

**Company or Trust in which the Investment is Held**

**Registered Name (s)**

**Registered Address**

**Securityholder Reference Number (SRN) or Holder Identification Number (HIN)**



**ADVANCED**  
SHARE REGISTRY

All correspondence and enquiries to:

110 Stirling Highway, Nedlands Western Australia 6009  
PO Box 1156, Nedlands Western Australia 6909  
Telephone: (08) 9389 8033  
Facsimile: (08) 9262 3723

Suite 8H, 325 Pitt Street, Sydney NSW 2000  
PO Box Q1736, Queen Victoria Building, NSW 1230  
Telephone: (02) 8096 3502

Website: [www.advancedshare.com.au](http://www.advancedshare.com.au)  
Email: [admin@advancedshare.com.au](mailto:admin@advancedshare.com.au)

**FATCA Self Certification Declaration Form - Entity**

- This form is only to be completed by entities.
- One self certification declaration per entity. If the securityholder is not an entity please complete the "FATCA Self Certification Declaration Form –Individual" form.
- Please note Advanced Share Registry cannot provide you with tax or legal advice. Should you require further information, please refer to the IRS website: [www.irs.gov](http://www.irs.gov) or the ATO website: [www.ato.gov.au](http://www.ato.gov.au). If you are still unsure, you should seek advice from a lawyer or tax adviser.
- This form is to be completed and signed in section 3 by at least one company director, company secretary or account signatory.
- Return completed forms to:
  - In person 110 Stirling Highway, Nedlands Western Australia 6009
  - By mail PO Box 1156, Nedlands Western Australia 6909
  - By email [admin@advancedshare.com.au](mailto:admin@advancedshare.com.au)
  - By fax +61 8 9262 3723

**1 Are any of the entities or organisations named on this form (including any account designation) a U.S. company, partnership, trust, association or other informal or legal arrangement established under the laws of the U.S or otherwise considered to be a Specified U.S. Person?**

No – Go to section 2

OR

Yes – Provide the Entity's U.S. Taxpayer Identification Number (TIN) and then go to section 3 if you have an account designation, otherwise go to section 3

**2 Are any of the entities or organisations named on this form (including any account designation) incorporated, established or organised outside of the United States?**

No – I am/we are a U.S. Entity or Specified U.S. Person/s – Continue with section 2

OR

Yes – Complete section 2A if you have a GIIN, otherwise complete section 2 and then go to section 3

**2A Global Intermediary Identification Number**

What is the non-U.S. Entity's GIIN?

Select the Entity type

Non-participating FFI

Participating FFI

**2B FATCA Status (only complete if the Non-U.S. entity does not have a GIIN)**

Provide the Entity's ABN, ARSN, ARBN or ACN (if relevant), then complete the FATCA Status and then go to section 2C (if applicable)

**Note: Your ABN will not be updated in the register for tax purposes. Australian entities and organisations wishing to avoid withholding tax deductions on taxable dividend, interest and distribution income, or any other income payments should update their TFN/ABN at [www.advancedshare.com.au](http://www.advancedshare.com.au).**

**Mark the appropriate box to indicate your FATCA status.**

**i) Non-U.S. Financial Institution (Mark one)**

Deemed Compliant Financial Institution  
  Non-Participating Financial Institution  
  Exempt Beneficial Owner  
  Excepted Financial Institution  
  Non Reporting IGA Financial Institution

OR

**ii) Active Non-Financial Foreign Entity (Active NFFE)** Examples include but are not limited to: a listed and regularly traded corporation or related entity; a government or central bank; or a charitable organisation. If you are unsure of your status, refer to the AUS/USA Intergovernmental Agreement (IGA), or seek your own legal or tax advice.

OR

**iii) Passive Non-Financial Foreign Entity (Passive NFFE)** Examples include but are not limited to: proprietary or private companies; partnerships; trusts or other informal or legal arrangements e.g. club or association, where 50% or more of the earnings are from investment or rental income sources. If you are unsure of your status, refer to the AUS/USA IGA, or seek your own legal or tax advice.

**Passive NFFE's, complete section 2c in relation to U.S. controlling persons**

**U.S. CONTROLLING PERSONS**

**2c Trusts or other legal Arrangements:** Are any of the governing members, responsible persons, partners, trustees, beneficiaries, appointers or settlors a Specified U.S. Person, a U.S. citizen or U.S. resident for tax purposes?

**Companies:** Are there any beneficial owners controlling, holding or owning 25% or more of the issued capital who are Specified U.S. Persons, U.S. citizens or U.S. residents for tax purposes?

No – Go to section 3

OR

Yes – Provide details of the U.S. individuals below and then go to section 3

Print Name(in Full)	Address(include country)	U.S. Taxpayer Identification Number (TIN)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3 The signatories acknowledge that they must re-certify if any of the information on this form changes or becomes invalid.**

On behalf of the entity named above, I declare that:

- To the best of my knowledge and belief all the information provided in this form is true, correct and reflects the entity's status for the purposes of FATCA; and
- I am authorised by law to sign on behalf of the entity. **Note:** at least one company director, company secretary or account signatory is required to sign.

**Please note:** If you are jointly authorised to sign this form, then the form must be signed by at least two of the jointly authorised persons.

Individual or Securityholder 1 <input type="text"/>	Securityholder 2 <input type="text"/>	Securityholder 3 <input type="text"/>
Sole Director and Sole Company Secretary	Director/Company Secretary	Director

Date  /  /

**Personal Information Collection Notification Statement:** Advanced Share advises that the *Tax Laws Amendment (Implementation of the FATCA Agreement) Act 2014*, which inserted Division 396–FATCA into Schedule 1 of the Taxation Administration Act 1953, requires that organisations seek information about your residency and/or citizenship status for United States tax purposes. The personal information and self-certification collected complies with the requirements of the Intergovernmental Agreement (IGA) entered into between the Australian and United States governments. Some or all of your personal information may be disclosed to the Australian Taxation Office (ATO), the U.S. Internal Revenue Service (IRS) or as required under other Australian or United States law. For further information about Advanced Share's privacy policy, visit our website at [www.advancedshare.com.au](http://www.advancedshare.com.au).