

ISSUED 22 MARCH 2023

# Individual Account Holder Self-Certification Form

Common Reporting Standard and Foreign Account Tax Compliance Act

## Legal obligations

Under the Common Reporting Standard (CRS) and Foreign Account Tax Compliance Act (FATCA) we are required to collect certain information about an Account Holder's tax residence.

If you are a tax resident of a country other than Australia, we may be required to provide information collected in this form to the Australian Taxation Office (ATO). The ATO may exchange this information with the tax authorities of other jurisdictions.

Pendal is unable to provide tax advice in relation to your tax residency status and we suggest that you seek the advice of a tax adviser in answering specific questions in relation to this form.

## Read and complete all sections

- Use a **black** pen
- Print in clear CAPITAL letters
- Cross boxes where needed



### 1.0 Investor

**New Investor** – provide account name

**Existing Investor** – provide investor number

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### 2.0 Individual

An Account Holder is the person identified as the holder of a Financial Account. If you hold an account with someone else, each of you is considered an Account Holder.

MR MRS MISS MS OTHER:

**Given names**

**Last name**

**Date of birth**

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**Residential address** (PO Boxes are not accepted)

|                      |         |          |
|----------------------|---------|----------|
| <input type="text"/> |         |          |
| <input type="text"/> |         |          |
| STATE                | COUNTRY | POSTCODE |

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Continued next page ▶

### 3.0 Tax residency

TIN stands for Taxpayer Identification Number. TINs are assigned by a jurisdiction to an individual to identify them for the purposes of administering tax laws. – If you are a U.S. citizen or tax resident of the U.S., you must supply your U.S. TIN.

If you are a tax resident of any additional foreign countries provide details as an attachment.

Are you a U.S. citizen or a tax resident of any country other than Australia?

YES – provide details below

NO – go to 4 ▶

Country of tax residency 1

TIN

If TIN unavailable select reason (see below)\*

A B C – reason:

Country of tax residency 2 (if applicable)

TIN

If TIN unavailable select reason (see below)\*

A B C – reason:

\*A - The country/jurisdiction does not issue TINs to its residents

B - No TIN is required – select if the domestic law of the jurisdiction does not require a TIN.

C - The Account Holder is unable to obtain a TIN or equivalent – please explain the reason why

Details of acceptable TINs can be found at the OECD automatic exchange of information portal.

### 4.0 Declaration

Please read the Pental Privacy Policy before signing this form. It outlines how we may use, collect, disclose or access your personal information. Visit [pentalgroup.com/privacy](http://pentalgroup.com/privacy) or call us to obtain a copy.

By signing this form

- I acknowledge and agree that information in this form and other information in relation to my account may be provided to the ATO, and they may exchange this information with the relevant foreign jurisdictions.
- I consent to Pental using information provided in this form for all my investments in Pental funds I currently hold, for the purpose of CRS/FATCA reporting obligations.
- I undertake to advise Pental of any change in circumstance which causes the information contained herein to become incorrect or incomplete, and to provide Pental with a suitably updated Self-Certification form within 30 days on such change in circumstances.
- I acknowledge and agree that I have read and understood the Pental Privacy Policy and I consent to the collection, use and disclosure of my personal information by Pental (or any other member of the Pental group of companies) as described in the Pental Privacy Policy.
- I declare that all statements made in this form are, to the best of my knowledge, correct and complete.

### 4.1 Sign here

Signature

First name

Last name

Date

|   |   |   |   |   |   |   |   |
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| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

THIS FORM IS NOW COMPLETE

How to submit this Form



Mail: Apex Fund Services Unit Registry GPO Box 4584 Sydney NSW 2001



Email: [pental@apexgroup.com](mailto:pental@apexgroup.com)