

**Issuer Name**

**Full Name(s)  
of Registered  
Holding**

**Registered  
Address**

Post Code

All correspondence and enquiries to:



Smart Business Solutions  
GPO Box 3993  
Sydney NSW 2001

Tel: 1300 118 931 (within Aust)

Tel: + 61 2 8023 5455 (outside Aust)

[www.primewest.biz](http://www.primewest.biz)

E: primewest@boardroomlimited.com.au

**Reference Number  
(SRN)/(HIN)(UHN)(BHN)**

**You are required to insert this number**

**Automatic Exchange Of Information (AEOI) Self Certification Form**

Australia is one of many countries that has passed laws and entered into international agreements for the Automatic Exchange of Information (AEOI) to assist in making sure everyone pays the right amount of tax. As a result, issuers are required to identify foreign tax residents and report their details and relevant financial account information to the Australian Tax Office (ATO). The ATO will then exchange this information with other countries who have passed similar laws.

There are two AEOI laws that may affect you, the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

FATCA is a United States (US) regulatory requirement that aims to deter tax evasion by US taxpayers. Under FATCA, issuers are required to identify investors that hold certain "financial accounts" and are US persons or that are entities with substantial US owners. Information on accounts and investments held by these investors must be reported to the US Inland Revenue Service (IRS) via the ATO.

The Organisation for Economic Cooperation and Development (OECD) developed CRS for the collection, reporting and exchange of financial account information among participating countries. CRS requires issuers to capture tax residency information for all investors. Investors are required to self-certify their residence for tax purposes. If they are a foreign tax resident, they are required to supply their TIN (tax identification number or equivalent). Where the investor is an entity, issuers may also require a certification of tax information from individuals associated with the entity, such as beneficial owners. Issuers are required to report this information to the ATO who are responsible for passing it on to the relevant tax authority.

**Section 1: Individual(s) or Sole Trader only (all other investor types proceed to the relevant Section 2, 3 or 4)**

Name of Individual 1

Date of Birth (dd/mm/yyyy)

**RESIDENTIAL ADDRESS** (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Name of Individual 2

Date of Birth (dd/mm/yyyy)

**RESIDENTIAL ADDRESS** (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

Name of Individual 3

Date of Birth (dd/mm/yyyy)

**RESIDENTIAL ADDRESS** (PO Box is NOT acceptable)

Street

Suburb

State

Postcode

Country

**TAX INFORMATION**

**PLEASE ANSWER BOTH TAX QUESTIONS:**

**INDIVIDUAL 1**

Are you a tax resident of Australia?  Yes  No

Are you a tax resident of another country?  Yes  No **▶ If you are not a tax resident of another country and there are no further individuals proceed to Section 5 Signatures**

**If you are a tax resident of a country other than Australia**, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below. Once completed, please proceed to Section 5 Signatures.

If a TIN is not provided, please list one of the three reasons specified (A,B or C) for not providing a TIN.

*A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.*

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

*If there are more countries, provide details on a separate sheet.*

- Reason A** The country of tax residency does not issue TINs to tax residents
- Reason B** The individual has not been issued with a TIN
- Reason C** The country of tax residency does not require the TIN to be disclosed

**INDIVIDUAL 2**

Are you a tax resident of Australia?  Yes  No

Are you a tax resident of another country?  Yes  No **▶ If you are not a tax resident of another country and there are no further individuals proceed to Section 5 Signatures**

If you are a tax resident of a country other than Australia, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below. Once completed, please proceed to Section 5 Signatures.

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

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2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

*If there are more countries, provide details on a separate sheet.*

**Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed

### INDIVIDUAL 3

Are you a tax resident of Australia?  Yes  No

Are you a tax resident of another country?  Yes  No **If you are not a tax resident of another country and there are no further individuals proceed to Section 5 Signatures**

If you are a tax resident of a country other than Australia, please provide your Tax Identification Number (TIN) or equivalent below. If you are a tax resident of more than one country, please list all relevant countries below. Once completed, please proceed to Section 5 Signatures.

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

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3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

*If there are more countries, provide details on a separate sheet.*

**Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed

## Section 2: Self Managed Superannuation Fund

Are you a trustee of a regulated superannuation fund?  Yes

If Yes, provide the ABN for the superannuation fund

**► Proceed to Section 5 Signatures**

*Regulated superannuation fund: means self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or semi-government superannuation funds and pool super trusts.*

## Section 3: Deceased Estate

Is the investment held by a person/s or an entity acting in the capacity of a deceased estate?  Yes **► Proceed to Section 5 Signatures**

## Section 4: Companies and Non-Superannuation Trusts

Name of Company/Non-Superannuation Trust

If you are a company, please provide the country of incorporation

Provide the ABN, ARBN or ACN for the Company

Are you a Financial Institution?  Yes  No

If Yes, provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company is a Financial Institution but does not have a GIIN, provide its FATCA status (select one of the following statuses)

Deemed Compliant Financial Institution  Non Reporting IGA Financial Institution  
If the Entity is a Trustee-Documented Trust, provide the Trustee's GIIN \_\_\_\_\_

Excepted Financial Institution

Non participating Financial Institution

Exempt Beneficial Owner

Other (describe the FATCA status in the box provided)

Are you a Financial Institution that is an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?

Yes

No

▶ If Yes, proceed to Controlling Person section below

Are you a public company listed on a Stock Exchange?

Yes

No

▶ If Yes, proceed to Section 5 Signatures

Are you an Active Non Financial Entity?

Yes

No

▶ If Yes, proceed to Section 5 Signatures

Are you another entity? i.e. Passive Non-Financial Entity (Passive NFE)

Yes

No

▶ If Yes, proceed to next question

Are you a Passive NFE that has any Controlling Persons who are resident of another country for tax purposes?

Yes

No

▶ If No, proceed to Section 5 Signatures

**Name of Controlling Person 1**

Date of Birth (dd/mm/yyyy)

/
/

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1. Country		TIN		If no TIN, list reason A, B or C	
2. Country		TIN		If no TIN, list reason A, B or C	
3. Country		TIN		If no TIN, list reason A, B or C	

*If there are more countries, provide details on a separate sheet.*

**Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed

**Name of Controlling Person 2**

Date of Birth (dd/mm/yyyy)

/
/

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2. Country		TIN		If no TIN, list reason A, B or C	
3. Country		TIN		If no TIN, list reason A, B or C	

*If there are more countries, provide details on a separate sheet.*

**Reason A** The country of tax residency does not issue TINs to tax residents  
**Reason B** The individual has not been issued with a TIN  
**Reason C** The country of tax residency does not require the TIN to be disclosed

**Name of Controlling Person 3**

Date of Birth (dd/mm/yyyy)

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
2. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3. Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

If there are more countries, provide details on a separate sheet.

- Reason A** The country of tax residency does not issue TINs to tax residents
- Reason B** The individual has not been issued with a TIN
- Reason C** The country of tax residency does not require the TIN to be disclosed

Please use a separate piece of paper to identify further Controlling Persons

**Section 5 Signatures**

I/We acknowledge that the statements made in this form are, to the best of my knowledge and belief, correct and complete.

I/We acknowledge that the information contained in this form may be reported to the Australian Tax Office and exchanged with tax authorities of another jurisdiction or jurisdictions in which I may be a tax resident where those jurisdictions have entered into Agreements to exchange Financial Account Information.

I/We undertake to advise you within 30 days of any change in circumstances which affects the tax residency status of the account holder identified in the form or causes the information contained herein to become incorrect or incomplete, and to provide you with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

**SIGNATURE(S) OF SECURITYHOLDERS THIS MUST BE COMPLETED BY ALL SECURITYHOLDERS**

- Individual:** This form is to be signed by the securityholder.
- Joint:** Where the holding is in more than one name, all the if the securityholders must sign.
- Power of Attorney:** To sign as Power of Attorney, you must have already lodged it with the registry. Alternatively, attach a certified copy if the Power of Attorney with this form.
- Companies:** Two Directors, Director & Company Secretary, or Sole Director and Sole Company Secretary can sign. Please indicate the office held by signing in the appropriate space.

**INDIVIDUAL OR SECURITY HOLDER 1**  
(Sole Director and Sole Company Secretary)

**SECURITYHOLDER 2**  
(Director)

**SECURITYHOLDER 3**  
(Director/Company Secretary)

**Signature**

**Signature**

**Signature**

**Date (dd/mm/yyyy)**

**Date (dd/mm/yyyy)**

**Date (dd/mm/yyyy)**

## PRIVACY STATEMENT

The personal information in this form is collected by Boardroom Pty Limited ("Boardroom"), as registrar for the issuer of the securities you hold. Boardroom's privacy policy can be viewed on our website ([www.boardroomlimited.com.au](http://www.boardroomlimited.com.au)). Your personal information is required for administration of the register of securityholdings and to comply with Boardroom's and the issuer's legal and reporting obligations including under the FATCA and CRS regime. Should some or all of the requested information not be provided, correct administration of your securityholding may not be possible. In accordance with Boardroom's privacy policy, your personal information may be disclosed to the issuer of the securities you hold, its or our related bodies corporate, external service companies such as print or mail service providers, regulatory authorities including the Australian Taxation Office or otherwise as permitted by law. If, in accordance with the provisions of the Corporations Act the issuer of the securities you hold approves, you may be sent marketing material in addition to general corporate communications. You may elect not to receive marketing material by contacting Boardroom. You can obtain access to your personal information and (if required) advise of any incorrect, inaccurate or out of date data information held, by contacting Boardroom on 1300 737 760.

## OTHER INFORMATION

### FORM DEFINITIONS

<b>Active NFE</b>	<p>An NFE that meets any one of the following definitions:</p> <ul style="list-style-type: none"><li>• Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income.</li><li>• Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.</li><li>• A Charity.</li></ul>
<b>Central Bank</b>	<p>An institution that is by law or government sanction the principal authority, other than the government of the jurisdiction itself, issuing instruments intended to circulate as currency. Such an institution may include an instrumentality that is separate from the government of the jurisdiction, whether or not owned in whole or in part by the jurisdiction.</p>
<b>Charity</b>	<p>An NFE that meets all of the following criteria:</p> <ol style="list-style-type: none"><li>1. it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare</li><li>2. it is exempt from income tax in its jurisdiction of residence</li><li>3. it has no shareholders or members who have a proprietary or beneficial interest in its income or assets</li><li>4. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or noncharitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased</li><li>5. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.</li></ol>
<b>Controlling Persons</b>	<p>A Controlling Person is any natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.</p>
<b>Deemed compliant Financial Institution</b>	<p>This includes:</p> <ul style="list-style-type: none"><li>• Retirement savings accounts, employee share schemes, first home saver accounts, funeral policies, scholarship plans, certain life insurance policies and contracts, accounts held by an estate (eg deceased estates) and escrow accounts; and</li><li>• Financial Institutions that only have an Australian client base, Local Banks and Financial Institutions that only have low-value accounts, qualified credit card issuers, Sponsored Investment Entities and certain Investment Managers and investment vehicles owned by other Deemed Compliant FIs.</li></ul> <p>Please find a full definition of Deemed Compliant Financial Institution in paragraph III of Annex II of the Intergovernmental Agreement between the United States of America and Australia.</p>
<b>Entity</b>	<p>A legal person (which, for the avoidance of doubt, excludes a natural person) or a legal arrangement such as a trust.</p>
<b>Excepted Financial Institution</b>	<p>A Foreign Financial Institution that can rely on an exemption under the FATCA regulations.</p>
<b>Exempt Beneficial Owner</b>	<p>This includes:</p> <ul style="list-style-type: none"><li>• Superannuation funds: any plan scheme, fund, trust or other arrangement operated principally to administer or provide pension or retirement, superannuation or death benefits;</li><li>• Any entity that is wholly owned by a superannuation fund or conducts investment activities, accepts deposits from, or holds financial assets exclusively for or on behalf of, one or more superannuation funds;</li><li>• Government entities: Australian Government entities (including Federal, State, Territory or local government), any wholly owned agency of Australia and certain entities listed in Annex II of the IGA eg The Clean Energy Finance Corporation, the Future Fund, the New South Wales Treasury Corporation etc);</li><li>• Any international organisation or wholly owned agency of an international organisation, including any intergovernmental organisation (including a supranational organisation the income of which does not inure to the benefit of private persons and that has signed an intergovernmental agreement with the Government of Australia); and</li><li>• A Financial Institution that is an Investment Entity that is wholly owned by a superannuation fund, government entity or international organisation.</li></ul>
<b>FATCA Status</b>	<p>Where a financial institution does not have a GIIN they will need to provide their FATCA status. This status can ONLY be one of the following:</p> <ol style="list-style-type: none"><li>1. Non reporting IGA FI (listed in Annex II of an IGA)</li><li>2. Deemed compliant FI</li><li>3. Excepted FI</li><li>4. Exempt beneficial owner</li><li>5. Non participating FI</li><li>6. GIIN applied for but not yet issued.</li><li>7. US Financial Institution E</li></ol>

<b>Financial Institution (FI)</b>	<p>A financial institution is an entity (e.g. company, partnership or trust) that engages in one of the following:</p> <ul style="list-style-type: none"> <li>• accepts deposits in the ordinary course of a banking or similar business (depository institution);</li> <li>• holds as a substantial portion of its business (equals or exceeds 20 percent of the entity's gross income) financial assets for the account of others (custodial institution);</li> <li>• is an investment entity including entities that trade in financial assets or that are investing, administering, managing funds, money, or certain financial assets on behalf of other persons;</li> <li>• is an insurance company; or</li> <li>• is an entity that is a holding company or treasury centre that is a part of a group that includes one of the above.</li> </ul>
<b>Global Intermediary Identification Number (GIIN)</b>	A Global Intermediary Identification Number (GIIN) is a unique ID number that non-US financial institutions receive from the IRS when they register as a financial institution for FATCA.
<b>Intergovernmental Agreement</b>	The Intergovernmental Agreement between the United States of America and Australia and information about it can be found by searching "FATCA" on the Australian Treasury website: <a href="http://www.treasury.gov.au">http://www.treasury.gov.au</a>
<b>Managed by another Financial Institution</b>	<p>An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the following activities or operations: trading in money market instruments; foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading.</p> <p>An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part).</p> <p>Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity that performs the above trading functions, if any of the managing Entities is such an Entity.</p>
<b>Non-Financial Entity (NFE)</b>	An NFE means any entity that is not a financial institution. An NFE may be an Active NFE or a Passive NFE.
<b>Non Participating Financial Institution</b>	Term is defined in relevant US Treasury Regulations, but does not include an Australian Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution treated as a Nonparticipating Financial Institution pursuant to subparagraph 2(b) of Article 5 of the Intergovernmental Agreement between the United States of America and Australia.
<b>Non Reporting Australian Financial Institution</b>	Any Australian Financial Institution, or other Entity resident in Australia, that is described in Annex II as a Non-Reporting Australian Financial Institution or that otherwise qualifies as a deemed-compliant FFI or any exempt beneficial owner under relevant US Treasury Regulations.
<b>Passive NFE</b>	A passive NFE means any NFE that is not an Active NFE.
<b>Public listed company</b>	<p>The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market.</p> <p><b>Regularly Traded</b> – Meaningful volume of trading with respect to the stock on an on-going basis.</p> <p><b>Established Securities Market</b> – An exchange that is officially recognised and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.</p> <p><b>Related Entity</b> – An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.</p>
<b>Settlor</b>	Settlors are natural or legal persons who transfer ownership of their assets to trustees by means of a trust deed or similar arrangement.
<b>Tax Identification Number (TIN)</b>	A TIN is the number assigned by each country for the purpose of administering tax laws. For example, a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified for not providing a TIN.
<b>Tax Residency</b>	<p>Tax Residency rules differ by country. Whether the individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For entities, these rules are often based on where the entity is established/incorporated, carried on business or is managed/controlled.</p> <p>For the US, for individuals, tax residency can be a result of citizenship or residency.</p> <p>If you are unsure of your tax residency, there is helpful guide on the ATO website <a href="https://www.ato.gov.au/individuals/international-tax-for-individuals/in-detail/foreign-residents-reporting/foreign-tax-resident-reporting/">https://www.ato.gov.au/individuals/international-tax-for-individuals/in-detail/foreign-residents-reporting/foreign-tax-resident-reporting/</a>. [^] Alternatively you should contact your tax adviser.</p>

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