

Organisation Tax Residency Self-Certification

Guide to completing this form:

Financial Institutions are required by law to collect information about your tax residency .

You are not required to complete this form if the organisation is a Publicly Listed Company or a complying superannuation fund.

Please refer to the end of this document for submission instructions and definitions.

Section 1 – Organisation Details

Name of entity/organisation

Organisation type

Registered address (Cannot be a PO Box)

State

Postcode

Section 2 – Organisation Tax Information

Instructions for completion:

- List all of your organisation's countries of tax residency and TIN for that country or 'Reason Code' if no TIN is available
- Where the organisation has no residence for tax purposes, please provide the country in which key management decisions are made or the location of the principal office
- If you list Australia as a country of tax residency, select reason code C in the TIN column
- If you are listing more than three (3) countries of tax residency, please append an additional page containing these details

For further information on Tax Identification Numbers (TINs), refer to Definitions at the end of this form.

Country/ies of Tax Residency

List all country/ies of tax residency.

Tax Identification Number (TIN) or Reason for no TIN

1. Provide either TIN; OR

2. Select a 'Reason Code' if no TIN:

- A. The organisation's country of tax residency does not issue TINs
- B. The organisation has not been issued with a TIN by its country of tax residency
- C. The organisation's country of tax residency does not require disclosure of a TIN

1		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

Is your organisation's primary business activity investing?

Select 'Yes' if the organisation earns 50% or more of its total income from investment activities (e.g. dividends, interest or rent) or 50% or more of the organisation's assets produce or are held for producing this investment income.

☐ Yes – Categorised as a Passive Organisation
– Please proceed to [Section 3](#)

☐ No – Categorised as an Active Organisation
– Please skip to [Section 4](#)

Section 3 – Beneficial Owner and Controlling Persons Tax Residency Information

Instructions for completion:

- Complete details for all Beneficial Owners and Controlling Persons (there must be at least one Beneficial Owner/Controlling Person in the table).
- For an Unlisted Company – list ALL Shareholders whose shareholding is equal to or greater than 25% in the Organisation.
- For Trusts – list ALL Trustees, Beneficiaries, Settlers, Protectors, and any other person exercising effective ultimate control over the trust. Note: Where a Trustee, Beneficiary, Settlor or Protector is itself a Company or Trust, you must list the actual person(s) who are the ultimate beneficial owner(s) or controlling person(s).
- If a Beneficial Owner/Controlling Person is a US citizen or resident, you are required to declare the US as a country of tax residence and provide a US TIN for that Beneficial Owner/Controlling Person. For more information, please visit the US State Department's Joint FATCA FAQs at <https://travel.state.gov/content/travel/en/international-travel/while-abroad/federal-benefits-and-obligations-abroad.html>.

“Beneficial Owner and Controlling Person”

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 etc.).

Full Name	Residential Address	Date of Birth	Position	Country/ies of Tax Residency (please provide all country/ies of tax residency)	Tax Identification Number or Reason Code for no TIN (refer below for Reason Codes)

Select a ‘Reason Code’ if no 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

If Australia is a country of tax residence, you can choose reason code C as this is optional for Australia.

The above information is required for all Beneficial Owners/Controlling Persons. If the organisation has more than 5 Beneficial Owners/Controlling Persons then please append an additional page containing the details of the additional Beneficial Owner(s)/Controlling Person(s).

Section 4 – Declaration

Customer Declaration

- I confirm that above information is true and correct and that I will promptly advise the Bank if any of the information changes.
- I certify that I am authorised by, and have the consent of the organisation and all Beneficial Owners and Controlling Persons to provide this information.
- I am authorised by each Beneficial Owner and each Controlling Person 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.

Full name

Position

Signature (must be signed pen to paper)

Date signed (DD/MM/YYYY)

Explanatory Notes

Definitions

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/>

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, Social Security Number (SSN) in the United States and Tax Reference Number (TRN) in Malaysia.

Commonwealth Bank Geared Investments Loan is issued by Commonwealth Bank of Australia ABN 48 123 123 124 AFSL 234945. This product is administered by Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814 (CommSec), a wholly owned but non-guaranteed subsidiary of the Commonwealth Bank of Australia. CommSec is a Market Participant of ASX Limited and Cboe Australia Pty Limited, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty.

How to submit your documents


Clients

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

Advisers

Once completed and signed, please return the form by email to the details provided below.

 gearedinvestments@cba.com.au

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 commbank.com.au/gearedinvestment