### DEFINITION

**Settlor:** this is the person that creates the trust. The settlor may be, for example, your accountant or solicitor.

Note: you do not need to provide the name of the trust settlor if they are deceased, or the material asset at the time the trust was established was less than \$10,000.

If you are a non-regulated trust, please provide us with certified copies of one of the following:

- Trust deed**  
or an extract of the trust deed showing the full name of the trust and any named trust settlor
- Other documentation**  
confirming the full name of the trust and the name of the trust settlor

## 3 Trustee details

### 3.1 Verification procedure – individual trustee

Title  Full given names

Surname

Date of birth (DD/MM/YYYY)

/  /

Usual occupation

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

#### Group 1

Provide a certified copy of one of these:

- Australian driver's licence**  
showing your photo, and please copy the front and back
- foreign driver's licence**  
showing your date of birth, signature and photo
- Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- foreign Government issued ID card**  
showing your date of birth, signature and photo.

#### Group 2

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- Australian or foreign government issued birth certificate**
- Australian or foreign government issued citizenship certificate**
- Centrelink pension or health card**  
please copy the front and back.

**PLUS** provide a certified copy of one of the following:

- a Government issued notice**  
one which shows your name and residential address, not more than 12 months old
- a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months old
- ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

**For each corporate beneficial owner please provide:**

- a completed Identification form – Australian and Foreign companies, plus any relevant identification.

### 3.2 Verification procedure – company trustees

#### 3.2.1. General information

Full name of company trustee

Nature of business

ACN

### 3.2.2. Australian company trustee

Place of business (if different to registered office address)  
A PO Box/RMB/Locked Bag is not acceptable.

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country

### 3.2.3 Foreign company trustee

Country of formation

Registered in Australia?

No  Yes

If yes, please provide the ARBN

Registered in that country?

No  Yes

If yes, please provide the name of regulator/exchange

Identification number issued by foreign registration body

Registered business address in country of formation

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb

State

Postcode

Country (if not Australia)

Please provide us with certified copies of one of the following:

an ASIC or foreign regulator search

an ASIC or foreign regulator certificate of registration.

### 3.2.4 Company type

Please complete the section below for public companies (3.2.4 (a)) or private companies (section 3.2.4 (b)) as applicable.

#### 3.2.4 (a) Public company

Are you a public company?

No  Yes

If yes, please proceed to section 3.2.5

#### 3.2.4 (b) Private company

Are you a private company?

No  Yes

If yes, please complete the director details section below if you are a private Australian company or a private foreign company. Do not complete for public companies.

#### Director details

How many directors are there?

Provide the full name of each director:

##### Director 1

Title Full given names

Surname

##### Director 2

Title Full given names

Surname

##### Director 3

Title Full given names

Surname

##### Director 4

Title Full given names

Surname

If there are more directors, please provide their name on a separate sheet and attach to this form.

#### 3.2.5 Regulated/Listed companies

Are you an Australian listed company?

No  Yes – please provide name of market/exchange

Market/Exchange

Are you a majority-owned subsidiary of an Australian listed company?

No  Yes – please provide name of listed company and market/exchange

Company

Market/Exchange

Are you a regulated company?

One which is licensed by an Australian Commonwealth, State or Territory statutory regulator.

No  Yes – please provide details of the regulator and licence number

Regulator

Licence number

If you answered yes to any of these questions, please provide us with a certified copy of one of the following and sign the form at the end. For you, this form is then complete.

- an ASIC search
- a search of the licence or other records of the relevant regulator
- a public document issued by the company
- a search of the relevant market/exchange

### 3.2.6 Non-regulated/non-listed companies

If you answered no to all the questions in section 3.2.5, please fill in the sections 3.2.6 (a), (b) and (c) below.

#### 3.2.6 (a) Beneficial owner details

Provide details of all deneficial owners (i.e. company shareholders) who, through one of more shareholdings, own 25% or more of the company's issued BLOCK.

##### Beneficial owner 1

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 /  /

Usual occupation/Nature of business

##### Residential address

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

##### Beneficial owner 2

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 /  /

Usual occupation/Nature of business

##### Residential address

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

##### Beneficial owner 3

Title Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 /  /

Usual occupation/Nature of business

##### Residential address

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit Street number

Street name

Suburb State

Postcode Country

**Beneficial owner 4**

Title  Full given names

Surname/Company name

Date of birth (DD/MM/YYYY)  
 DD /  MM /  YYYY

Usual occupation/Nature of business

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit  Street number

Street name

Suburb  State

Postcode  Country

**Verification procedure - beneficial owners**

Please provide a certified copy of one document from Group 1 or if you can't, a certified copy of two documents from Group 2 for each individual applicant.

**Group 1**

Provide a certified copy of one of these:

- Australian driver's licence**  
showing your photo, and please copy the front and back
- foreign driver's licence**  
showing your date of birth, signature and photo
- Australian passport**  
a passport that has expired within the preceding two years is acceptable, and please copy the pages which identify you
- foreign passport**  
showing your signature and photo, and please copy the pages which identify you
- Australian State or Territory Government issued ID card**  
showing your date of birth, signature and photo
- foreign Government issued ID card**  
showing your date of birth, signature and photo.

**Group 2**

If you can't provide anything from Group 1, then provide a certified copy of one of the following:

- Australian or foreign government issued birth certificate**
- Australian or foreign government issued citizenship certificate**
- Centrelink pension or health card**  
please copy the front and back.

**PLUS provide a certified copy of one of the following:**

- a Government issued notice**  
one which shows your name and residential address, not more than 12 months old
- a rates or utilities notice**  
one which shows your name and residential address, not more than 3 months old
- ATO notice**  
one which shows any debt owing to the ATO, your name and residential address, not more than 12 months old.

For each corporate beneficial owner please provide:

- a completed Identification form – Australian and Foreign companies, plus any relevant identification.

**3.2.6 (b) Voting rights**

If there are any other individuals, who have not been listed above in section 3.2.6 (a), and who are entitled, either directly or indirectly, to exercise 25% or more of the company's voting rights, please write down their full names on a piece of paper and attach to this form.

**3.2.6 (c) Senior Managing Official details**

If the company does not have any beneficial owners, please provide the details of the Senior Managing Official (or equivalent).

Title  Full given names/Full company name

Surname

Date of birth (DD/MM/YYYY)  
 DD /  MM /  YYYY

Nature of business

Company title

**Residential address**

A PO Box/RMB/Locked Bag is not acceptable

Property/Building name (if applicable)

Unit  Street number

Street name

Suburb  State

Postcode  Country

**DEFINITION**

**Senior managing official:** an individual who makes, or participates in making, decisions that affect the whole, or a substantial part of the company, or that may significantly affect the company's financial standing.

**Verification procedure - senior managing official details**

If you are unable to provide details of beneficial owners in 3.2.6 (a) above, please provide documentation showing the name of the senior managing official, as provided in this section 3.2.6 (c).

**4 Signing instructions**

**Individual Trustee:** where the investment has one individual trustee, the trustee must sign.

**Multiple trustees:** where the investment has more than one individual trustee, all trustees must sign.

**Corporate trustee:** where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

**Trust:** the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney:** if signing under a Power of Attorney and you have not already lodged the Power of Attorney with us, please attach a certified copy of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the person who gave the Power of Attorney is still living.

Signature of trustee 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- Director
- Sole director and company secretary
- Authorised signatory

Signature of trustee 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- Director
- Company secretary
- Authorised signatory



## Client Services contact details

### Phone

Within Australia: 02 8022 7487

International: +61 2 8022 7487

### Email

daintree.transactions@unitregistry.com.au

# Tax information form

## Why you need to complete this form

The Foreign Account Tax Compliance Act (**FATCA**) and Common Reporting Standard (**CRS**) are regulatory requirements that aim to deter tax evasion by US and other foreign taxpayers. The Australian and a number of other foreign Governments have an agreement which requires us to obtain certain information from investors, including taxation information. You may be liable to a penalty if you provide information that is false or misleading in a material particular. We may decide not to open an account without first receiving the required information. For more information, visit [ato.gov.au](http://ato.gov.au).

If you are unsure of any of the answers, please contact a legal or accounting professional.

## Which sections of the form should you complete?

Superannuation funds, testamentary trusts, registered charities – **Section 1**

Individuals – **Section 2**

Companies and other trusts – **Section 3**

- Corporate trustee – **Section 3**
- Individual trustee – **Section 2**

## What if more than one person is applying?

Each individual investor will need to complete a copy of this form.

### DEFINITION

#### Tell me about tax residence

You can be a resident of more than one country for tax purposes. Whether you are tax resident of a particular country for tax purposes is often based on the amount of time you spend in a country and the location of your residence and/or place of work. If you pay tax or have a tax liability somewhere, you are probably a tax resident there. Dual citizenship often brings dual tax residency. It depends on the country. For the US, tax residency can be as a result of citizenship or residency for tax purposes.

## Section 1 Superannuation funds and other special trusts

### 1. Are you a superannuation or other special type of trust?

- I am the trustee of a regulated superannuation fund, or this includes a self-managed superannuation fund
- I am a trustee of a **testamentary trust**, or
- I am a trustee of a **registered charity**

### Where to now?

I ticked a box ► go to **Section 4 Signatures**

I did not tick a box ► go to **Section 2** if you are an individual, or **Section 3** if you are a company or another type of trust

### DEFINITION

**Regulated superannuation fund:** means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pooled super trusts.

**Testamentary trust:** this is a trustee of a trust set up in a deceased's will.

## Section 2 Individuals

Do not complete **Section 2** if you are a non-superannuation trustee or you are a company ► complete **Section 3** instead.

### 2. Are you a US resident for tax purposes?

- No ► go to **question 3**
- Yes – please tell us your TIN ► go to **question 3**

TIN

### DEFINITION

#### What is a TIN?

This is short for Taxpayer Identification Number, an identification number issued or used by tax authorities. In Australia, the equivalent is the tax file number (TFN). For the US, it could for example be a US Social Security Number, a US Individual Taxpayer Identification Number or a US Employer Identification Number. In other countries, it may have a different name.

3. Are you a resident of any other country for tax purposes?  
Other than the US or Australia.

No ► go to **Section 4 Signatures**

Yes – please tell us which ones, using the following table.  
► then go to **Section 4 Signatures**

**DEFINITION**

**No TIN? Reasons we accept are:**

**#1** This country does not issue TINs

**#2** I have asked for a TIN, but have not yet been given one – **you must tell us when received**

**#3** The laws of this country do not require me to disclose my TIN

**#4** I have an exemption under the laws of this country from holding a TIN – **write a code or give us details**

	Country	TIN	No TIN? Which reason? See Definition box above
1.			
2.			
3.			
4.			

**Section 3 Companies and non-superannuation trusts**

4. Are you a US resident for tax purposes?

No ► go to **question 5**

Yes – **please tell us your TIN** ► then go to **question 5**

TIN

**DEFINITION**

**What is a TIN?**

See Definition box on the previous page.

5. Are you a resident of any other country for tax purposes?  
Other than the US or Australia.

No ► go to **question 6**

Yes – **please tell us which ones**, using the following table ► then go to **question 6**

	Country	TIN	No TIN? Which reason? See Definition box above
1.			
2.			
3.			
4.			

**6. Are you a 'financial institution'?**

Be careful – financial Institution is broadly defined – see Definition box

Not relevant - I wrote my TIN in question 4 ► go to **question 7**

No ► go to **question 7**

Yes – **please tell us your GIIN – see Definition box**

GIIN

**Where to now?**

I ticked **YES** and completed my GIIN ► go to **question 7**

I ticked **YES** but did not write a GIIN – tell us below why you did not write a GIIN ► then go to **question 7**

Excepted Financial Institution

Deemed Compliant Financial Institution

Exempt Beneficial Owner

Non-participating Financial Institution

Non-reporting IGA Financial Institution

Sponsored financial institution – their GIIN is

GIIN

**7. Are you a public company listed on a stock exchange?**

No ► go to **question 8**

Yes ► go to **Section 4 Signatures**

**8. Are you 'active' or 'passive'?**

I am an 'active' non financial entity ► go to **Section 4 Signatures**

I am a 'passive' non financial entity ► go to **question 9**

**DEFINITION**

**What is a GIIN?**

This stands for Global Intermediary Identification Number. GIINs are 19 digits long, issued by US tax authorities (the IRS) to non US financial institutions and sponsoring entities for purposes of identifying their registration with the IRS under US tax laws (called FATCA).

**DEFINITION**

**What is a financial institution?**

This includes:

1. **an investment entity** - any entity that conducts certain activities or operations for or on behalf of a customer, including:
  - 'trading in money market instruments' and other relevant instruments
  - 'individual and collective portfolio management'
  - 'investing, administering, or managing funds or money on behalf of other persons'.

However, any trading, investing, administering or managing of financial assets on behalf of other persons must be done as a business. Note that financial assets does not include direct interests in real property.

An entity is also an investment entity if it is managed by another investment entity, depository institution, custodial institution or other prescribed entity and its gross income is primarily attributable to investing reinvesting or trading in financial assets.

So, as general rules:

- managed investment schemes are investment entities
- trusts with professional corporate trustees (and often professional corporate investment managers) often are investment entities, such as unregistered (wholesale) managed investment schemes
- discretionary family trusts are not usually investment entities, even if they have someone managing the trust's assets for them.

The ATO gives some help in this, and it's worth seeking advice if you are unsure: [ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/FATCA-detailed-guidance](http://ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/FATCA-detailed-guidance)

2. **a depository institution**

you accept deposits in the ordinary course of a banking or similar business e.g. a bank

3. **a custodial institution**

a substantial portion of your business (20% or more of gross income) has been held in financial assets for the account of others for the previous three years or since the establishment of the entity e.g. a custodian

4. **certain prescribed entities**

e.g. types of insurance companies that have cash value products or annuities.

**DEFINITION**

**What is 'active' and 'passive'?**

A non-financial entity (NFE) is any entity that is not a financial institution as defined above.

You will be a passive NFE if you are not an active NFE.

Generally, you will be an active NFE if:

- your stock (or a related entity's stock) is regularly traded on established securities market
- less than 50% of your gross income for the previous reporting period was passive income and less than 50% of your assets during that period produce or were held to produce passive income
- you are a Governmental entity, an international organisation, a central bank or an entity wholly owned by one of the above
- you are exempt from income tax in your residential jurisdiction and were established and operated exclusively for religious, charitable, scientific, artistic, athletic or educational purposes and meet certain other specific criteria, or
- you have not been a financial institution in the past five years and are in the process of liquidating your assets or reorganising with the intent to recommence operations other than as a financial institution.

If you are unsure whether you are an Active or Passive NFE, please get advice.

9. Do you have any 'controlling persons' who are resident of another country for tax purposes?

I am passive, and **YES** I do have controlling persons who are resident of another country for tax purposes

Complete the **controlling persons details** in the table below  
 ► then go to **Section 4 Signatures**.

If there is not enough room in the table, please copy the page and attach it to your completed form.

I am passive, but **NO** I do not have controlling persons who are resident of another country for tax purposes  
 It would be unusual to think of no-one. Please read the **Definition** box. If you're sure ► go to **Section 4 Signatures**.

**DEFINITION**

**Controlling persons**

Controlling persons are natural persons who exercise control over an entity.

For trusts, controlling persons includes any trustees, settlors, beneficiaries, classes of beneficiaries or any other person who has the power to effectively control the trust.

For companies, controlling persons generally include any person who holds (directly or indirectly) more than 25% of the shares in the company and any person who has the power to influence decisions about the company's financial and operating policies, such as senior managing officials or directors.

**Controlling person**

Title  Given names

Surname

Date of birth (DD/MM/YYYY)  
 /  /

City and country of birth

Residential address  
 Number  Street name

Suburb/City  State

Postcode/Zip  Country

**Controlling person**

Title  Given names

Surname

Date of birth (DD/MM/YYYY)  
 /  /

City and country of birth

Residential address  
 Number  Street name

Suburb/City  State

Postcode/Zip  Country

	Country of tax residence	TIN	No TIN? Which reason? See Definition at questions 3 or 5
1.			
2.			
3.			
4.			

	Country of tax residence	TIN	No TIN? Which reason? See Definition at questions 3 or 5
1.			
2.			
3.			
4.			

**Controlling person**

Title      Given names  
     

Surname

Date of birth (DD/MM/YYYY)

DD /  MM /  YYYY

City and country of birth

Residential address

Number      Street name  
     

Suburb/City      State  
     

Postcode/Zip      Country  
     

Country of tax residence	TIN	No TIN? Which reason? See Definition at questions 3 or 5
1.		
2.		
3.		
4.		

**Controlling person**

Title      Given names  
     

Surname

Date of birth (DD/MM/YYYY)

DD /  MM /  YYYY

City and country of birth

Residential address

Number      Street name  
     

Suburb/City      State  
     

Postcode/Zip      Country  
     

Country of tax residence	TIN	No TIN? Which reason? See Definition at questions 3 or 5
1.		
2.		
3.		
4.		

**Controlling person**

Title      Given names  
     

Surname

Date of birth (DD/MM/YYYY)

DD /  MM /  YYYY

City and country of birth

Residential address

Number      Street name  
     

Suburb/City      State  
     

Postcode/Zip      Country  
     

Country of tax residence	TIN	No TIN? Which reason? See Definition at questions 3 or 5
1.		
2.		
3.		
4.		

**Controlling person**

Title      Given names  
     

Surname

Date of birth (DD/MM/YYYY)

DD /  MM /  YYYY

City and country of birth

Residential address

Number      Street name  
     

Suburb/City      State  
     

Postcode/Zip      Country  
     

Country of tax residence	TIN	No TIN? Which reason? See Definition at questions 3 or 5
1.		
2.		
3.		
4.		

**Important information**

Nothing in this form is advice (and any 'definition' is general guidance only). Seek professional advice to be sure of your answers.

It is a condition of investing that you keep your details (including tax details) with us, up to date. We recommend that you review this tax information form at the end of the financial year and update your details if required. You must contact us when you learn new things about the matters in this form. Failing to update us can have tax and other consequences. You can update us by requesting and completing this form again and emailing, faxing or posting it to our Administrator.

By completing and signing this form:

- you represent having read and understood this form
- you represent this form is complete and accurate
- if you have applied for but not received your TIN or GIIN, you undertake to inform us within 30 days of receiving it
- you undertake that if information in this form changes, you will tell us within 30 days.

**How to sign**

**Individual:** sign in the left box, and have someone witness in the right box. If you are investing jointly, you need a separate form for each individual.

**Company:** two directors, or a director and a secretary sign, or if you are a sole director company, that sole director signs in the left box and a witness in the right box.

**Signature**

Please print full name

Date (DD/MM/YYYY)

**Signature**

Please print full name

Date (DD/MM/YYYY)