

La Trobe Financial is required to comply with the Foreign Account Tax Compliance Act (FATCA). If an investor is, or becomes, a United States of America (US) citizen or resident, La Trobe Financial may be required to report information in relation to the investor and the investment for FATCA purposes. If you are uncertain of your status, you should seek specialist taxation advice.

The Foreign Account Tax Compliance Act ("FATCA") is an Australian tax obligation imposed on all Australian financial institutions. The purpose of FATCA is to increase transparency regarding US citizens and residents who hold offshore assets.

La Trobe Financial is required to report, collect and identify directly to the Australian Tax Office various account-related information of all investors deemed to be a US citizen or tax resident or specified US entities established in the US or controlled by US persons.

This information is then made available to the IRS.

We are therefore obliged to collect information from our Investors as per below.

If this form is not completed, we may be required to report any non-compliance to the respective US authorities via the ATO.

Account Name:

Account No.:

Tick one box to indicate the relevant category and if required provide further information requested.

An individual who is a US citizen or resident of the US for tax purposes.

Please provide your US Taxpayer Identification Number (TIN)

A company, partnership, trust or association established under the laws of the US or a US taxpayer.

Please provide the entity's US Taxpayer Identification Number (TIN)

A financial institution or trust with a trustee that is a financial institution (eg: custodial, depository institution, an investment entity or a specified insurance company for FATCA purposes).

Please provide the entity's Global Intermediary Identification Number (GIIN)

If the financial institution does not have a GIIN, please tick one box to clarify its FATCA status:

GIIN applied for but not yet issued Non-Reporting Financial Institution (FFI)
(listed in Annex II of the Intergovernmental Agreement (IGA))

Resident of non IGA country or not otherwise subject to IGA:

deemed compliant exempt beneficial owner Non-Participating FFI GIIN applied for but not yet issued

A proprietary company, partnership, trust or association that is not a financial institution as described above and in the preceding reporting period either:

- earned 50% or more of its gross income from distributions, dividends, rental, interest or other investment income; or
- held 50% or more of its assets in shares, properties, bonds or similar investment assets that generate passive income.

If you ticked this category, are any of the (as relevant) shareholders holding a controlling interest (i.e. holding more than 25% of the company), or are any of the partners, beneficiaries, trustees or settlors US citizens or US taxpayers?

Yes. Please provide the following details:

Name (in full)

US Taxpayer
Identification Number (TIN)

Address

Name (in full)

US Taxpayer
Identification Number (TIN)

Address

Signature

Date