

Entity self-certification

Please Note

For the avoidance of doubt, the supporting notes and guidance provided are for reference purposes only and do not constitute tax advice. If you require assistance in determining the most relevant classification for your organisation then you should seek qualified professional assistance.

All organisations completing this self-certification should complete Parts 1-3, 8 and 10. In addition, depending on your organisation's response to Parts 3 and 8, additional sections must be completed (these are flagged with 'go to X' after relevant responses). When completing this form please ensure that you have completed all the parts flagged for your organisation before completing Part 10.

Part 1 - Organisation Information

Name of Organisation (see supporting notes section 1 for disregarded entities)

JKL Pty Ltd Company Name

Jurisdiction of incorporation/organisation

Australia Country of incorporation

Registered / Permanent address

Street: 15 West St Address details, do not use a P.O. Box or in-care-of address

City: Sydney **Post Code:** 2000 **Country:** Australia

Mailing address (if different to permanent address)

Street: _____

City: _____ Post Code: _____ Country: _____

Is the organisation a disregarded entity or branch in a different jurisdiction from where it is headquartered? Yes No

If yes, please confirm the jurisdiction that the disregarded entity or branch is physically located in _____

Part 2 - Tax Residency

Please specify the jurisdiction in which your organisation is resident for tax purposes. If you are applying tax residency tie-breaker clause under an applicable tax treaty then please enter your primary residence jurisdiction only.

Jurisdiction: Australia

TIN: Insert entity's ABN, ARBN, ACN (etc.)

or TIN unavailable*

Jurisdiction: _____

TIN: _____

or TIN unavailable*

* Please specify the reason for non-availability of TIN _____

If the Tax Residence(s) of the organisation does not match either the jurisdiction of incorporation/organisation or address provided in Part 1 of this form, please provide the following confirmation:

The jurisdiction of incorporation/organisation or registered/permanent address that are in a jurisdiction other than the Tax Residence(s) listed above is explained by either:

- The jurisdiction of incorporation/organisation, registered/permanent address, mailing address, address of a branch or other permanent establishment, location of a principle office or place of effective management is not relevant for the determination of Tax Residence due to applicable tax residency local laws or treaties; or
- Other reason - Please specify: _____

Reportable Person (see supporting notes section 2.2 for further information)

If your organisation is tax resident in a jurisdiction other than the US, please tick below if it is **not a Reportable Person** **and** enter the corresponding reason code:

The organisation is not a Reportable Person under AEI Reason code

Leave blank as Australia is a Reportable Jurisdiction and none of below Reason codes apply

If your organisation is contracting with a UBS entity which is not currently in an AEI Participating Jurisdiction, we request that you complete the whole of Part 2 (including confirmation of Reportable Person Status) and that you consent to UBS retaining such information in relation to future reporting obligations of the UBS entity under AEI or similar information reporting regimes.

Reason codes for persons other than a Reportable Person under AEI:

- (i) A corporation the stock of which is regularly traded on one or more established securities markets.
- (ii) Any corporation that is a related entity of a corporation described in reason code (i).
- (iii) A governmental entity
- (iv) An international organisation
- (v) A Central Bank
- (vi) A Financial Institution

For avoidance of doubt please note that provision of your ABN, ARBN or ACN (if any) is required to validly complete this form. You must provide a TIN unless you are not required to provide a TIN under the laws of the jurisdiction of your tax residence and you choose not to provide.

Part 3 - FATCA Status

Please provide your organisation's FATCA status regardless of the Specified Person status noted above:

For US Persons only:

- US financial institution (go to Part 8)
- US active / excepted nonfinancial entity (go to Part 8)
- US passive nonfinancial entity (go to Part 8)

For non-US Persons:

- Nonparticipating FFI (go to Part 8)
- Participating FFI (go to Part 4)
- Reporting Model 1 FFI (go to Part 4)
- Reporting Model 2 FFI (go to Part 4)
- Registered deemed-compliant FFI (go to Part 4)
- Sponsored FFI (go to Part 5)
- Certified deemed-compliant nonregistering local bank (go to Part 8)
- Certified deemed-compliant FFI with only low-value accounts (go to Part 8)
- Certified deemed-compliant sponsored, closely held investment vehicle (go to Part 5)
- Certified deemed-compliant limited life debt investment entity (go to Part 8)
- Certified deemed-compliant investment advisors and investment managers (go to Part 8)
- Owner-documented FFI (go to Part 8 and complete Appendix 2)
- Restricted distributor (go to Part 8)
- Nonreporting IGA FFI (go to Part 5)
- Foreign Government, government of a US possession, or foreign central bank of issue (go to Part 8)
- International organisation (go to Part 8)
- Exempt retirement plans (go to Part 8)
- Entity wholly owned by exempt beneficial owners (go to Part 8 and complete Appendix 2)
- Territory financial institution (go to Part 8)
- Nonfinancial group entity (go to Part 8)
- Excepted nonfinancial start-up company (go to Part 6)
- Excepted nonfinancial entity in liquidation or bankruptcy (go to Part 6)
- 501(c) organisation (go to Part 6)
- Nonprofit organisation (go to Part 8)
- Publicly traded NFFE or NFFE affiliate of a publicly traded corporation (go to Part 6)
- Excepted territory NFFE (go to Part 8)
- Active NFFE (go to Part 8)**
- Passive NFFE (go to Part 7)
- Excepted inter-affiliate FFI (go to Part 8)
- Direct reporting NFFE (go to Part 4)
- Sponsored direct reporting NFFE (go to Part 5)

FATCA Status

Part 4 - Global Intermediary Identification Number (GIIN)

Please provide your organisation's GIIN number, or the reason for no GIIN being available, below.

Reason for no GIIN: _____

Note: If you are a collective investment vehicle or similar organisation please specify if the GIIN provided above is for 'Umbrella' or 'Sub fund' level:

- Umbrella fund
- Sub fund

A NFFE (Non-financial foreign entity) means any Non-U.S. Entity that is not a Foreign Financial Institution as defined in the relevant U.S. Treasury Regulations.

(go to Part 8)

Part 5 - Sponsored Entities and Nonreporting IGA FFIs

Please provide your organisation's GIIN number below.

If the organisation does not have a GIIN, please indicate why below:

- The organisation named in Part 1 meets the requirements to be considered a Nonreporting FFI and is not required to obtain a GIIN pursuant to an applicable IGA between the United States and the following IGA country: _____
 Type of Nonreporting IGA FFI:
 - The organisation is a Trustee Documented Trust
 - The organisation is a Sponsored Entity
 - The organisation is a Nonreporting IGA FFI other than a Trustee Documented Trust or Sponsored Entity:
 (please specify type of Nonreporting IGA FFI): _____
- Other reason (please specify): _____

If the organisation is a Sponsored Entity or Trustee Documented Trust please provide the name and GIIN of the sponsoring entity or reporting trustee of Trustee Documented Trust:

Name of sponsoring entity or reporting trustee of Trustee Documented Trust: _____

GIIN of sponsoring entity or reporting trustee of Trustee Documented Trust: _____

(go to Part 8)

