

## FATCA Information (US Foreign Account Tax Compliant Act)

Complete this form if the investor or any entities related to the investment are USA citizens or residents of the USA for tax purposes.

Please indicate who is making the investment.

Investor Type	Go to
<input type="checkbox"/> Individual Investor(s)	Section A
<input type="checkbox"/> Companies	Section B
<input type="checkbox"/> Trusts and Trustees	Section C
<input type="checkbox"/> Partnership	Section D
<input type="checkbox"/> All Investors	Section E – Declaration

### Section A Individual Investor(s)

Is the individual a US citizen or resident of the US for tax purposes? Yes  No

If Yes, provide the individual's US Taxpayer Identification Number (TIN) below:

Full Given Name(s) and Surname	US TIN
1.	
2.	

If there are more than 2 Individual Investors that are US citizens or US residents for tax purposes, please provide additional details on a separate page that is marked with the name of the investment and attach it to this application form.

Tick here if you are including/have included details of additional investors.

### Section B Companies

**Australian Companies**

If the Applicant Company is an Australian Company, select only ONE of the following categories and provide the information requested:

**Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company does not have a GIIN, please provide its FATCA status

**Non-Financial Public Company** (Public companies that are not Financial Institutions as described above)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company does not have a GIIN, please provide its FATCA status

Are any of the beneficial owners US citizens or residents of the US for tax purposes? Yes  No

If yes, provide the name and US Taxpayer Identification Number (TIN) of each beneficial owner who is a US citizen or resident of the US for tax purposes

Full Given Name(s) and Surname	US TIN
1.	
2.	

If the company has more than two beneficial owners that are US citizens or US residents for tax purposes, please provide additional details on a separate page that is marked with the name of the company and attach it to this application form.

Tick here if you are including/have included details of additional beneficial owners.

### Foreign Companies

If the Applicant Company is a Foreign Company, select only ONE of the following categories and provide the information requested

**United States Company** (A company created in the US, established under the laws of the US or a US taxpayer)

Is the company an exempt payee for US tax purposes?

Yes  No

If no, provide the company's US Taxpayer Identification Number (TIN)

**Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company does not have a GIIN, please provide its FATCA status

**Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company does not have a GIIN, please provide its FATCA status

**Non-Financial Public Company** (Public companies that are not Financial Institutions as described above)

**Non-Financial Proprietary Company** (Proprietary companies that are not Financial Institutions as described above)

Are any of the beneficial owners US citizens or residents of the US for tax purposes?

Yes  No

If yes, provide the name and US Taxpayer Identification Number (TIN) of each beneficial owner who is a US citizen or resident of the US for tax purposes below.

Full Given Name(s) and Surname

US TIN

Full Given Name(s) and Surname	US TIN
1.	
2.	

If the company has more than two beneficial owners that are US citizens or US residents for tax purposes, please provide additional details on a separate page that is marked with the name of the company and attach it to this application form.

Tick here if you are including/have included details of additional beneficial owners.

## Section C Trusts and Trustees

**NOTE: Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to provide this data.**

### Trustees

**For Australian Regulated Trusts and Trustees**

Provide the Trust or Trustee's Global Intermediary Identification Number (GIIN), if applicable

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status

### For Unregulated Trusts and Trustees:

Select only ONE of the following categories and provide the information requested

**United States Company** (A company created in the US, established under the laws of the US or a US taxpayer)

Is the company an exempt payee for US tax purposes?

Yes  No

**Financial Institution or Trust with a Trustee that is a Financial Institution** (A trust that is primarily established for custodial or investment purposes or a Trust that has a Trustee that is a Financial Institution in its own right)

Provide the Trust or Trustee's Global Intermediary Identification Number (GIIN), if applicable

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status

**Other** (Trusts that are not US Trusts, Financial Institutions or do not have Financial Institution Trustees)

Are any of the Trust beneficiaries, trustees or settlors US citizens or residents of the US for tax purposes Yes  No

If the Trustee is a company, are any of this company's beneficial owners US citizens or residents of the US for tax purposes. Yes  No

Provide the name, address and US Taxpayer Identification Number (TIN) of each beneficiary, trustee, settlor or beneficial owner who is a US citizen or resident of the US for tax purposes.

Name	Residential address (this must not be a PO Box)	(TIN
1		
2		

Provide the full name and full residential address of the Chairman or equivalent officer

Full Given Name(s) and Surname	Residential address (this must not be a PO Box)
1.	
2.	

If the trust has more than two beneficiaries/trustees/settlors/beneficial owners who are US citizens or US residents for tax purposes, please provide the additional details on a separate piece of paper which is marked with the name of the trust and include it with this application form. Tick here if you have included details of additional beneficiaries/trustees/settlors/beneficial owners

## Section D Partnerships

Select only ONE of the following categories and provide the information requested

**United States Partnership** (A partnership created in the US, established under the laws of the US or a US taxpayer)

Is the Partnership an exempt payee for US tax purposes? Yes  No

If no, provide the Partnership's US Taxpayer Identification Number (TIN)

**Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the partnership's Global Intermediary Identification Number (GIIN), if applicable

If the partnership does not have a GIIN, please provide its FATCA status

## Section E - Declaration

The US Foreign Account Tax Compliance Act (FATCA) was enacted by the United States Congress in March 2010 as part of its efforts to improve compliance with their tax laws.

Airlie Funds Management will be required to identify and report information on certain US individuals and entities to the US Internal Revenue Service (IRS) via the Australian Tax Office (ATO). To comply with our obligations under United States legislation, Foreign Account Tax Compliance Act (FATCA) 2010, we must ask further certain questions of each investor and depending on the answers provided, obtain certain additional details from the relevant investor.

By completing and signing this form I / we declare that the FATCA information provided is correct and you agree to Airlie Funds Management providing this information to the relevant government bodies.

### Signature of investor

#### Executed by:

Name of Investor /  
Investment

#### By its authorised signatory

Signature	<input checked="" type="checkbox"/>	Signature	<input checked="" type="checkbox"/>
Capacity	<input type="text"/>	Capacity	<input type="text"/>
Print Name	<input type="text"/>	Print Name	<input type="text"/>
Date	<input type="text"/>	Date	<input type="text"/>