



FATCA/CRS (AEOI) Self Certification Form

This form is to be completed if you have answered 'Yes' to being a tax resident of another country on the LEB Application Form or when requested by KeyInvest Ltd. Please read these instructions carefully before completing this form.

Tax advice - If you have any questions on how to define your tax residency status, please speak to your tax adviser. KeyInvest (as a financial institution) is not permitted to give tax advice. Alternatively, your domestic tax authority can provide guidance regarding how to determine your tax status.

Use **BLOCK** letters and a black or blue pen to complete this form.

1. Investment details

Do you have an existing KeyInvest investment?

Yes, please provide your client or member number. You can find your client or member number on your statement.

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No, please provide the name/owner of the Life Events Bond policy. This should be the same as the name on the Application Form.

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2. Foreign Account Tax Compliance Act (FATCA)

2.1 Select type of investor

Individual/joint investors – **Proceed to section 2.2.**

Entities – **Proceed to section 2.3**

Other Entity types – **Proceed to section 2.3**

2.2 Individual/joint investors

Please attach additional pages if there are more than two individuals.

Individual 1

Are you a Specified U.S. person (as defined by the Australia/U.S. Intergovernmental Agreement to Improve International Tax Compliance and to Implement FATCA) for tax purposes?

Yes No

If YES, please provide your U.S. Taxpayer Identification number (TIN)

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Individual 2

Are you a Specified U.S. person (as defined by the Australia/U.S. Intergovernmental Agreement to Improve International Tax Compliance and to Implement FATCA) for tax purposes?

Yes No

If YES, please provide your US Taxpayer Identification number (TIN)

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Proceed to section 3

2.3 Entities and other entity types

Complete one of the following:

U.S. trust, company or partnership

Please provide your U.S. Taxpayer Identification Number (TIN)

Is the trust, company or partnership exempt for U.S. tax purposes?

Yes No

Proceed to section 3

OR

Financial institution or trust with a trustee that is a financial institution

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

If no GIIN is available, please provide the Entity's FATCA status (as defined by the U.S. Internal Revenue Service - refer to www.irs.gov for further information.)

Proceed to section 3

OR

Please indicate other entity type by selecting one of the following:

Other entity type (please indicate the Entity's FATCA status as defined by the U.S. Internal Revenue Service – refer to www.irs.gov for further information)

Proceed to section 3

OR

Passive NFFE

Does the Entity have any Controlling Persons who are Specified U.S. Persons (as defined by the Australia/U.S. Intergovernmental Agreement to improve International Tax Compliance and to implement FATCA)?

Yes, **please proceed to section 2.4.** Attach additional pages if there are more than two.

No, **proceed to section 3.**

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2.4 Specified U.S. Person

Specified U.S. Person 1

Title

Full given name(s) /company name

Surname

U.S. Taxpayer Identification Number (TIN)

Residential address (PO Box/RMB/Locked Bag is NOT acceptable)

Street

Suburb

State

Post Code

Country

Specified U.S. Person 2

Title

Full given name(s)/company name

Surname

U.S. Tax payer Identification Number (TIN)

Residential Address (PO Box/RMB/Locked Bag is NOT acceptable)

Street

Suburb

State

Post Code

Country

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3. Common Reporting Standard (CRS)

3.1 Tax residency

Select type of investor

Individual/joint investors – **Proceed to section 3.2**

Other investors – **Proceed to section 3.3**

3.2 Individual/joint investors tax residency

Please complete the table below to indicate each country you are a tax resident of and provide your Taxpayer Identification Number (TIN), or equivalent number for each such country. You should seek your own independent tax advice on whether you are tax resident of any particular country.

Individual 1

Country of tax residence

TIN or equivalent number

If no TIN or equivalent number, select reason (either A, B or C)

Reason A - the country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

Reason B – the account holder is otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN here.

Reason C – Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

Individual 2

Country of tax residence

TIN or equivalent number

If no TIN or equivalent number, select reason (either A, B or C)

Reason A - the country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

Reason B – the account holder is otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN here.

Reason C – Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

IMPORTANT: Please attach additional pages, signed and dated, if the investor is a tax resident in more than one country.

Proceed to Section 4.

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3.3 Other investors tax residency

Is the account holder a tax resident of a country?

- Yes** Please complete the below to indicate where the account holder is a tax resident (that is, where the account holder is liable to pay tax) and provide your Taxpayer Identification Number (TIN), such as your U.S. TIN, or equivalent number.

Country of tax residence

TIN or equivalent number

If no TIN or equivalent number, select reason (either A, B or C)

- Reason A** - the country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.
- Reason B** - the account holder is otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN here.
-
- Reason C** - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

OR

- NO** - please provide the country where effective management takes place.

IMPORTANT: Please attach additional pages, signed and dated, if the investor is a tax resident in more than one country.

Proceed to Section 3.4

3.4 Tax residency

Please indicate CRS entity classification by selecting one of the following:

- A** **Financial Institution** - Investment entity (specify entity type below)
- An investment entity located in a non-participating jurisdiction and managed by another financial institution - **Proceed to section 3.5**
- Other investment entity - **Proceed to section 4**
- B** **Other financial institution** (specify entity type below)
- Depository institution - **Proceed to section 4**
- Custodial institution - **Proceed to section 4**
- Specified insurance company - **Proceed to section 4**
- Non-reporting financial institution - **Proceeds to section 4**
- C** **Active non-financial entity (NFE)** - a corporation the stock of which is regularly traded on an established securities market. Please provide the name of the securities market on which the stock is regularly traded.
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- Proceed to section 4**
- D** **Active NFE** - a Related Entity of a corporation whose stock is regularly traded on an established securities market - **Proceed to section 4**
- E** **Active NFE** - a government entity - **Proceed to section 4**

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- F **Active NFE** – an international organisation - **Proceed to section 4**
- G **Active NFE** – other than D to F (for example, a start-up NFE or a non-profit NFE) - **Proceed to section 4**
- H **Passive NFE** – **Proceed to section 3.5**

3.5 Identification of controlling persons of any entity Account Holder

About controlling persons

A controlling person is the natural person(s) who exercises control over the entity. This will vary depending on the nature of the entity, ownership arrangements and may encompass direct or indirect ownership.

For example, it includes:

- For a company other than a listed company, any person holding more than 25% of the company's shares
- for a trust, the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Description of types of controlling persons

- Type A** Controlling person of a legal person – control by ownership
- Type B** Controlling person of a legal person – control by other means
- Type C** Controlling person of a legal person – senior managing official
- Type D** Controlling person of a trust – settlor
- Type E** Controlling person of a trust – trustee
- Type F** Controlling person of a trust – protector
- Type G** Controlling person of a trust – beneficiary
- Type H** Controlling person of a trust – other
- Type I** Controlling person of a legal arrangement (non-trust) – settlor-equivalent
- Type J** Controlling person of a legal arrangement (non-trust) – trustee-equivalent
- Type K** Controlling person of a legal arrangement (non-trust) – protector-equivalent
- Type L** Controlling person of a legal arrangement (non-trust) – beneficiary-equivalent
- Type M** Controlling person of a legal arrangement (non-trust) – other-equivalent

Controlling person 1

Given name (s)

Surname

Please indicate type of controlling person – Refer to section 3.5

(e.g., type A, B, C)

Date of birth (dd/mm/yyyy)

Country of citizenship

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Residential address (PO Box/RMB/Locked bag is NOT acceptable.)

Street

Suburb

State

Post Code

Country

Postal address (if different to residential address)

C/- (if applicable)

Address (PO Box/RMB/Locked bag is NOT acceptable.)

Street

Suburb

State

Post Code

Country

Tax residency

Country of tax residence

TIN or equivalent number

If no TIN or equivalent number, select reason (either A, B or C)

Reason A - the country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

Reason B - the account holder is otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN here.

Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

IMPORTANT: Controlling Person 1 must also sign this form in section 4.

Controlling person 2

Given name(s)

Surname

Please indicate type of controlling person - Refer to section 3.5

(e.g., type A, B, C)

Date of birth (dd/mm/yyyy)

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Country of citizenship

Residential address (PO Box/RMB/Locked bag is NOT acceptable.)

Street

Suburb

State

Post Code

Country

Postal address (if different to residential address)

C/- (if applicable)

Address (PO Box/RMB/Locked bag is NOT acceptable.)

Street

Suburb

State

Post Code

Country

Tax residency

Country of tax residence

TIN or equivalent number

If no TIN or equivalent number, select reason (either A, B or C)

Reason A - the country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

Reason B - the account holder is otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN here.

Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

IMPORTANT: Controlling Person 2 must also sign this form in section 4.

4. Acknowledgement and declaration

IMPORTANT: All investors must complete.

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I/We:

- represent and warrant that the information provided in this FATCA/CRS Self-Certification Form is accurate and complete in all respects on the date on which I/we sign this form and on each day thereafter until the termination of my/our investment or upon my notification of any change in circumstances which would lead to the certification becoming invalid,
- agree to promptly notify KeyInvest Ltd (being no later than 30 days) of any change in circumstance which would cause the representation and warranty above to be incorrect or misleading, and agree to the FATCA and CRS requirements set out in the relevant disclosure document
- acknowledge that the information contained in this form may be exchanged with the tax authorities of another country in which I/ we may be a tax resident (as advised on this form).

If I/We 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
- I/We have not received notice of revocation of that power and agree to provide a certified copy of the power of attorney if requested by KeyInvest Ltd.

Signature of Investor 1

Please select the appropriate box

- Investor Trustee Director
- Parent/Guardian Power of Attorney Trustee of deceased estate

Name (please print)

Signature

Date (dd/mm/yyyy)

If your power of attorney has not previously been registered by us, we will require a certified copy of the power of attorney document as well as the appropriate proof of identification documents in accordance with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006.

Signature of Investor 2

Please select the appropriate box

- Investor Trustee Director
- Parent/Guardian Power of Attorney Trustee of deceased estate

Name (please print)

KEYINVEST FATCA/CRS Self-certification form

Signature

Date (dd/mm/yyyy)

If your power of attorney has not previously been registered by us, we will require a certified copy of the power of attorney document as well as the appropriate proof of identification documents in accordance with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006.

Signature of Controlling Person 1

(If applicable, please refer to section 3.5)

Name (please print)

Signature

Date (dd/mm/yyyy)

Signature of Controlling Person 2

(If applicable, please refer to section 3.5)

Name (please print)

Signature

Date (dd/mm/yyyy)

You can submit this form by:

Email: info@keyinvest.com.au

Mail: PO Box 3340, RUNDLE MALL SA 5000