

Vanguard[®]

Tax Residency Self Certification Form | 1 May 2018

CRS and FATCA

This form is issued by Vanguard Investments Australia Ltd ABN 72 072 881 086, AFSL 227263 (Vanguard).

This form is intended for

Investor type

Complete sections

INDIVIDUALS, SOLETRADERS, JOINT INVESTORS

All sections

Need help?

If you need any help completing this form or would like any further information please call Client Services on 1300 655 101, 8:00am to 6:00pm, Monday to Friday (Melbourne time).

Individual tax residency self-certification form

Why are we asking you to complete this form?

Australia has enacted laws committing to global standards on the automatic exchange of financial account information with other countries who have implemented similar legislation and is referred to as the Common Reporting Standard (CRS). Additionally Australia has entered into a legal arrangement with the Government of the United States of America for reciprocal exchange of taxpayer information under Foreign Account Tax Compliance Act (FATCA).

Under CRS and FATCA, Vanguard Investments Australia Ltd (VIA) must collect certain information about an account holder's tax residence. If you are a tax resident in a country outside of Australia, VIA may be required to provide the Australian Taxation Office (ATO) with information in respect of your financial accounts held with us.

Who must complete this form?

Please fill in this form if you are an **individual** account holder, **sole trader** or **sole proprietor**.

❗ For joint or multiple account holders, use a separate form for each individual person.

Other persons who may be required to complete this form (on **behalf of** the VIA client)

- A legal guardian completing the form on behalf of an account holder where the account holder is under a guardianship order, or the account is held for the benefit of a minor
- As a holder of a power of attorney (PoA) you may complete the form
- Under a margin lending arrangement.

Please note that we will request information about your capacity to sign on behalf of the client at the Declarations and Signature section of this form.

❗ Where you need to self-certify on behalf of an entity or as a controlling person of an entity do not use this form. Please refer to the relevant form labelled Trusts Tax Residency Self-Certification Form, Company/Partnership Tax Residency Self-Certification Form or Controlling Person Tax Residency Self-Certification Form.

What happens if we do not receive a completed form?

If we do not receive a valid self-certification from you, or your authorised signatory, we may be required to treat you as a tax resident of another country and provide information about your account to the ATO who may in turn share information with foreign tax authorities.

Additional information

Vanguard is unable to provide tax advice in relation to your tax residency and strongly encourages investors to seek the advice of an experienced tax adviser to assist you in answering specific questions on this form.

For additional guidance on how to determine your tax status, visit the Australian Taxation Office (ATO) website.

Further information about the terms used in this form can be found on the Vanguard website at <https://www.vanguardinvestments.com.au/retail/ret/invest-with-us/fatca.jsp##fatca>

1 Client information

Important: Please ensure that you include identification documents if the information you have provided below amends information you have provided previously. You may refer to the VIA certification guide for our certification requirements.
<https://www.vanguardinvestments.com.au/retail/ret/invest-with-us/offer-documents.jsp>

1.1 Client information

Vanguard investor number V

Given name

Surname

Middle name(s)

Date of birth (DD-MM-YYYY)

1.2 Residential address (must NOT be a PO Box)

Unit and/or street number

Street name

Suburb

State Postcode

Country

1.3 Postal address (if different from 1.2 above)

Unit and/or street number

Street name

Suburb

State Postcode

Country


1.4 Contact details

Home phone ()

Mobile phone

Business phone ()

2 Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number (TIN) or equivalent number

Important:  Please provide your TIN or equivalent below. If you are a tax resident of more than one country, please list all relevant countries.

2.1 FATCA/CRS status

Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can also be as a result of citizenship or residency.

 Please answer both tax residency questions.

a) Are you a tax resident of Australia?

Yes No

b) Are you a tax resident of another country?

No → please proceed to section 3 Yes → please proceed to section 2.2 below

2.2 Tax identification number (TIN)

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 a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B, or C).


Reason A The country of tax residency does not issue TINs (or equivalent number) to its residents

Reason B The individual is unable to obtain a TIN (or equivalent number)

Reason C The country of tax residency does not mandate provision of the TIN (no TIN is required)

Please provide your TIN or equivalent below. If you are a tax resident of more than one country, please list all relevant countries.

Note:

 Please attach a separate page if you are a tax resident of more than two other countries.

| | | |
|-----------|----------------------|--|
| Country 1 | <input type="text"/> | |
| TIN | <input type="text"/> | → If no TIN, please list reason (A, B or C) <input type="checkbox"/> |
| Country 2 | <input type="text"/> | |
| TIN | <input type="text"/> | → If no TIN, please list reason (A, B or C) <input type="checkbox"/> |

If you selected **Reason B** for any Country, please explain why you are unable to obtain a TIN in the box provided below.


| | |
|-------------------|----------------------|
| Country 1 reason: | <input type="text"/> |
| | <input type="text"/> |
| Country 2 reason: | <input type="text"/> |
| | <input type="text"/> |

3 CRS and FATCA Declarations and signatures

- I understand that the information supplied is covered by the applicable Terms and Conditions of the Vanguard fund(s) governing the relationship with Vanguard Investments Australia Ltd. Vanguard's Privacy Policy (available at www.vanguard.com.au) sets out how Vanguard Investments Australia Ltd may collect, use and disclose the information supplied by me.
- I am authorised to sign the form and consent to the processing of personal data for the purposes and in the manner described in this form.
- I declare that all the information provided on this form, is to the best of my knowledge and belief, correct and complete and I agree to promptly notify Vanguard in the event that information on this form changes.

3.1 Signatures

| | |
|---------------|--|
| Signature | <input type="text"/> |
| Name | <input type="text"/> |
| Date signed | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (DD-MM-YYYY) |
| Capacity: | <input type="text"/> |
| Mobile phone: | <input type="text"/> |
| Email: | <input type="text"/> |

Note:  If you are not the individual named in section 1.1, please indicate the capacity in which you are signing the form. If signing under an authority (e.g Power of Attorney) please attach a certified copy of the supporting documentation.

**Before
you
submit**

Checklist

Before you return this form, please ensure:

- You have signed and dated the declaration.
- If there are any changes to your account information, you have attached certified copies of current identification.
- You have indicated your FATCA/CRS status.
- Joint or multiple account-holders have completed a separate form for each individual person.

Certification requirements

The certification of your documents must be completed in Australia by a person in one of the positions below and who is not related to you (i.e. a parent, spouse, de facto partner or child).

When having copies of documents certified, you should show both the original document and copy to the eligible certifier. For a more detailed list of eligible certifiers, please refer to the Certification Guide on our website at www.vanguard.com.au or contact Client Services.

Eligible Certifiers

- Lawyer
- Accountant
- Police Officer
- Pharmacist
- Post Office
- Justice of the Peace

| Document type | Sample wording | Certification requirements |
|---|---|--|
| Single page | I, [full name], certify that this is a true and correct copy of the original. | <ul style="list-style-type: none">• Certified within the last 12 months• Signed and dated• Includes name, occupation and any licence number of the certifier |
| Multiple page document (with certification on every page) | I, [full name], certify that this is a true and correct copy of the original. | |
| Multiple page document (with certification on front page only) | I, [full name], certify that this page and the following 'x pages' are a true and correct copy of the original. | |

Returning this form

You can return this form by fax or post. To avoid duplication please do not post this form if you have previously faxed it to us.

| Post | Fax |
|---|--|
| Vanguard Investments Australia Ltd Reply Paid 3006 MELBOURNE VIC 8006 | 1300 765 712 (Australia) (+61) 3 8888 3777 (Overseas) |