Guide to completing this form

- This form is to be completed by investors who are required to do so under the Application Form or if requested by Generation Life.
- Please ensure you have completed this form in FULL before signing and returning with your Application Form.
- Please use black ink and complete the applicable sections in BLOCK LETTERS.

As a financial institution, we are not able to give tax advice. Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.

Section 1
Investment details

1.1 Investment details

Do you have an existing Generation Life investment?

☐ Yes, please provide your existing investor number or bond number.

☐ No, please provide the name of the account.

You can find your investor or bond number on your statement.

This should be the same as the name on the Application Form.

Section 2
Foreign Account Tax Compliance Act (FATCA)

2.1 Select type of investor

☐ Individual/joint investors (go to section 2.2 and 2.3)

☐ Entities (go to section 2.4)

☐ Other entity types (go to section 2.4)
Section 1 / Investment details

Individual/joint investors

2.2 Individual 1
Please attach additional pages if there are more than two individuals.

Are you a Specified U.S person (as defined by the Australia / U.S. Intergovernmental Agreement to Improve International Tax Compliance and to Implement FATCA) for tax purposes?

[ ] Yes  [ ] No

If YES, please provide your US Taxpayer Identification Number (TIN)

[ ]

2.3 Individual 2

Are you a Specified U.S person (as defined by the Australia / U.S. Intergovernmental Agreement to Improve International Tax Compliance and to Implement FATCA) for tax purposes?

[ ] Yes  [ ] No

If YES, please provide your US Taxpayer Identification Number (TIN)

[ ]

Go to Section 3

Entities and other entity types

2.4 Entities and other entity types

Complete one of the following:

[ ] US trust, company or partnership

Please provide your US Taxpayer Identification Number (TIN)

[ ]

Is the trust, company or partnership exempt for US tax purposes?

[ ] Yes  [ ] No

Go to Section 3

OR

[ ] Financial institution or trust with a trustee that is a financial institution

Please provide your Global Intermediary Identification Number (GIIN), if applicable.

[ ]

If no GIIN is available, please provide the Entity’s FATCA status (as defined by the U.S. Internal Revenue Service – refer to www.irs.gov for further information).

[ ]

Go to Section 3

OR

Please indicate other entity type by selecting one of the following:

[ ] Passive NFFE - go to section 2.4 and 2.5

[ ] Other entity type (please indicate the Entity’s FATCA status (as defined by the U.S. Internal Revenue Service – refer to www.irs.gov for further information)

[ ]

Go to Section 3
### Controlling persons who are specified U.S. Persons

<table>
<thead>
<tr>
<th>2.5 Specified U.S. Persons</th>
<th>Does the Entity have any Controlling Persons who are Specified U.S. Persons (as defined by the Australia/U.S. Intergovernmental Agreement to improve International Tax Compliance and to Implement FATCA)?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>□ Yes, please complete below for each Controlling Persons. Attach additional pages if there are more than two.</td>
</tr>
<tr>
<td></td>
<td>□ No, go to section 3.</td>
</tr>
</tbody>
</table>

#### Specified U.S. Person 1

<table>
<thead>
<tr>
<th>2.6 Specified U.S. Person 1 details</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Given Name(s)/Company name</td>
<td></td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>US Taxpayer Identification Number (TIN)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.7 Residential address</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>PO Box / RMB / Locked Bag is not acceptable.</td>
<td></td>
</tr>
<tr>
<td>Suburb/City/Town</td>
<td></td>
</tr>
<tr>
<td>Postcode</td>
<td></td>
</tr>
<tr>
<td>State</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td></td>
</tr>
</tbody>
</table>

#### Specified U.S. Person 2 (if applicable)

<table>
<thead>
<tr>
<th>2.8 Specified U.S. Person 2 details</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Given Name(s)/Company name</td>
<td></td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>US Taxpayer Identification Number (TIN)</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.9 Residential address</th>
<th>Address</th>
</tr>
</thead>
<tbody>
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<tr>
<td>State</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td></td>
</tr>
</tbody>
</table>
## Section 3
### Common Reporting Standard (CRS)

**Tax residency**

### 3.1 Select type of investor

- [ ] Individual/joint investors (go to section 3.2 and 3.3)
- [ ] Other investors (go to section 3.4)

**Individual/joint investors**

Please complete the table below to indicate each country you are a tax resident and provide your Taxpayer Identification Number (TIN), or equivalent number for each such country. You should seek your own independent tax advice on whether you are tax resident of any particular country.

<table>
<thead>
<tr>
<th>Country of tax residence</th>
<th>TIN or equivalent number</th>
</tr>
</thead>
</table>

If no TIN or equivalent number, select reason (either A, B or C)

- [ ] Reason A - The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.
- [ ] Reason B - The account holder is otherwise unable to obtain a TIN or equivalent number.
  
  Please explain why you are unable to obtain a TIN above.

- [ ] Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

### 3.2 Individual 1

<table>
<thead>
<tr>
<th>Country of tax residence</th>
<th>TIN or equivalent number</th>
</tr>
</thead>
</table>

If no TIN or equivalent number, select reason (either A, B or C)

- [ ] Reason A - The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.
- [ ] Reason B - The account holder is otherwise unable to obtain a TIN or equivalent number.
  
  Please explain why you are unable to obtain a TIN above.

- [ ] Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

### 3.3 Individual 2

*(if applicable)*

<table>
<thead>
<tr>
<th>Country of tax residence</th>
<th>TIN or equivalent number</th>
</tr>
</thead>
</table>

If no TIN or equivalent number, select reason (either A, B or C)

- [ ] Reason A - The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.
- [ ] Reason B - The account holder is otherwise unable to obtain a TIN or equivalent number.
  
  Please explain why you are unable to obtain a TIN above.

- [ ] Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

**IMPORTANT:** Please attach additional pages, signed and dated, if the investor is a tax resident in more than one country. Once complete go to Section 4.
### 3.4 Other investor tax residency

**Is the account holder a tax resident of a country?**

- [ ] Yes

  Please complete the below to indicate where the account holder is a tax resident (that is, where the account holder is liable to pay tax) and provide your Taxpayer Identification Number (TIN), such as your US TIN, or equivalent number.

<table>
<thead>
<tr>
<th>Country of tax residence</th>
<th>TIN or equivalent number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**If no TIN or equivalent number, select reason (either A, B or C)**

- [ ] Reason A - The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

- [ ] Reason B - The account holder is otherwise unable to obtain a TIN or equivalent number.

  Please explain why you are unable to obtain a TIN above.

<table>
<thead>
<tr>
<th>Reason B explanation</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- [ ] Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

**OR**

- [ ] No

  Please provide the country where effective management takes place.

<table>
<thead>
<tr>
<th>Reason C</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**IMPORTANT:** Please attach additional pages, signed and dated, if the investor is a tax resident in more than one country. Go to Section 3.5.
Please indicate CRS entity classification by selecting one of the following:

**A** Financial institution – Investment entity (specify entity type below)
- An investment entity located in a non-participating jurisdiction and managed by another financial institution - go to Section 3.6
- Other investment entity - go to Section 4

**B** Other financial institution (specify entity type below)
- Depository institution - go to Section 4
- Custodial institution - go to Section 4
- Specified insurance company - go to Section 4
- Non-reporting financial institution - go to Section 4

You can only select this option if the entity type is contained within your local jurisdiction legislation where you are a resident.

**C** Active non-financial entity (NFE) - a corporation the stock of which is regularly traded on an established securities market. Please provide the name of the securities market on which the stock is regularly traded.

Go to Section 4

**D** Active NFE – a Related Entity of a corporation whose stock is regularly traded on an established securities market - go to Section 4

**E** Active NFE – a government entity - go to Section 4

**F** Active NFE – an international organisation - go to Section 4

**G** Active NFE – other than D to F (for example, a start-up NFE or a non-profit NFE) - go to Section 4

**H** Passive NFE - go to Section 3.6
Identification of controlling persons of any entity Account Holder

3.6 About controlling persons
A controlling person is the natural person(s) who exercises control over the entity. This will vary depending on the nature of the entity, ownership arrangements and may encompass direct or indirect ownership. For example, it includes:

- for a company other than a listed company, any person holding more than 25% of the company’s shares
- for a trust, the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

3.7 Description of types of controlling persons

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Controlling person of a legal person – control by ownership</td>
</tr>
<tr>
<td>B</td>
<td>Controlling person of a legal person – control by other means</td>
</tr>
<tr>
<td>C</td>
<td>Controlling person of a legal person – senior managing official</td>
</tr>
<tr>
<td>D</td>
<td>Controlling person of a trust – settlor</td>
</tr>
<tr>
<td>E</td>
<td>Controlling person of a trust – trustee</td>
</tr>
<tr>
<td>F</td>
<td>Controlling person of a trust – protector</td>
</tr>
<tr>
<td>G</td>
<td>Controlling person of a trust – beneficiary</td>
</tr>
<tr>
<td>H</td>
<td>Controlling person of a trust – other</td>
</tr>
<tr>
<td>I</td>
<td>Controlling person of a legal arrangement (non-trust) – settlor-equivalent</td>
</tr>
<tr>
<td>J</td>
<td>Controlling person of a legal arrangement (non-trust) – trustee-equivalent</td>
</tr>
<tr>
<td>K</td>
<td>Controlling person of a legal arrangement (non-trust) – protector-equivalent</td>
</tr>
<tr>
<td>L</td>
<td>Controlling person of a legal arrangement (non-trust) – beneficiary-equivalent</td>
</tr>
<tr>
<td>M</td>
<td>Controlling person of a legal arrangement (non-trust) – other-equivalent</td>
</tr>
</tbody>
</table>

3.8 Controlling person 1 details

<table>
<thead>
<tr>
<th>Given Name(s)</th>
<th>Surname</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please indicate type of controlling person (Refer to section 3.7)
eg. Type A, B, C.

Date of birth

Country of citizenship

3.9 Current Residential address

<table>
<thead>
<tr>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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PO Box / RMB / Locked Bag is not acceptable.

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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Country
3.10 Postal address

C/- (if applicable)

If different to residential address.

Address

Suburb/City/Town

Country

Postcode

State

3.11 Tax residency

Country of tax residence

TIN or equivalent number

If no TIN or equivalent number, select reason (either A, B or C)

Reason A - The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

Reason B - The account holder is otherwise unable to obtain a TIN or equivalent number.

Please explain why you are unable to obtain a TIN above.

Reason C - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

IMPORTANT: Controlling Person 1 must also sign this form at section 4

3.12 Controlling person 2 details

Given Name(s)

Surname

Please indicate type of controlling person (Refer to section 3.7)

eg. Type A, B, C.

Date of birth

D D / M M / Y Y Y Y

Country of citizenship
### 3.13 Current Residential address

<table>
<thead>
<tr>
<th>Address</th>
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<table>
<thead>
<tr>
<th>Country</th>
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</tbody>
</table>

### 3.14 Postal address

If different to residential address.

<table>
<thead>
<tr>
<th>C/- (if applicable)</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

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<tbody>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### 3.15 Tax residency

<table>
<thead>
<tr>
<th>Country of tax residence</th>
<th>TIN or equivalent number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If no TIN or equivalent number, select reason (either A, B or C)

- **Reason A** - The country where the account holder is liable to pay tax does not issue a TIN or equivalent number to its residents.

- **Reason B** - The account holder is otherwise unable to obtain a TIN or equivalent number.
  
  Please explain why you are unable to obtain a TIN above.

- **Reason C** - Authorities of the country of tax residence do not require the TIN or equivalent number to be disclosed.

**IMPORTANT:** Controlling Person 2 must also sign this form at section 4
Section 4
Acknowledgement and declaration

IMPORTANT: All investors must complete

I/We:
- represent and warrant that the information provided in this FATCA/CRS Self-Certification Form is accurate and complete in all respects on the date on which I/we sign this form and on each day thereafter until the termination of my/our investment or upon my notification of any change in circumstances which would lead to the certification becoming invalid
- agree to promptly notify Generation Life (being no later than 30 days) of any change in circumstance which would cause the representation and warranty above to be incorrect or misleading, and
- agree to the FATCA and CRS requirements set out in the relevant disclosure document for Generation Life Investment Bonds.
- Acknowledge that the information contained in this form may be exchanged with the tax authorities of another country in which I/we may be a tax resident (as advised on this form).

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.

4.1 Signature of Investor 1

Please select the origin and source of funds being invested

Investor [ ]
Trustee [ ]
Director/Company secretary [ ]
Parent/Guardian [ ]
Power of attorney [ ]
Trustee of deceased estate [ ]

Name (please print)

Signature

Date D D / M M / Y Y Y Y

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).

4.2 Signature of Investor 2

Please select the origin and source of funds being invested

Investor [ ]
Trustee [ ]
Director/Company secretary [ ]
Parent/Guardian [ ]
Power of attorney [ ]
Trustee of deceased estate [ ]

Name (please print)

Signature

Date D D / M M / Y Y Y Y

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4.3 Signature of Controlling Person 1
Name (please print)

Signature

Date
D D / M M / Y Y Y Y

If applicable, please refer to section 2.3.

4.3 Signature of Controlling Person 2
Name (please print)

Signature

Date
D D / M M / Y Y Y Y

If applicable, please refer to section 2.3.
FATCA/CRS Self Certification Form

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

Contact details

Email
Enquiries
enquiry@genlife.com.au
Form lodgements
forms@genlife.com.au

Phone enquiries
Investor services
1800 806 362
Adviser services
1800 333 657

Investment Bonds
LifeBuilder  |  ChildBuilder  |  FuneralBond

Generation Life is an Australian leader in investment bonds. We pride ourselves in providing an extensive investment menu with choice and quality for our investors.

genlife.com.au

Issued by: Generation Life Limited ABN 68 092 843 902 AFS Licence 225408