

Dated 4 December 2017

The US Foreign Account Tax Compliance Act (FATCA) requires us to collect certain information about each investor's US person status and FATCA classification. In certain circumstances we may be obliged to share information on your account with the Australian tax authorities which may share such information with the US Internal Revenue Services. If you have any questions about your US person status and FATCA status, please contact your tax adviser. Investors are required to provide information relevant to Australia's implementation of the OECD Standard for Automatic Exchange of Information in Tax Matters/Common Reporting Standard ("CRS").

## 1. Individual applicants (including sole trader)

Is the individual a US citizen or resident of a country other than Australia for tax purposes?

Yes       No

If YES, please provide the individual's US Taxpayer Identification Number (TIN) and information below:

	Country of residency	TIN	If no TIN state "nil" and list reason A, B, or C (see below)
Applicant 1	<input type="text"/>	<input type="text"/>	<input type="text"/>
Applicant 2	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Reason A:** The country of tax residency does not issue TINs to tax residents.

**Reason B:** The company has not been issued with a TIN.

**Reason C:** The country of tax residency does not require the TIN to be disclosed.

If there are more countries, provide details on a separate sheet and tick this box.

## 2. Company applicant

### Australian Companies

Select only ONE of the following categories and provide the requested information.

**2.1 Financial Institution**  
(A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable:

If the company does not have a GIIN, please provide its FATCA status:

If the company is a Financial Institution, this section is now complete.

**2.2 Non-Financial Public Company**  
(Public companies that are not Financial Institutions as described above)

If the company is a Public Company, this section is now complete.

## 2. Company applicant (continued)

### 2.3 Non-Financial Proprietary Company

(Proprietary companies that are not Financial Institutions as described above)

Are any of the beneficial owners US citizens or residents of the US for tax purposes?  Yes  No

If YES, provide the name and US Taxpayer Identification Number (TIN) of each beneficial owner who is a US citizen or resident of the US for tax purposes.

	Full given names	Surname	US TIN
1			
2			
3			
4			

If the company has more than four beneficial owners that are US citizens or US residents for tax purposes, please provide additional details on a separate page that is marked with the name of the company and attach it to this application form.

Tick here if you are including/have included details of additional beneficial owners.

### 2.4 Is the Company a tax resident of a country other than Australia?

Yes  No

If YES, please provide the Company's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Country of residency	TIN	If no TIN state "nil" and list reason A, B, or C (see below)

**Reason A:** The country of tax residency does not issue TINs to tax residents.

**Reason B:** The company has not been issued with a TIN.

**Reason C :** The country of tax residency does not require the TIN to be disclosed.

### Foreign Companies

If the Applicant Company is a Foreign Company, select only ONE of the following categories and provide the requested information:

FATCA Status (select only ONE of the following categories and provide the information requested)

### 2.5 United States Company

(A company created in the US, established under the laws of the US or a US taxpayer)

Is the company an exempt payee for US tax purposes?  Yes  No

If YES, proceed to section 2.

If NO, provide the company's US Taxpayer Identification Number (TIN):

If the company is a US Company, this section is now complete.

### 2.6 Financial Institution

(A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable:

If the company does not have a GIIN, please provide its FATCA status:

If the company is a Financial Institution, this section is now complete.

## 2. Company applicant (continued)

### 2.7 Non-Financial Public Company

(Public companies that are not Financial Institutions as described above)

If the company is a Public Company, this section is now complete.

### 2.8 Non-Financial Proprietary Company

(Proprietary companies that are not Financial Institutions as described above)

Are any of the beneficial owners of the company US citizens or residents or a resident of a country other than Australia for tax purposes?

Yes  No

If YES, please provide details of these individuals below and complete a separate Individual Identification Form for each.

#### Beneficial Owner (unless already provided previously)

	Full given names	Surname	Role
1			
2			
3			
4			

If the company has more than four beneficial owners that are US citizens or residents or residents of a country other than Australia for tax purposes, please provide additional details on a separate page that is marked with the name of the company and attach it to this application form.

Tick here if you are including/have included details of additional beneficial owners.

Is the Company a tax resident of a country other than Australia?  Yes  No

If YES, please provide the Company's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Country of residency	TIN	If no TIN state "nil" and list reason A, B, or C (see below)

**Reason A:** The country of tax residency does not issue TINs to tax residents.

**Reason B:** The company has not been issued with a TIN.

**Reason C:** The country of tax residency does not require the TIN to be disclosed.

## 3. Trust applicant

Australian regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete this section.

Provide the Trust or Trustee's Global Intermediary Identification Number (GIIN), if applicable:

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status:

**FATCA Status** (select only ONE of the following categories and provide the information requested):

### United States Trust

(A trust created in the US, established under the laws of the US or a US taxpayer)

Is the company an exempt payee for US tax purposes?  Yes  No

If YES, this section is now complete.

If NO, provide the trust's US Taxpayer Identification Number (TIN):

If the trust is a US trust, this section is now complete.

### 3. Trust applicant continued

#### Financial Institution or Trust with a Trustee that is a Financial Institution

(A trust that is primarily established for custodial or investment purposes or a Trust that has a Trustee that is a Financial Institution in its own right)

Provide the Trust or Trustees' Global Intermediary Identification Number (GIIN), if applicable:

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status:

If the Trust is a Financial Institution or has a Trustee that is a Financial Institution, this section is now complete.

#### Other

(Trusts that are not US Trusts, Financial Institutions or do not have Financial Institution Trustees)

Are any of the Trust's controlling persons a US citizen or tax resident of a country other than Australia?

Yes  No

If the Trustee is a company, are any of this company's Controlling Persons a US citizen or tax resident of a country other than Australia?

Yes  No

A Controlling Person is any individual who directly or indirectly exercises control over the Trust. For a Trust, this includes all Trustees, Settlers, Protectors or Beneficiaries. For a Trustee company this includes any beneficial owners controlling more than 25% of the shares in the company or Senior Managing Officials.

Provide the name, address and Taxpayer Identification Number (TIN) of each beneficiary, trustee, settlor or beneficial owner who is a US citizen or resident of a country other than Australia for tax purposes. Addresses are only required if they have not already been provided in this form.

#### US Person 1 or tax resident of a country other than Australia

Title	<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Ms	<input type="checkbox"/> Other (please specify)	<input type="text"/>
Given name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Residential Address	Unit/Street No.	<input type="text"/>	Street name	<input type="text"/>	
(A PO Box/RMB/ Locked Bag is not acceptable)	Suburb	<input type="text"/>			
	State	<input type="text"/>	Post code	<input type="text"/>	Country <input type="text"/>

#### US Person 2 or tax resident of a country other than Australia

Title	<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Ms	<input type="checkbox"/> Other (please specify)	<input type="text"/>
Given name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Residential Address	Unit/Street No.	<input type="text"/>	Street name	<input type="text"/>	
(A PO Box/RMB/ Locked Bag is not acceptable)	Suburb	<input type="text"/>			
	State	<input type="text"/>	Post code	<input type="text"/>	Country <input type="text"/>

If the trust has more than two beneficiaries/trustees/settlors/beneficial owners who are US citizens or residents of a country other than Australia for tax purposes, please provide the additional details on a separate piece of paper which is marked with the name of the trust and include it with this application form.

Tick here if you have included details of additional beneficiaries / trustees / settlors / beneficial owners.

Is the Trust a tax resident of a country other than Australia?  Yes  No

### 3. Trust applicant continued

If YES, please provide the Trust's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below.  
If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Country of residency

TIN

If no TIN state "nil" and list reason A, B, or C (see below)

**Reason A:** The country of tax residence does not issue TINs to tax residents.

**Reason B:** The company has not been issued with a TIN.

**Reason C:** The country of tax residence does not require the TIN to be disclosed.

### 4. Partnership applicant

Select only ONE of the following categories and provide the information requested.

#### United States Partnership

A partnership created in the US, established under the laws of the US or a US taxpayer)

Is the Partnership an exempt payee for US tax purposes?  Yes  No

If YES, this section is now complete.

If NO, provide the Partnership's US Taxpayer Identification Number (TIN):

If the Partnership is a US Partnership, this section is now complete.

#### Financial Institution

(A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the partnership's Global Intermediary Identification Number (GIIN), if applicable:

If the partnership does not have a GIIN, please provide its FATCA status:

If the partnership is a Financial Institution, this section is now complete.

#### Other

(Partnerships that are not US Partnerships)

Are any of the Partnership's Controlling Persons a US citizen or tax resident of a country other than Australia?

Yes  No

A Controlling Person is any individual who directly or indirectly owns or controls the Partnership and includes all Partners or Senior Managing Officials.

If YES, provide the name, address and Taxpayer Identification Number (TIN) of each partner who is a US citizen or resident of a country other than Australia for tax purposes.

#### US Partner 1 or tax resident of a country other than Australia

Title  Mr  Mrs  Ms  Other (please specify)

Given name(s)

Surname

Residential Address

Unit/Street No.

Street name

(A PO Box/RMB/ Locked Bag is not acceptable) Suburb

State

Post code

Country

#### 4. Partnership applicant continued

##### US Partner 2 or tax resident of a country other than Australia

Title  Mr  Mrs  Ms  Other (please specify)

Given name(s)

Surname

Residential Address Unit/Street No.  Street name

(A PO Box/RMB/ Locked Bag is not acceptable) Suburb

State  Post code  Country

If the partnership has more than two partners that are US citizens or residents of a country other than Australia for tax purposes, please provide the additional partners' details on a separate piece of paper which is marked with the name of the partnership and include it with this application form.

Tick here if you have included details of additional partners.

Is the Partnership a tax resident of a country other than Australia?  Yes  No

If YES, please provide the Partnership's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Country of residency	TIN	If no TIN state "nil" and list reason A, B, or C (see below)
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Reason A:** The country of tax residency does not issue TINs to tax residents.

**Reason B:** The company has not been issued with a TIN.

**Reason C:** The country of tax residency does not require the TIN to be disclosed.

#### 5. Declaration and signature(s)

I/We declare that all the details given in this Form are true and correct.

If I/We are giving instructions under authority of a power of attorney, I/we declare that:

- at the relevant time I/we are acting in that capacity and that the power of attorney is current and valid
- I/We have not received notice of revocation of that power and agree to provide a certified copy of the power of attorney if requested by Generation Life.

##### Applicant 1

Name (please print)

Signature  Date  /  /

Please select appropriate box  Investor  Director  Power of Attorney  
 Trustee  Parent/Guardian  Trustee of deceased estate

##### Applicant 2

Name (please print)

Signature  Date  /  /

Please select appropriate box  Investor  Director  Power of Attorney  
 Trustee  Parent/Guardian  Trustee of deceased estate

If your power of attorney has not previously been registered by us, we will require a certified copy of the power of attorney document as well as the appropriate proof of identification documents in accordance with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Law).

*Please retain a copy of this form for your records.*

**Form to be sent to**  
**Generation Life PO Box 263, Collins Street West, Melbourne VIC 8007**

**Enquiries**

Phone: 1800 806 362

Email: [enquiry@genlife.com.au](mailto:enquiry@genlife.com.au)

[www.genlife.com.au](http://www.genlife.com.au)

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