

# CRS Self Certification

## Controlling Person

**Please read before completing this form:**

Regulations based on the OECD Common Reporting Standard ("CRS") require Financial Institutions such as Magellan, to collect and report certain information about an Account Holder's tax residence. If you are tax resident of any country outside Australia, we may be legally required to pass on the information provided in this form (and other financial information about the financial account(s) to which this form relates), to the Australian Tax Office ("ATO"). The ATO may exchange this information with tax authorities of other jurisdictions.

**Please complete a separate Form for each Controlling Person or beneficial owner of an Account Holder that is (1) a Passive Non-Financial Entity ("Passive NFE") or (2) an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution.**

To help you complete this form, please refer to the *'CRS Self Certification – Key Definitions'*.

### PART 1 – CONTROLLING PERSON INFORMATION

Title  First name(s)

Surname  Date of Birth

Place of Birth

Residential street address (PO Box not accepted)

Legal name of the Entity ("Controlled Entity") of which you are a Controlling Person or beneficial owner

### PART 2 – TAX RESIDENCE

Please enter the Controlling Person's jurisdiction of tax residence for CRS purposes (if resident in more than one jurisdiction, please detail all jurisdictions of tax residence and associated tax identification numbers ("TIN")).

A TIN is a unique combination of letters and/or numbers assigned to the individual by a government, or its tax authorities, which is used to identify the Controlling Person for the purposes of administering taxes. In some jurisdictions, this may be a number that is specifically referred to as a TIN, while other jurisdictions may use other numbers (such as a social insurance number).

Jurisdiction of Tax Residence 1	Taxpayer Identification No. 1	TIN Unavailable <input type="checkbox"/>
Jurisdiction of Tax Residence 2	Taxpayer Identification No. 2	TIN Unavailable <input type="checkbox"/>
Jurisdiction of Tax Residence 3	Taxpayer Identification No. 3	TIN Unavailable <input type="checkbox"/>

TIN Unavailable Explanation(s) e.g. (1) The jurisdiction does not issue TINs to its residents (2) The Account Holder is unable to obtain a TIN or equivalent – please explain why (3) No TIN is required – only select if domestic law of the jurisdiction does not require the collection of TINs.

I certify that the tax residence jurisdictions provided above represent all jurisdictions in which I am considered tax resident.  
*If the Controlling Person has additional jurisdictions of tax residence, please attach a statement containing the Jurisdiction and TIN for each additional jurisdiction.*

### PART 3 – TYPE OF CONTROLLING PERSON

*Please only complete this Part if the Controlling Person is a tax resident in one or more Reportable Jurisdictions.*

**A. If the Controlled Entity is a corporation (or similar legal arrangement), please select among the following types of Controlling Persons:**

a. Owner (direct or indirect) inc. a shareholder who owns, holds or controls 25% or more of the issued capital.

- b. Controlling Person by other means
- c. Senior Management Official
- d. Shareholder who owns, holds or controls 25% or more of the issued capital

**B. If the Controlled Entity is a trust, please select among the following types of Controlling Persons:**

- a. Settlor
- b. Trustee
- c. Appointer
- d. Protector
- e. Beneficiary
- f. Other (please specify): \_\_\_\_\_

**C. If the Controlled Entity is a legal arrangement other than a corporation or trust, please select among the following types (or equivalent) of Controlling Persons:**

- a. Governing member of an association or co-operative
- b. Beneficiary
- c. Partner
- d. Other (please specify): \_\_\_\_\_

**PART 4 - DECLARATION AND SIGNATURE**

- I acknowledge and agree that information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the ATO, and the ATO may exchange this information with the country or countries in which I/the Controlling Person may be resident for tax purposes.
- I undertake to advise Magellan promptly of any change in circumstance which causes the information contained herein to become incorrect and to provide a suitably updated Certification within 30 days of such changes in circumstances.
- I certify that I am the Controlling Person (or am authorised to sign for the Controlling Person) of all the account(s) held by the Account Holder 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.**

Name of signer	Signature
Date (dd/mm/yyyy)	
Note: If you are not the Controlling Person, please indicate the capacity in which you are signing the form.	
Capacity	

**Please send your completed form to our unit registry via email, fax or mail.**

**Email:** magellanfunds@mainstreamgroup.com  
**Fax:** +61 2 9247 2822  
**Mail:** Mainstream Fund Services - Unit Registry  
 GPO Box 143, Sydney NSW 2001

For further information, please contact Mainstream Fund Services on 1300 127 780 or +61 2 8259 8566 (international) or 0800 787 621 (NZ).

Your tax adviser may be able to assist you in answering specific questions on this form. Alternatively you can find further information on the [OECD Automatic Exchange of Information Portal](#).

*If an investor does not provide us with the required documentation, or wishes to remain undocumented for CRS purposes, Magellan will nevertheless be obliged to report the investor data (such as account balances and financial income) to the ATO.*