

Controlling Person: Self-Certification Declaration



Regulations based on the OECD Common Reporting Standard ("CRS") require Financial Institutions, IJ Financial Services Limited [ACN 162 530 449], [AFSL 443031], Investup Securities Pty Ltd [ACN 670 384 924], [AFSL 557683], and IJ Funds Management Pty Ltd [ACN 632 345 905], [Authorised Representative No: 001276584], collectively identified as IJ Capital, to collect and report certain information about an Account Holder's tax residence. If you are tax resident of any country outside Australia, we may be legally required to pass on the information provided in this form (and other financial information about the financial account(s) to which this form relates), to the Australian Taxation Office ("ATO"). The ATO may exchange this information with tax authorities of other jurisdictions.

Section 1: Individual Information

Registered email address for the investment account

Title:		Date of birth: (DD/MM/YYYY)	
Given name:		Surname:	
Date of Birth:		Country of Birth:	
Residence Address:			
Suburb:		State:	
Postcode:		Country:	

Section 2: Tax Residence

Jurisdiction of Tax Residence 1		Taxpayer Identification Number (TIN) 1	
Jurisdiction of Tax Residence 2		Taxpayer Identification Number (TIN) 2	
Jurisdiction of Tax Residence 3		Taxpayer Identification Number (TIN) 3	
Jurisdiction of Tax Residence 4		Taxpayer Identification Number (TIN) 4	

Section 3: Declarations and acknowledgements

Please provide the controlling person's status by ticking the appropriate box.

If the Controlled Entity is a company, corporation (or similar legal arrangement), please select among the following types:

- ☐ Owner (direct or indirect)
☐ Controlling Person by other means
☐ Senior Management Official (Note: this only applied where no natural person exerts control through ownership interests)

If the Controlled Entity is a trust, please select among the following types:

- ☐ Settlor
☐ Trustee
☐ Protector
☐ Beneficiary
☐ Other (please specify):

If the Controlled Entity is another legal arrangement (non-trust), please select among the following types:

- ☐ Settlor
☐ Trustee

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- ☐ Protector
☐ Beneficiary
☐ Other (please specify):

- I/We acknowledge and agree that information contained in this form and information regarding the Entity Account Holder and any Reportable Account(s) may be reported to the ATO, and they may exchange this information with the country or countries in which I/we may be resident for tax purposes.
- I/We undertake to advise IJ Financial Services Limited (ACN 162 530 449, AFSL 443031) (within 30 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete, by providing IJ Financial Services Limited with a suitably updated Self-Certification Declaration Form within 30 days of such change in circumstances.
- I/We certify that I am the Account Holder (or I am/we are authorised to sign for the Account Holder) of all the account(s) held by the entity to which this form relates.
- I/We certify that the tax residence jurisdictions provided above represent all jurisdictions in which I am/we are considered tax resident.
- I/We declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

Signature of applicant 1

Full name

Date

Tick capacity (mandatory for companies):

- ☐ Director and Company Secretary
☐ Director
☐ Secretary

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney and certified photo ID.

Further Information

For further information please contact us. Phone Investor Relations on 1300 533 776 or email contact@ijcapital.com.au.

Please refer to Common Reporting Standard available at <http://official.ijcapital.com.au/forms/>.

Your tax adviser may be able to assist you in answering specific questions on this form. Alternatively, you can find further information on the OECD Automatic Exchange of Information Portal or at the ATO's Foreign Tax Resident Reporting - Guide for Customers, Investors or other Account-Holders.

If an investor does not provide us with the required documentation, or wishes to remain undocumented for CRS purposes, IJ Capital will nevertheless be obliged to report the investor data (such as account balances and financial income) to the ATO.