

FATCA and CRS Self-Certification

Please ensure that you complete the self-certification form(s) that NGP has requested you to complete. The U.S. Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) require financial institutions such as Navigate Global Payments Pty Ltd (NGP) to collect and report tax related information about its clients (Account Holders) and their accounts held. If the Account Holder or any of its Controlling Persons have a tax residence outside the country where the account is held or is a U.S. Person, NGP may be legally obligated to pass on the information provided in this form, as well as other financial information with respect to any Financial Account held with our institution to the tax authorities, for transmission to the relevant competent foreign tax authorities pursuant to intergovernmental/multilateral agreements.

1. REGULATED SUPER FUNDS

(Self-managed superannuation funds, APRA regulated superannuation funds, Australian Government or Semi-Government superannuation funds or pooled superannuation trusts) **do not** need to complete this form.

2. INDIVIDUALS (Beneficial Owners)

2a. Are you a US person or a Specified US person?

No

Yes If yes, please provide: _____
TIN (Tax ID Number)

2b. Are you a resident for tax purposes in any country other than Australia?

No

If no, please proceed to the signing instructions in **Part 9**.

Yes

If yes, please complete the table below and then proceed to the signing instructions in **Part 9**.

Number	Country of residence for tax purposes	TIN	If no TIN is available enter reason A, B, or C
1.			
2.			
3.			
4.			

If you are unable to provide a TIN, please ensure you provide a reason A, B or C.

Reason A: The country in which the applicant is tax resident does not issue a TIN to its residents

Reason B: The applicant is unable to obtain a TIN

Reason C: The authorities in the country that the applicant is resident in do not require disclosure of a TIN

3. ENTITIES AND TRUSTS

(A) FATCA

3a. Are you a US person or a Specified US person?

No

Yes If yes, please provide us with your TIN (Tax ID Number): _____

3b. Are you a Financial Institution?

No

Yes If yes, please select from the following list and provide the required details below:

Exempt Beneficial Owner

_____ Type

_____ GIIN

Deemed-Compliant FFI (other than a Sponsored FI or a Trustee Documented Trust)

Type	GIIN
<input type="checkbox"/> Non-Participating FFI	
_____	_____
Type	GIIN
<input type="checkbox"/> Sponsored Financial Institution	
_____	_____
Sponsoring entity's name	Sponsoring entity's
<input type="checkbox"/> Trustee Documented Trust	
_____	_____
Trustee's name	Trustee's GIIN
<input type="checkbox"/> Other	Details: _____

(B) CRS

Please read through the options available in 3c, 3d, and 3e and then select ONE of the three options.

3c. Are you a Financial Institution?

No

Yes

If yes, are you a Reporting Financial Institution?

No

If no, please specify if you are a Non-reporting Trustee Documented Trust: Yes No

Other, please specify: _____

Please proceed to the signing instructions in **Part 9**.

Yes

If yes, are you an Investment Entity resident in a CRS participating jurisdiction and managed by another Financial Institution? No Yes

Please complete the Beneficial Owners or Controlling Persons table in Section 4 and then proceed to the signing instructions in **Part 9**.

3d. Are you an Active Non-Financial Entity (Active NFE)?

No

Yes

If yes, please make one selection from the options listed below:

Less than 50% of the Active NFE's gross income from the preceding calendar year is passive income and less than 50% of its assets during the preceding calendar year are assets held for the production of passive income

Corporation that is regularly traded or a related entity of a regularly traded corporation

Governmental Entity, International Organisation or Central Bank

Other, please specify: _____

Please proceed to the signing instructions in **Part 9**.

3e. Are you a Passive Non-Financial Entity (Passive NFE)?

No

Yes

If yes, please complete the Beneficial Owners or Controlling Persons table in Section 4 below and then proceed to the signing instructions in **Part 9**.

4. BENEFICIAL OWNERS OR CONTROLLING PERSONS

If you indicated that you are a Financial Institution (3c.), Investment Entity (3c.) or Passive NFE (3e.) please complete the table below.

Name and address of controlling person	Date of birth	Country of residence for tax purposes	Tax ID Number, or reason code if Tax ID is not available

If you are unable to provide a TIN, please ensure you provide a reason A, B or C.

Reason A: The country in which the applicant is tax resident does not issue a TIN to its residents
Reason B: The applicant is unable to obtain a TIN
Reason C: The authorities in the country that the applicant is resident in do not require disclosure of a TIN

Account Number _____ BSB Number _____ Currency of Account _____
Settlement Methods: (Check all that apply): Direct Debit Direct Credit EFT B-Pay

“Personal information collected on this Application is for the main purpose of complying with applicable anti-money laundering and counter-terrorism financing laws and regulations. For details, please consult our Privacy Notice. Telephone calls may be recorded to evidence business transactions, to ensure quality control and to improve internal training measures.”

PART 9 - AUTHORISATIONS AND CERTIFICATIONS

The Applicant authorises Navigate Global Payments (“Navigate”) to open an account for foreign currency exchange and global payment transactions and to accept and rely on all orders and instructions (whether oral, written or electronic) from anyone Navigate reasonably believes is an Authorised Representative of the Applicant. The Applicant authorises the individual(s) and the Bank listed in Part 4 above to provide Navigate with any information necessary to assist in its dealings with Navigate. If Direct Debit is selected in Part 4 above, by signing below the Applicant authorises Navigate to initiate debit and credit entries from its’ account(s) with the Bank listed in Part 4 to their account(s) with Navigate for the purpose of settlement of foreign exchange and global payment transactions. The Applicant certifies that (i) it will be acting as principal, for and on its own behalf, and not on behalf of any third party; (ii) the Privacy Notice has been reviewed and consented to; (iii) the information set out in this Application is correct and complete; and (iv) that the individuals signing this Application below have the requisite authority to bind the Applicant. The Applicant undertakes to promptly notify Navigate of any inaccuracy or change in such information. By signing below, the Applicant certifies that it has read, understood and agrees to the attached “Terms and Conditions of Your Navigate Account” on pages 3 to 4 of this Application.

Company Name _____ Date _____

Signing Office Name (please print) _____ Title/Position _____ Signing Officer’s Signature _____

Date of Birth (DD/MM/YYYY) _____ Complete Residential Address (including Street Address, Suburb, State, Country, and Post Code) _____

Signing Office Name (please print) _____ Title/Position _____ Signing Officer’s Signature _____

Date of Birth (DD/MM/YYYY) _____ Complete Residential Address (including Street Address, Suburb, State, Country) _____

Definitions

FATCA is an abbreviation of Foreign Account Tax Compliance Act, a piece of US tax legislation enacted in March 2010. Australia and the US have signed an agreement with the aim of improving compliance with international tax rules and the implementation of FATCA. Obligations arising from the agreement in Finland are threefold:1) Financial institutions have an obligation to identify financial accounts held by US persons2) Financial institutions have an obligation to provide the Tax Administration information on the identified financial accounts, and3) The Tax Administration has the obligation to convey the information to the US tax authorities. Additional information on CRS can be found at: www.irs.gov/fatca

CRS is the Common Reporting Standard issued by the OECD, under which the countries that have concluded Competent Authority Agreements must exchange financial account information and information concerning certain account holders between jurisdictions. CRS requires financial institutions to identify customers with a tax residence in another state and report information concerning their financial accounts to local tax authorities. Thus if a Nordea customer is a tax resident outside Finland, Nordea has the obligation to convey the information provided on this form as well as annual reports concerning the customer’s accounts/products to the Finnish Tax Administration. The Tax Administration, in turn, shall convey the information to the tax authorities of other CRS countries. Additional information on CRS can be found at: <http://www.oecd.org/tax/automatic-exchange/about-automatic-exchange/>