

# Tax Residency Self-Certification Form for Common Reporting Standards (CRS)

Regulations based on the OECD Common Reporting Standard (CRS) require Ventura Investment Management Ltd to collect and report certain information about an Account Holders' tax residence. Please complete this form to facilitate these requirements where an Account Holder or Controlling Person is a tax resident of a country other than Australia.

## Section A: Identification of Individual Account Holder

Account Number

Account Name

Account Type

- ☐ Individual/Joint Account
 ☐ Entity (Trust or Company/Partnership)
- complete Sections A, B, D and E
  - complete Sections A, C, D and E

## Section B: Account Holder Details

Title

☐ Dr
 ☐ Mr
 ☐ Mrs
 ☐ Ms
 ☐ Miss
 ☐ Other

Date of Birth

D	D	M	M	Y	Y	Y	Y
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Family Name

First Given Name

Other Given Names

Town or City of Birth

Country of Birth

Current Residential Address



Suburb

State

Postcode

Ventura Investment Management Ltd ("Ventura") ABN 49 092 375 258 is the operator of IconiQ Investment and Responsible Entity for IconiQ SMA and a wholly owned subsidiary of Centrepont Alliance Limited ABN 72 052 507 507.

Country if Outside of Australia

Postal Address (if different)

Suburb

State

Postcode

Country if Outside of Australia

## Section C: Entity (Trust or Company/Partnership)

Legal Name of Entity

Country of Incorporation or Organisation

Account Type

Primary Country of Citizenship

☐ Trust ☐ Company/Partnership

Current Residential Address

Suburb

State

Postcode

Country if Outside of Australia

Postal Address (if different)

Suburb

State

Postcode

Country if Outside of Australia

Is the Entity a Financial Institution (a custodial or depository institution, an investment entity for FATCA purposes)?

☐ Yes ☐ No

If YES, please provide the Entity's Global Intermediary Identification Number (GIIN) obtained for FATCA purposes

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

Are any of the individuals who exercise control over the Entity (eg. CEO, director, beneficial owner, trustee, beneficiary, settler) a tax resident of a country other than Australia, or a US citizen?

☐ Yes ☐ No

If YES, please provide the below details for each individual

Full Name 1

Residential Address

Taxpayer Identification Number (TIN) or Equivalent

Full Name 2

Residential Address

Taxpayer Identification Number (TIN) or Equivalent

## Section D: Tax Jurisdiction and Account Holder TIN (or equivalent)

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each country/jurisdiction indicated. Countries/jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each country/jurisdiction of residence (rather than for each Reportable Jurisdiction).

If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

**Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

**Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

**Reason C** – No TIN is required. (Note: only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

Country/Jurisdiction of Tax Residence	TIN or Equivalent	If No TIN, Reason A, B or
<div></div>	<div></div>	<div></div>
<div></div>	<div></div>	<div></div>
<div></div>	<div></div>	<div></div>

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1.
2.
3.

## Section E: Declaration and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with Ventura setting out how Ventura may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country/ jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise Ventura within 30 days of any change in circumstances which affects the tax residency status of the Account Holder identified in this form or causes the information contained herein to become incorrect or incomplete, and to provide Ventura with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

Full Name

Signature

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity

Date

D

D

M

M

Y

Y

Y

Y

# Appendix

**Note:** These selected summaries of defined terms have been provided to assist you with the completion of this form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (“the CRS”), the associated Commentary to the CRS, and domestic guidance. This can be found at the OECD automatic exchange of information portal.

Contact your tax adviser or domestic tax authority for more information or if you have any questions.

**Account Holder:** Means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example, in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

**Controlling Person:** This is a natural person who exercises control over an entity. Where an entity Account Holder is treated as a Passive Non-Financial Entity (“NFE”) then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term “beneficial owner” as described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012). If the account is maintained for an entity of which the individual is a Controlling Person, then the “Controlling Person tax residency self-certification” form should be completed instead of this form.

**Entity:** Means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

**Financial Account:** Means an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

**Participating Jurisdiction:** Means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

**Reportable Account:** Means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

**Reportable Jurisdiction:** Means a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

**Reportable Person:** Defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

**Taxpayer Identification Number, or TIN, or functional equivalent:** Means a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. In the absence of a TIN, a functional equivalent is required. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

## How to return this form

### Provide to your Adviser

Provide this form to your Financial Adviser to upload on your behalf via the IconiQ portal (Portfolios > Reports & Documents > Submit IDPS Documents).

### IconiQ Investment

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