

# Foreign Account Tax Compliance Act (FATCA) Self-Certification Declaration



IJ Financial Services Limited (ACN 162 530 449, AFSL 443031) (Issuer), under FATCA, is required to report to the U.S. Internal Revenue Service information on U.S. citizens with financial accounts. Therefore, IJ Capital is obligated to determine the FATCA status of all Investors. Your signature on the Application form verifies that all information is correct and accurate including the information on this FATCA Self Certification Declaration in line with FATCA.

## Section 1: FATCA information for Individual applicants

### Registered email address for the investment account

Title:		Date of birth: (DD/MM/YYYY)	
Given name:		Surname:	
Tax File number (Individual and joint investors only)		US citizen or resident of the US for tax purposes (if applicable)	<input type="checkbox"/> Yes, please provide your taxpayer identification number (TIN) <input type="checkbox"/> No
Politically exposed person (PEP) details	<input type="checkbox"/> Yes, please describe your position <input type="checkbox"/> No <i>Please see <a href="http://www.austrac.gov.au">www.austrac.gov.au</a> for PEP definition</i>		
Non-resident of Australia, other than US citizen or tax resident (if applicable)	<input type="checkbox"/> Yes, please provide your taxpayer identification number (TIN) on the left column <input type="checkbox"/> No	Taxpayer identification number (TIN) 1: Your country of tax residence 1: Taxpayer identification number (TIN) 2: Your country of tax residence 2:	

## Section 2: FATCA information for Company applicants

Full name of the company	
ABN	
ACN	
Company organised or incorporated in the U.S. (if applicable)	<input type="checkbox"/> Yes, please provide company's Employer Identification Number (EIN): <input type="checkbox"/> No
Is the company a financial institution? <i>(If you are unsure, refer to the Definitions provided at the end of this declaration)</i>	<input type="checkbox"/> Yes, please provide Global Intermediary identification number: <input type="checkbox"/> Other, please specify any other FATCA status of the company (if any) <input type="checkbox"/> No
Are any of the directors or beneficial owners (who own more than 25% controlling shares) of the company U.S. citizens or residents of the U.S. for tax purposes?	<input type="checkbox"/> yes, please complete details of all such directors/beneficial owners below <input type="checkbox"/> No

### Information for directors/beneficial owner 1

Title:		Given name:	
Surname:		US TIN	
Residence Address:			

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Suburb:		State:	
Postcode:		Country:	

## Information for directors/beneficial owner 2

Title:		Given name:	
Surname:		US TIN	
Residence Address:			
Suburb:		State:	
Postcode:		Country:	

Complete this question only if the company is a non-U.S. incorporated, non-financial company, but has any director or beneficial owners of the company who are U.S. citizens or residents of U.S. for tax purposes.

In the preceding calendar year, did the Company either:

- a) earn more than 50% of its gross income from investment sources deriving distributions, dividends, rental, interest or other investment or income OR
- b) hold more than 50% of its assets in shares, properties, bonds or similar investment assets?

Yes     No

## Section 3: FATCA information for Trust applicants

Full name of the trust		
Trust's ABN/CAN (if applicable)		
Is this Trust a compliant superannuation fund (including self-managed super funds, employer sponsored funds, industry funds and public funds)	<input type="checkbox"/> Yes - please provide the Trust's Employer Identification Number (EIN) and Global Intermediary Identification Number. <input type="text"/> <input type="text"/> If yes, please answer the below question:  Are any of the trustees, beneficiaries, appointers or settlers of the trust U.S. citizens or residents of the U.S. for tax purposes? <i>Please notes: (If the Trustee/ Beneficiary is a Company, please complete Part 2 for the company.)</i>  <input type="checkbox"/> Yes - Complete details of all such trustees, beneficiaries, appointers or settlers below  <input type="checkbox"/> No	<input type="checkbox"/> No, please answer the below question:  Is the Trust a financial institution? (If you are unsure, refer to the Definitions provided at the end of this declaration)  <input type="checkbox"/> Other, please specify any other FATCA Status of the Trust (if any)  <input type="checkbox"/> No

## Information for directors/beneficial owner 1

Applicant type	<input type="checkbox"/> Trustee <input type="checkbox"/> Beneficiary <input type="checkbox"/> Appointer <input type="checkbox"/> Settler		
Title:		Given name:	
Surname:		US TIN	
Residence Address:			
Suburb:		State:	
Postcode:		Country:	

**Information for directors/beneficial owner 2**

Applicant type	<input type="checkbox"/> Trustee <input type="checkbox"/> Beneficiary <input type="checkbox"/> Appointer <input type="checkbox"/> Settler		
Title:		Given name:	
Surname:		US TIN	
Residence Address:			
Suburb:		State:	
Postcode:		Country:	

Complete this question only if the Trust is a non-U.S. incorporated, non-financial company, but has any director or beneficial owners of the company who are U.S. citizens or residents of U.S. for tax purposes.

In the preceding calendar year, did the Trust either:

- a) earn more than 50% of its gross income from investment sources deriving distributions, dividends, rental, interest or other investment or income OR
- b) hold more than 50% of its assets in shares, properties, bonds or similar investment assets?

Yes     No

**End of Declaration**

**Definitions**

**Financial Institution**

As defined by FATCA, a Financial Institution may be any of the following:

- Custodial Institution: that conducts a substantial business of holding financial assets for others
- Depository Institution: a bank or similar business that accepts deposits in the ordinary course of business
- Investment Entity: that conducts (or is managed by an entity that conducts)
  - Money market trading;
  - Portfolio management; or
  - investing, administering or managing funds or money, as a business on behalf of a customer (example include: responsible entities for managed funds, professional funds managers).
- Specified Insurance Company: issues a cash value insurance contract or annuity; but excludes small passive investment vehicles, such as family trust and personal investment companies, that are not managed by professional trustees or fund managers.