

# COMMON REPORTING STANDARD (CRS) & FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)

## SELF-CERTIFICATION FORM – INDIVIDUAL, JOINT AND SOLE TRADER

Phillip Capital Limited ABN 14 002 918 247 AFSL 246827

**Please sign and return this form to [settlements@phillipcapital.com.au](mailto:settlements@phillipcapital.com.au) or**  
 post to Attn: Settlements Department, Phillip Capital Limited, PO Box 628, Collins Street West, VIC 8007

### Before completing this form:

- This form is only for Individual Account Holders or Sole Traders.
- For joint or multiple Account Holders, each individual Account Holder must complete a separate Self-Certification Form.
- Do NOT use this form if the Account Holder is an entity, please complete the CRS Self-Certification Form for Entity.
- If in doubt, obtain tax or legal or other professional advice before you complete and sign this Self-Certification form

### Why this form must be completed:

Australia has enacted laws committing to global standards on the automatic exchange of financial account information commonly known as the Common Reporting Standard (CRS) and Foreign Account Tax Compliance Act (FATCA).

Under these laws, financial institutions must identify where an account holder is a resident for tax purposes, and report information about financial accounts of foreign tax residents to the Australian Taxation Office (ATO). Tax authorities in participating countries may then exchange this information with each other. The purpose is to give participating nations transparency about the financial assets that their residents hold offshore.

### If we don't receive your form:

As we are bound by the legislation, we may be required to treat you as a tax resident in a country outside of Australia (even if you aren't) and report the relevant details to the ATO.

### Where to find more information:

- ATO website- [www.ato.gov.au/crs](http://www.ato.gov.au/crs)  
<https://www.ato.gov.au/general/international-tax-agreements/in-detail/international-arrangements/automatic-exchange-of-information---crs-and-fatca/>
- Internal Revenue Service at <https://www.irs.gov/>.
- OECD website- <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm> See the CRS and FACTA FAQs

## 1. Account Holder Details

Account Name			
Account Designation (If Applicable)			
Account Number		Date of Birth (DD/MM/YYYY)	
Town or City of Birth		Country of Birth	
Full Residence Address (PO Box or in-care-of Address is not acceptable)			
	State	Postcode	Country
Mailing Address (Complete if different from above)			
	State	Postcode	Country

**2. Account Holder Tax Residence**

2a. Is Australia your sole country of tax residence?

- Yes, I am ONLY a Tax Resident in Australia (now go to Section 3)
- No

2b. Are you a U.S Person for tax purposes?

Note: US Citizens are considered to be Tax Residents of the US.

- Yes. Account Holder’s U.S. country of residence and U.S Tax Identification Number must be provided in Section 2c.
- No

2c. Please complete this Section if Australia is NOT your sole country of tax residence.

I confirm that I have included below ALL countries in which I am Tax resident

Country of Tax Residence	Taxpayer Identification Number (TIN) (or country equivalent)	Reason Code (If TIN is not provided)	Explanation (only if Reason Code is “B”)
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

**Reason Codes:**

- A – TIN Not Issued (The Country does not issue TIN)
- B – TIN Unobtainable (I am unable to obtain a TIN). Please provide an explanation.
- C – TIN Not Required (The Country does not require collection of a TIN)

**3. Declaration and Signature**

**I certify that:**

- The tax residence countries provided represent ALL the countries in which I am consider tax resident;
- I am the Account Holder or I am authorised to sign and disclose for the Account holder;
- I have consulted an independent party where necessary and acknowledge that PhillipCapital has not provided any tax advice;
- I acknowledge that PhillipCapital may provide information in this certificate to the Australian Tax Office (ATO) and that ATO may exchange the information with foreign tax authorities;
- I will notify PhillipCapital of any changes to any information (including TIN changes) within 30 days of the change occurring by providing PhillipCapital a new Self-Certification Form;
- I have provided true, correct and complete information, and, if requested, I will provide PhillipCapital any additional information or documentation; AND
- I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.

Individual / Sole Trader

Signature: \_\_\_\_\_

Full Name: \_\_\_\_\_

Date(s):(DD/MM/YYYY) \_\_\_\_\_

**NOTE:** For joint or multiple Account Holders, each individual Account Holder must complete a separate Self-Certification Form.

**Please note that digital signatures are NOT accepted**