

i This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.

- This form can be used to add your Tax File Number (TFN), Tax Identification Number (TIN), Exemption Code/s, Tax Residency Information or Australian Business Number (ABN) to your trading account/s.
- AUSIEX is required by law to request clients provide details of their country/ies of tax residency as part of our obligations under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).
- For formal trusts established by a trust deed, the relevant TFN is the TFN of the formal trust, e.g. Self-Managed Superannuation Funds. For informal trusts, e.g. minor, where there are no formal arrangements in place, the relevant TFN is the TFN of the trustee/s.

Refer to the end of this document for submission instructions, [explanatory notes](#) and [help](#).

1. Account Details – Mandatory

Share trading account number/s

Trading account name/s

2. Account Holder Information – Mandatory

Applicant/Account Operator/Trustee 1

Full name

Date of birth – DD/MM/YYYY

 / /

Applicant/Account Operator/Trustee 2 – If applicable

Full name

Date of birth – DD/MM/YYYY

 / /

3. Account Holder Tax File Number (TFN)

For further instructions on how to complete this section, see [explanatory notes #1](#) at the end of this application.

Applicant/Account Operator/Trust/Company 1

Tax File Number (TFN) or Exemption Code

Applicant/Account Operator 2 – If applicable

Tax File Number (TFN) or Exemption Code

4. Australian Business Number (ABN)

For further instructions on how to complete this section, see [explanatory notes #1](#) at the end of this application.

Company name

Company Australian Business Number (ABN) or Exemption Code

5. Individual, Trust or Company Tax Residency Information

Instructions for completion:

- List all your countries of tax residency and your TIN for that country or 'Reason Code' if no TIN is available.
- If you list Australia as a country of tax residency, select 'Reason Code' C in the TIN column.
- If you are a US citizen or resident you must include USA as a country of tax residency.
- Tax residency information is not required for Publicly Listed Companies or Company Trustees except where lodging managed funds as collateral.

For further instructions on how to complete this section see [explanatory notes #2](#) at the end of this application.

Applicant/Account Operator/Trust 1 or Company

Country/ies of Tax Residency		Tax Identification Number (TIN)						
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

Applicant/Account Operator 2 – If applicable

Country/ies of Tax Residency		Tax Identification Number (TIN)						
List all country/ies of tax residency.		1. Provide either TIN; OR 2. Select a 'Reason Code' if no TIN: A. My country of tax residency does not issue TINs B. I haven't been issued with a TIN by my country of tax residency C. My country of tax residency doesn't require disclosure of a TIN						
1		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
2		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C
3		TIN:		OR	Reason Code:	<input type="radio"/> A	<input type="radio"/> B	<input type="radio"/> C

6. Important Information

- We are authorised by the Taxation Administration Act 1953 and the Income Tax Assessment Act 1936 to collect your TFN.
- Providing your TFN, Exemption Code or ABN is not compulsory, but if you do not provide the applicable information, tax may be taken out of dividends and distributions at the highest marginal tax rate plus Medicare levy or you will need to supply your TFN or Exemption Code to share registries directly for any holdings on your Holder Identification Number to avoid tax being withheld at the highest marginal rate from any dividends or other payments. It is not an offence to not provide your Tax File Number.
- If you quote your TFN, TIN, Exemption Code or ABN, you authorise us to disclose it to our related bodies corporate, ASX Settlement Pty Limited, trustees, sponsors of your shareholdings and their agents, other issuers of securities and the Australian Taxation Office (collectively, the Recipients) for purposes relating to income from investments.
- When you provide us with your TFN, TIN, Exemption Code or ABN, these details will be applied to your profile, which means that for any subsequent trading accounts you open with us, your TFN, TIN, Exemption Code or ABN will be automatically applied to the subsequent account.
- Unless you instruct us otherwise, we consider that your authority to disclose your TFN, TIN, Exemption Code or ABN to the Recipients continues until you instruct us to remove these details from your profile. If you instruct us to remove these details from your profile, they will not be provided to the Recipients for any new accounts or for any new shareholdings unless required by law.

7. Declaration and Acknowledgement – Mandatory

All authorised signatories must sign this declaration.

I/We the undersigned (being the signatories):

1. declare that the information provided on this form is true and correct;
2. declare that (unless indicated in Section 5 above), I/we have Australian residency for taxation purposes;
3. declare that I/we have/are authorised to execute this document and, if signing under a power of attorney, I/we verify that, at the time of signing, I/we have not received a notice of revocation of that power;
4. authorise you to act in accordance with my/our instructions provided above; and
5. consent to the collection, use and exchange of my/our personal information as set out above and in the relevant Terms and Conditions.

Applicant/Director/Trustee 1

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Applicant/Director or Company Secretary/Trustee 2 – If applicable

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

 For joint, trust and company accounts, all authorised signatories to the account must sign this form.

Explanatory Notes

1. Australian Business Number (ABN), Tax File Number (TFN) or Exemption Code

Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy.

If you quote your TFN or ABN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Corporation, the provider of your cash management account, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.

2. Tax Identification Number (TIN)

If you are a tax resident of another country, you will be asked for your Tax Identification Number (TIN) issued to you in that country, if you have one.

TIN is an international term which may have a different name in some countries.

A compilation of links to information about TINs for many countries can be found here: <http://www.oecd.org/>

TFN and Trusts

Formal trust – established as a legal entity under a formal trust deed and has a TFN. Quote the TFN of the formal trust.

Informal trust – no formal arrangements in place e.g. minor, and there is no requirement for you to furnish a Trust income tax return to the Australian Taxation Office. Provide the Tax File Number/s of the Trustee/s.

Examples are Tax File Number (TFN) in Australia, Social Insurance Number (SIN) in Canada, Unique Taxpayer Reference (UTR) or National Insurance Number (NINO) in United Kingdom, and IRD Number in New Zealand.

Share Trading is a service provided by Australian Investment Exchange Limited (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Market Participant of the ASX Limited and Cboe Australia Pty Ltd, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Once completed and signed, please scan and email the form to

✉ info@equityandsuper.com.au

☎ 03 8533 2400 equityandsuper.coretrading.com.au

If you are required to send original certified copies of documents please send via post to:

📍 **Equity&Super**

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