

The Australian Government requires all Australian banks to send an annual report on all accounts to the Australian Taxation Office (ATO) where a tax obligation to a foreign government may exist.

Please complete this form if you are a legal entity, outlining your tax residency linked to Australia AND/OR a country outside of Australia. Please also complete section 4, if the entity's Controlling Persons may have tax residency linked to a country other than Australia.

Example: You are a joint owner of an Australian company. You live in Australia but have United States (US) citizenship, which classifies you as tax resident in both countries. Any bank which holds an account for the Australian company may report information to the ATO and IRS as you are a 'controlling person' with foreign tax obligations.

This example is provided as an example only and is not a substitute for professional advice and/or commercial judgement having regard to individual circumstances.

Each country has its own rules for defining tax residence. Bank Australia staff are not authorised to give you tax advice. Generally, (with the notable exception of the USA and a small number of other countries) your tax residency is based on the country where you live and/or work. Working or travelling overseas may cause you to be a tax resident elsewhere or in more than one country at one time.

If you have any questions about your tax residency, including which entity classification your entity falls under within the relevant legislation, please contact your tax advisor or seek professional advice. Bank Australia is not in any way able to provide you with any advice on your tax status.

1. Entity details

Full name of entity

Customer or account number

ACN or other registration number

Registered address

State

Postcode

Mailing address

State

Postcode

Note: PO Box numbers cannot be stated for either address

2. Tax residency

Instructions for completion:

- List all of your countries of tax residency and your Tax Identification Number (TIN) for that country. The TIN is also known in Australia as a Tax File Number or TFN.
- If you cannot provide a TIN/TFN or equivalent, you must document a reason:
Reason A: The country of my tax residence does not issue TINs to its residents.
Reason B: I am unable to obtain a TIN or equivalent number (please explain in writing why you are unable to obtain a TIN if you have selected this reason. Please also indicate when you may receive a TIN).
Reason C: The laws of my foreign tax jurisdiction do not require me to provide a TIN.
- If you list Australia as your country of tax residency, you may choose not to quote a TFN or details of exemption – in this case, please select Reason C. However, please note that general withholding tax will be deducted from interest earned at the highest marginal tax rate plus the Medicare levy.
- If you are a US citizen or resident, you must include the United States of America (USA) as a country of tax residency. For more information please visit the US State Department's bureau of consular affairs.
- If you are listing more than three (3) countries of tax residency, please attach an additional page containing these details.

Please provide a TIN or equivalent for each country that the legal entity is tax resident in.

Is the entity an Australian resident for tax purposes?

No Yes

Is the entity a resident for tax purposes in any other country?

No Yes (complete the table below)

	Country of tax residence	TIN	Reason A, B or C if no TIN
1			
2			
3			

Please explain why you are unable to obtain a TIN if reason B is provided:

- 1
- 2
- 3

3. Entity type

FATCA and CRS status

3.1 Please select the status applicable:

Australian regulated superannuation fund (including self-managed superannuation fund)

Financial Institution (Depository Institution, Custodial Institution, Investment Entity, Specified Insurance Company)

Provide the entity's Global Intermediary Identification Number (GIIN)

GIIN

If the entity is a Financial Institution but does not have a GIIN, please specify its FATCA Status:

Trustee-documented Trust or Sponsored Investment Entity. Please provide the Trustee/Sponsor name and GIIN.

Trustee/Sponsor Name

Trustee/Sponsor GIIN

US Financial Institution

Other (e.g. Non-Reporting FI/Deemed Compliant FFI other than a Trustee Documented Trust or Sponsored Investment Entity) – please specify:

Is the entity an Investment Entity that is resident in a Non-Participating Jurisdiction for CRS purposes and managed by another Financial Institution?

No Yes (Please provide details of the controlling persons at 4 below)

Active NFE – Less than 50% of the entity's gross income from the preceding calendar year is passive income and less than 50% of its assets during the preceding calendar year are assets held or the production of passive income.

Active NFE – Corporation whose stock is regularly traded on an approved stock exchange or a related entity of a regularly traded corporation – name of listed entity and name of exchange:

Active NFE – Governmental Entity, International Organisation or Central Bank

Active NFE – Australian Registered Charity

Active NFE – Other: Please specify:

Excluded account – Deceased estate

Other – Passive NFE: Please provide details of the controlling persons at 4.

3.2 The questions below are only applicable to US entities:

If the entity is a US person, its US Taxpayer Identification Number (TIN) must be provided

TIN

Is the entity exempt from FATCA Reporting because it is not a Specified US Person?

No

Yes (please explain why it is not a Specified US Person)

4. Controlling persons

Please complete the below section if the entity is either:

- An Investment Entity that is resident in a Non-Participating Jurisdiction for CRS purposes (and managed by another Financial Institution); or
- A Passive NFE.

4.1 Are any controlling persons of the entity a tax resident of any country other than Australia?

- Interposed entities need to be traced through to natural persons.
- For corporations, the controlling persons include any beneficial owners who ultimately own 25% or more of the shares in the company. If there are no controlling persons by ownership, a senior managing official of the entity.
- For trusts, the controlling persons includes the trustee(s), protector, beneficiary(ies) and settlor.
- For other types of legal arrangement, the controlling persons are natural persons in equivalent or similar positions.

No

Yes (please provide details of the controlling persons in the table)

If a TIN for a controlling person is not provided, please provide a reason from the following options:

- **A:** The country/jurisdiction does not issue TINs
- **B:** The individual does not have a TIN for this country
- **C:** The country/jurisdiction does not require the entity to disclose its TIN. (**Note.** Only select this reason if the domestic law of the jurisdiction does not require the disclosure of the TIN issued by the jurisdiction.)

Name	Date of birth	Residential address	Country of tax residence	TIN or equivalent	Reason if TIN or equivalent not available
1					A B C
2					A B C
3					A B C
4					A B C
5					A B C
6					A B C

Please explain why you are unable to obtain a TIN if reason B is provided:

- 1
- 2
- 3
- 4
- 5
- 6

5. Declaration and signature

The account holder declares by signing this self-certification form that the information is true, complete and accurate and undertakes to advise Bank Australia promptly and provide an updated self-certification form within 30 days of any change in circumstances occurring, which causes any of the information contained in this form to be inaccurate or incomplete.

Further, the account holder acknowledges that the information contained in this form and information regarding the account holder/controlling person(s) and any reportable account(s) may be provided to the ATO and exchanged with tax authorities of another country or countries in which the account holder may be tax resident pursuant to intergovernmental agreements regarding the exchange of financial account information, or otherwise where required by law.

I/We as representatives of the account holder, acknowledge that any personal information collected may be used for purposes relating to the verification of identity and to review and correct discrepancies in the information recorded and stored.

I/We authorise Bank Australia to use and duplicate the data provided in this form internally for any account where the entity is identified as a beneficiary.

I/We certify that I am the representative of the account holder (or am authorised to sign for the account holder/controlling person) of all the account(s) to which this form relates.

Entity representative

Surname

Given names

Signature of the entity representative

Date

Place

Second representative

Surname

Given names

Signature of the second representative

Date

Place

Bank Australia may contact you to clarify information relating to this form.

Please indicate the best contact number we can reach you on:

Office use

Reasonableness Test performed

TIN/TFN number loaded in CBS

TIN/TFN redacted/black out

Has this form been scanned into Bizedocs

CRM activity completed

TIN/TFN closed if no longer current

Visit us at your nearest branch
bankaust.com.au/support/branches

Mailing something?
7-9 Seymour Street, Traralgon VIC 3844

Email us mail@bankaust.com.au
Talk to someone 132 888

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