

AML, FATCA, CRS Self-Certification Supplementary Form

WealthHub Securities Limited ABN 83 089 718 249 AFSL No. 230704

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As part of the 'know your customer' requirements of the Anti-Money Laundering Act (AML), Foreign Account Tax Compliance Act (FATCA), and Common Reporting Standard (CRS) obligations, we need to collect and validate the information outlined below.

Use black or blue pen and write in CAPITALS. If you need help completing this form, please call us on 13 13 80.

Section 1 Foreign Tax Residency

Full name of the Individual or Entity

ACN/ABN (if applicable)											D.O.B. (if applicable)				
											/		/		

As you have indicated that the individual, or the entity, is a tax resident of a country other than Australia, provide their tax identification number (TIN) or equivalent below. A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or an Employer Identification Number / Social Security Number in the USA.

If a TIN is not provided, list one of the three reasons specified (A, B or C) for not providing a TIN. In the case of Reason B, provide an explanation why the TIN could not be obtained. If the individual or the entity are a tax resident of more than one other country, list all relevant countries below. Note that if country of foreign tax residency is the USA, a TIN is mandatory.

Country 1		TIN 1	Reason Code 1 and explanation if B was chosen
Country 2		TIN 2	Reason Code 2 and explanation if B was chosen
Country 3		TIN 3	Reason Code 3 and explanation if B was chosen
Reason A	,	x residency does not issue TINs to	

Reason B The individual or entity has not been issued with a TIN

Reason C The country of tax residency does not require the TIN to be disclosed

Section 2 Financial Institutions

As you have indicated that the entity is a financial institution, provide the requested information below: Name of entity

ACN	/ABN															
Prov	Provide the Entity's or the Trustee's Global Intermediary Identification Number (GIIN), if applicable															
										. [].[

If the entity	y is a Financial Instiution bu	does not have a GIIN	l, provide the entity's	s FATCA status (Select one of the followin	a)

Non-Reporting IGA Financial Institution				
Non-Participating Financial Institution				
US Financial Institution				
)				

Is the Financial Institution an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution? Refer to http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction for the list of participating jurisdictions

Yes No

If **yes**, complete section 3.

Section 3 Are any of the trustees, beneficiaries, associated parties (e.g. appointor/ settlor), directors, partners, or beneficial owners of the incorporated trustee or the organisation, foreign residents for tax purposes?

Section 4

No

Yes

Next steps

Please complete and return this form and any attachments to:

Post:	Fax:	Email:
nabtrade	1300 368 758	forms@nabtrade.com.au
Reply Paid 87762		
Melbourne VIC 8060		

Please note: Our preferred file format for returned forms is PDF.

Please visit nabtrade.com.au/support to view our Frequently Asked Questions

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