

## TPT Wealth FATCA and CRS Details Form

### Why are we asking you to complete this self-certification tax form?

The collection of tax status is in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Organisation for Economic Cooperation and Development (OECD) Common Reporting Standard (CRS).

Under the CRS, we are required to determine where an account holder is 'tax resident' (this will usually be where you are liable to pay income taxes). If you are tax resident outside the country where your account is held, we may need to give the national tax authority this information, along with information relating to your accounts. That may then be shared between different countries' tax authorities. (You can find more information on the OECD automatic exchange of information website: [oecd.org/tax/automatic-exchange](http://oecd.org/tax/automatic-exchange)).

Completing this form will ensure that we hold accurate and up to date information about your tax residency. If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated self-certification tax form.

If you do not provide the below information, we will not be able to accept your application.

**Please note**, applications from US citizens or US residents who have an obligation to pay tax to the US tax authorities on their worldwide income will not be accepted.

### WHICH SECTION SHOULD I COMPLETE?

If you are an individual, joint individual or sole trader please complete 'Section A – Individual self-certification tax form'.

If you are an entity (e.g. company, trust, partnership, association, registered co-operative or government body) please complete 'Section B – Entity self-certification tax form'.

If the account is held for a deceased estate, a child or another individual, also complete 'Section A – Individual self-certification tax form'

### A INDIVIDUAL SELF-CERTIFICATION FORM

Please complete this section if you are an individual or sole trader or the account is held beneficially for a deceased estate, a child or another adult. The certification you provide should be for the beneficial owner not the registered/legal owner of the investment. If you are making an application for a deceased estate, please provide proof of death with the application documents e.g. death certificate, grant of probate or letters of administration. If your account is held on behalf of an entity e.g. a company, trust, partnership etc. please continue with 'Section A – Individual self-certification tax form'

#### Individual 1

Title	<input type="text"/>	Given Name(s)	<input type="text"/>	
Surname	<input type="text"/>			
Date of Birth	<input type="text" value="DD / MM / YYYY"/>			
Residential Street address or C/-	<input type="text"/>			
(Note: PO Box is not acceptable)	Suburb	State	P/Code	

Are you a tax resident of Australia?  Yes  No

Are you a tax resident of another country?  Yes  No  
 Please provide your Tax Identification Number (TIN) or equivalent below. If they are a tax resident of more than one country, please list all relevant countries below.

**No** Your tax certification is complete, please proceed to Section C.

A TIN is the number assigned by each country for the purpose of administering tax laws. This is the equivalent of a Tax File Number in Australia. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

- Reason A** The country of tax residency does not issue TINs
- Reason B** The individual has not been issued with a TIN
- Reason C** The country of tax residency does not require the collection of TINs

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>

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

## A INDIVIDUAL SELF-CERTIFICATION FORM CONTINUED

### Individual 2

Title	<input type="text"/>	Given Name(s)	<input type="text"/>	
Surname	<input type="text"/>			
Date of Birth	<input type="text" value="DD / MM / YYYY"/>			
Residential Street address or C/-	<input type="text"/>			
(Note: PO Box is not acceptable)	Suburb	State	P/Code	

Are you a tax resident of Australia?  Yes  No

Are you a tax resident of another country?  Yes  No  
Please provide your Tax Identification Number (TIN) or equivalent below. If they are a tax resident of more than one country, please list all relevant countries below.

No Your tax certification is complete please, proceed to Section C.

A TIN is the number assigned by each country for the purpose of administering tax laws. This is the equivalent of a Tax File Number in Australia. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

- Reason A** The country of tax residency does not issue TINs  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the collection of TINs

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2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>

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

Your tax certification is complete please, proceed to Section C.

## B ENTITY SELF-CERTIFICATION TAX FORM

Please complete this section if you are entity e.g. company, trust, partnership, association, registered co-operative or government body. Complete the ACN, ABN or other registration number field below so that we can check your details to the regulator's details.

### Identification of entity

Legal name of entity	<input type="text"/>		
ACN, ABN or other registration number	<input type="text"/>		
Residential Street address or C/-	<input type="text"/>		
(Note: PO Box is not acceptable)	Suburb	State	P/Code

## B ENTITY SELF-CERTIFICATION TAX FORM CONTINUED

### Tax Status

Please provide the entity's status by ticking one of the following boxes:

<input type="checkbox"/> An Australian regulated superannuation fund (including a complying SMSF retirement or pension fund)	If you selected this option, your tax certification is complete, please proceed to Section C
<input type="checkbox"/> Financial institution Includes: <ul style="list-style-type: none"> <li>• Investment entity</li> <li>• Specified insurance company</li> <li>• Custodian institution</li> <li>• Depository institution</li> </ul>	Please answer the following: Provide the Entity's Global Intermediary Identification number (GIIN), if applicable: <input style="width: 100%; height: 20px;" type="text"/>  If you do not have a GIIN, what is your financial institution status? (Tick one): <input type="checkbox"/> Deemed Compliant FFI (foreign financial institution) <input type="checkbox"/> Excepted FFI <input type="checkbox"/> Non-Participating FFI <input type="checkbox"/> Other (please specify below): <input style="width: 100%; height: 20px;" type="text"/>  If you are an Investment Entity (financial institution) are you located in a non-CRS participating jurisdiction and professionally managed by another financial institution? <input type="checkbox"/> Yes Please complete 'Country of tax residency' and 'Beneficial owners or controlling persons (individuals)' overleaf <input type="checkbox"/> No Your tax certification is now complete, please proceed to Section C
<input type="checkbox"/> A public listed company or a majority owned subsidiary of a public listed company (that is not a financial institution)	Please provide the name of the market or stock exchange where your company is listed: <input style="width: 100%; height: 20px;" type="text"/>  Please provide your company's unique exchange code here e.g. ASX Code, ticker code: <input style="width: 100%; height: 20px;" type="text"/>  Your tax certification is now complete, please proceed to Section C
<input type="checkbox"/> Governmental entity, international organisation, central bank or deceased estate	Your tax certification is now complete, please proceed to Section C If you represent a deceased estate, please provide proof of death.
<input type="checkbox"/> Non-financial entity (NFE) or (NFFE). This includes the following entity types: <ul style="list-style-type: none"> <li>• Private or proprietary company that is NOT a financial institution</li> <li>• Public unlisted company that is NOT a financial institution</li> <li>• Partnership</li> <li>• Trust</li> <li>• Co-operative</li> <li>• Association or club</li> <li>• Registered or non-registered charitable organisations</li> <li>• Other type of entity</li> </ul>	Is the NFE/NFFE active or passive? An entity is an active NFE if less than 50% of its income is passive and less than 50% of its assets produce or are held for the production of passive income. An NFE is passive if it does not fit the description of an active entity. <input type="checkbox"/> Active If active, please complete Country of tax residency overleaf <input type="checkbox"/> Passive If passive, please complete 'Country of tax residency' and 'Beneficial owners or controlling persons (individuals)' overleaf

## B ENTITY SELF-CERTIFICATION TAX FORM CONTINUED

### Country of tax residency

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

**Yes** Please provide the entity's country of tax residency and tax identification number (TIN) or equivalent below. If the entity is a tax resident of more than one other country, please list all relevant countries.

**No** Please proceed to the next applicable section

**Reason A** The country of tax residency does not issue TINs

**Reason B** The individual has not been issued with a TIN

**Reason C** The country of tax residency does not require the collection of TINs

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>

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

### Beneficial owners or controlling persons (Individuals)

Does the entity have any beneficial owners or controlling persons (i.e. any individual who directly or indirectly exercises control over the entity) who are tax residents of countries other than Australia?

For a trust, this includes all trustees, settlers, appointers or beneficiaries. For a company this includes any beneficial owners controlling more than 25% of the shares in the company or senior managing officials. For a partnership this includes partners.

**Yes** Please provide details of all these individuals below, including their foreign taxpayer Identification Number (TIN) or reason for not providing one from the list below.

**No** Your tax certification is complete please, proceed to Section C.

#### Individual 1

Title	<input type="text"/>	Given Name(s)	<input type="text"/>			
Surname	<input type="text"/>					
Date of Birth	<input type="text" value="DD / MM / YYYY"/>					
Residential Street address or C/-	<input type="text"/>					
(Note: PO Box is not acceptable)	Suburb	<input type="text"/>	State	<input type="text"/>	P/Code	<input type="text"/>

Are you a tax resident of Australia?  **Yes**  **No**

Are you a tax resident of another country?  **Yes**

Please provide your Tax Identification Number (TIN) or equivalent below. If they are a tax resident of more than one country, please list all relevant countries below.

**No** Your tax certification is complete, please proceed to Section C.

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2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>

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

#### Individual 2

Title	<input type="text"/>	Given Name(s)	<input type="text"/>			
Surname	<input type="text"/>					
Date of Birth	<input type="text" value="DD / MM / YYYY"/>					
Residential Street address or C/-	<input type="text"/>					
(Note: PO Box is not acceptable)	Suburb	<input type="text"/>	State	<input type="text"/>	P/Code	<input type="text"/>

## B ENTITY SELF-CERTIFICATION TAX FORM CONTINUED

- Reason A** The country of tax residency does not issue TINs  
**Reason B** The individual has not been issued with a TIN  
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1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>

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

### Individual 3

Title	<input type="text"/>	Given Name(s)	<input type="text"/>			
Surname	<input type="text"/>					
Date of Birth	<input type="text" value="DD / MM / YYYY"/>					
Residential Street address or C/-	<input type="text"/>					
(Note: PO Box is not acceptable)	Suburb	<input type="text"/>	State	<input type="text"/>	P/Code	<input type="text"/>

- Reason A** The country of tax residency does not issue TINs  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the collection of TINs

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2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN list reason A,B or C:	<input type="text"/>

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

If there are more beneficial owners/controlling persons provide details on a separate sheet and tick this box:

## C TERMS AND CONDITIONS

By signing this application the investor acknowledges and confirms that they:

- Are 18 years of age or over (otherwise applications must be made in the name of parent/guardian and signed by parent guardian).
- Received an electronic or paper copy of the PDS and Additional Information Booklet (if applicable) before or at the same time as you received this Application Form and have read and understood the PDS and Additional Information Booklet (if applicable) to the relevant Fund(s) to which this Application Form relates.
- Agree to be bound by the terms and conditions of the PDS, Additional Information Booklet, this Application Form and the terms of the Constitution of the relevant Fund(s) in which you are invested (which may be amended from time to time).
- Acknowledge that TPT Wealth reserves the right to refuse an application for units or interests at its discretion.
- Acknowledge that neither TPT Wealth nor any other person guarantees the return of capital, or the performance of any Fund.
- Acknowledge that telephone conversations with TPT Wealth may be recorded.
- Authorise TPT Wealth to apply the Tax File Number or Australian Business Number quoted to all investments in the name of the investor.
- Authorise TPT Wealth to collect, hold, use and disclose personal information about the investor in accordance with TPT Wealth's Privacy Policy including direct marketing.
- Confirm that they have the proper authority as detailed in the signatories terms and conditions section of the PDS, Additional Information Booklet and Application Form.
- Are not a politically exposed person

## D DECLARATION AND SIGNATURE

1. I/We have completed the FATCA/CRS form and declare that the certification provided on this form is correct to the best of my/our knowledge and belief.
2. I/We undertake to advise the recipient promptly and provide an updated FATCA and CRS form within 30 days where any change in circumstances occurs, which causes any of the information contained in this form to be inaccurate or incomplete.
3. Where legally obliged to do so, I/we hereby consent to TPT Wealth sharing this information with the relevant tax information authorities and I/we acknowledge they may exchange this information with other relevant tax authorities of other jurisdictions.
4. I/We acknowledge and agree TPT Wealth may disclose and transfer information contained in this form in accordance with the TPT Wealth Privacy Policy to its affiliates, representatives, agents and third party vendors for the purposes of automatic exchange of information relating to my/our Account(s).

Signature

Full name

Date

Signature

Full name

Date