



(continued)

- Non Participating Financial Institution
- US Financial Institution
- Other (describe the FATCA status in the box provided)

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution?  Yes  No

If Yes, proceed to Step 2.2 (Foreign Controlling Persons). If No, Please go to Step 3 to complete the form.

CRS Participating Jurisdictions can be found on the OECD website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction>.

OR

- A Public Listed Company, Majority Owned Subsidiary of a Public Listed Company, Governmental Entity, International Organisation, Central Bank, an Australian Registered Charity or Deceased Estate**

Please proceed to Step 3 to complete the form.

OR

- A Foreign Charity or an Active Non-Financial Entity (NFE)**

*(Active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of Active NFEs, refer to Section VIII in the Annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)*

Please proceed to Step 2.3 (Country of Tax Residency).

OR

- Other (Entities that are not previously listed – Passive Non-Financial Entities)**

Please proceed to Step 2.2 (Foreign Controlling Persons).

Does the entity have any Controlling Persons<sup>#</sup> who are tax residents of countries other than Australia?  Yes  No

<sup>#</sup> A Controlling Person is any individual who directly or indirectly exercises control over the entity. For a company, this includes any individuals controlling more than 25% of the shares in the company. For a Trust, this includes Trustees, Settlers or Beneficiaries.

If Yes, please provide the details of these individuals below and complete a separate Tax residency self-certification form for each Controlling Person (unless already provided as Beneficial Owner).

