

i This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.

Please refer to the end of this document for submission instructions, [explanatory notes](#).

Guide to completing this form

All customers are required by law to provide details of their country/ies of tax residency to their financial institution so these can be passed back to the relevant tax authority.

Please complete the following sections: **Organisation Details, Applicant Tax Residency Information, Organisation Tax Residency Information, Beneficial Owners information and Declaration.**

Use clear **BLOCK** letters.

1. Organisation Details

Name of entity/organisation

Organisation type

Registered Address

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country

2. Organisation Tax Information

Tax Residency Information

Instructions for completion:

- List all your countries of tax residency and your TIN for that country or 'Reason Code' if no TIN is available.
- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- If you are a US citizen or resident you must include USA as a country of tax residency.
- Tax residency information is not required for Publicly Listed Companies or Company Trustees.

For further instructions on how to complete this section see [explanatory notes #1](#) at the end of this application.

Country/ies of Tax Residency		Tax Identification Number (TIN)			
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN			
1	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
2	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C
3	<input type="text"/>	TIN: <input type="text"/>	OR	Reason Code:	<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Is your organisation's primary business activity investing?

Tick yes if the organisation earns more than 50% of its total income from investment activities (e.g. dividends, interest or rent) or more than 50% of the entities assets produce or are held for producing investment income.

Yes – Categorized as a Passive Organisation
 No – Categorized as an Active Organisation

3. Applicant/Director/Trustee Tax Residency Information

Tax Residency and Tax Identification Number (TIN)

Each country has different rules which govern tax residency. For individuals, these rules are often based on whether your home is there, the time you spend there, or if you work there. If you are unsure about your tax residency, you should seek professional advice. You can be a tax resident of more than one country.

Either a TIN or a reason code for no TIN for each country of tax residency is required to be provided.

Note the below:

- If the person is a US citizen or resident, you must include USA as one of your countries of tax residency.
- If the person has listed Australia as a country of tax residency, insert reason code C in the TIN column.

Tax Residency and Tax Identification Number (TIN)

- A. My country of tax residency does not issue TINs
- B. I have not been issued with a TIN by my country of tax residency
- C. My country of tax residency does not require disclosure of a TIN

Applicant/ Director/Trustee 1

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
Street address			
Suburb	State	Postcode	Country
Country/ies of Tax Residency	Tax Identification Number (TIN)		
	TIN:	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Applicant/ Director/Trustee 2

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
Street address			
Suburb	State	Postcode	Country
Country/ies of Tax Residency	Tax Identification Number (TIN)		
	TIN:	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Applicant/ Director/Trustee 3

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
Street address			
Suburb	State	Postcode	Country
Country/ies of Tax Residency	Tax Identification Number (TIN)		
	TIN:	OR	Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

4. Beneficial Owners Information

- Complete details for all Beneficial Owners (there must be at least one Beneficial Owner) in the below table.
- If there are more than four Beneficial Owners, please capture the additional Beneficial Owner/s in a separate sheet.

i **“Beneficial Owner”** means any individual who:

- Directly or indirectly owns an interest of 25% or more in the Organisation (such as shares), or if no such person, an individual who:
- Exercises control of the Organisation through other means (e.g. voting rights), or if no such person, an individual who:
- Holds the position of senior managing official (e.g. CEO, Managing Director, Managing Partner).

Applicant/ Director/Trustee 1

Same as Applicant 1

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
Street address			
Suburb	State	Postcode	Country
Country/ies of Tax Residency	Tax Identification Number (TIN)		
	TIN:		OR Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Applicant/ Director/Trustee 2

Same as Applicant 2

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
Street address			
Suburb	State	Postcode	Country
Country/ies of Tax Residency	Tax Identification Number (TIN)		
	TIN:		OR Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

Applicant/ Director/Trustee 3

Same as Applicant 3

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
Street address			
Suburb	State	Postcode	Country
Country/ies of Tax Residency	Tax Identification Number (TIN)		
	TIN:		OR Reason Code: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C

5. Declaration

Customer Declaration

- I confirm that above information is true and correct and that I will promptly advise AUSIEX if any of the information changes.
- I certify that I am authorised by, and have the consent of the organisation, any Beneficial Owners and any Applicant/Director/Trustee to provide this information.
- I am authorised by each Beneficial Owner and each Applicant/Director/Trustee to provide the information on their behalf and they have confirmed to me that the information provided about them is true and correct. I confirm I have made them aware that this information and information relating to the account may be provided to the tax authorities.

Account Holder/Director 1

Full name

Date – DD / MM / YYYY

 / /

Position

Signature – *Must be signed pen to paper*

Explanatory Notes

1. Tax Identification Number (TIN)

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries.

A compilation of links to information about TINs for many countries can be found here: <http://www.oecd.org/>

Return to: Section 2: Organisation Tax Information

Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in United Kingdom, Permanent Account Number (PAN) in India, IRD Number in New Zealand, and Tax Reference Number (TRN) in Malaysia.

How to submit your documents

Clients

Please provide your completed and signed form with relevant supporting documents to your adviser.

Advisers

Lodge this form and all supporting documents
ausiex.com.au > Administration > eSubmit

