

### GUIDE TO COMPLETING THIS FORM

- o This form is required for individuals who have not provided the required information to establish their United States (US) tax status or have been identified as a potential US taxpayer (e.g. they have a US address, phone number, place of birth, citizenship or dealings with the US).
- o This form must be completed in order to certify that:
  - a) The individual IS a US citizen or resident for tax purposes, **OR**
  - b) The individual IS NOT a US citizen or resident for tax purposes (additional documentation is required to supporting this certification).
- o Complete one form for each individual. Complete all applicable sections of this form in BLOCK LETTERS.
- o PLEASE NOTE: The individual may be treated as being a US taxpayer if the requested information is not provided.
- o Contact your licensee if you have any queries.

## SECTION 1: PERSONAL DETAILS

Surname

Date of Birth

dd/mm/yyyy

Full Given Name(s)

Residential Address (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

## SECTION 2: US TAX STATUS

Is the individual a US citizen or resident of the US for tax purposes?

Yes ☐

If yes, provide the individual's US Taxpayer Identification Number (TIN):

No ☐

If no, please go to section 3.

If the individual is a US citizen or resident of the US for tax purposes, please go to section 4 to finalise the form.

## SECTION 3: SUPPORTING EVIDENCE REQUIRED

*If the individual is not a US citizen or resident for tax purposes, additional identification documentation is required to support this status (as they have been identified as having a US address, phone number, place of birth, citizenship or dealings with the US).*

Tick ✓ the category that applies to you

☐

Born outside of the US, please complete 3.1 in this section, and then go to section 4 to finalise the form.

☐

Born in the US, please complete 3.2 in this section, and then go to section 4 to finalise the form.

### 3.1 Born outside of the US

| Tick ✓                   | Tick which of the documents you are providing                                                                                                        |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | A copy of a passport, birth certificate or travel document issued by a non US government, the United Nations or an agency of the United Nations*; or |
| <input type="checkbox"/> | A copy of a citizenship certificate issued by a non US Government*; or                                                                               |
| <input type="checkbox"/> | A copy of a driver's licence issued by a non US Government agency*.                                                                                  |

*\*Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.*

**3.2 Born in the US**

|                          |                                                                                                                                   |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <b>Tick ✓</b>            | Select ONE valid option from this section                                                                                         |
| <input type="checkbox"/> | A copy of a passport or travel document issued by a non US government, the United Nations or an agency of the United Nations*; or |
| <input type="checkbox"/> | A copy of a citizenship certificate issued by a non US Government*.                                                               |

**AND**

|                          |                                                                                       |
|--------------------------|---------------------------------------------------------------------------------------|
| <b>Tick ✓</b>            | Select ONE valid option from this section                                             |
| <input type="checkbox"/> | A copy of your certificate of loss of Nationality of the United States; or            |
| <input type="checkbox"/> | A reasonable explanation why you do not hold a certificate of loss of nationality; or |
| <input type="checkbox"/> | A reasonable explanation as to why you did not obtain US citizenship at birth         |

*If you selected an option above that requires an explanation, please provide the written explanation here:*

*\*Documents that are written in a language that is not English must be accompanied by an English translation prepared by an accredited translator.*

**SECTION 4: DECLARATION****IMPORTANT NOTE:**

- **Attach a legible copy of the documentation (and any required translation) AND**
- **Complete the Declaration section below (either the individual or their financial planner to sign)**

By completing and signing this declaration I certify that the information I have provided is true and correct.

**INDIVIDUAL DECLARATION (The person named in this form)**

Signature

Date

**OR****FINANCIAL PLANNER DECLARATION**

By completing and signing this declaration I certify that the individual named in this form has verbally or in writing confirmed to me the truth of the information provided and I have no reason to doubt its reasonableness.

AFS Licensee Name

AFSL No.

Representative/ Employee Name

Phone No.

Signature

Date