

# Confirmation of tax information Entities

## Important information

This form must be mailed to: **Resolution Life, GPO Box 3306, Sydney NSW 2001**

Contact phone number: **133 731** between 9 am and 5 pm (AEST/AEDT), Monday to Friday, excluding public holidays.  
Or on **+61 2 7202 0216** from outside Australia.

## Guide to completing this form

- This form is required for any entity that is required to confirm:
  - a) Its FATCA status (FATCA = Foreign Account Tax Compliance Act),
  - b) Its CRS status (CRS = Common Reporting Standard), or
  - c) Whether it or any of its controlling persons are foreign tax residents.
- An entity can be a company, trust, partnership, association, registered co-operative or government body.
- Complete one form for each entity. Complete all applicable sections of this form in BLOCK LETTERS.
- Tax information must be collected from an authorised representative of the entity.
- Contact your licensee if you have any queries.

## Section 1 – Entity details

### General Information

Given name(s)	Surname	ACN or other registration number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Residential address or principal place of business (PO Box is not acceptable)

<input type="text"/>	<input type="text"/>	<input type="text"/>
State	Postcode	Country

Postal address or principal place of business

<input type="text"/>	<input type="text"/>	<input type="text"/>
State	Postcode	Country

Mobile number

<input type="text"/>	Alternate phone number	Date of birth (dd/mm/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Email address

## Section 2 – Tax information

### 2.1 Tax status

**Tick (✓) one of the Tax status boxes below** (if the entity is a financial institution, please provide all the requested information below)

☐ **Financial institution** (a custodial or depository institution, an investment entity or a specified insurance company for FATCA / CRS purposes)

Provide the entity's Global Intermediary Identification Number (GIIN), if applicable

If the entity is a financial institution but does not have a GIIN, provide its FATCA status (select (✓) one of the following statuses)

☐ Deemed compliant financial institution ☐ Excepted financial institution ☐ Exempt beneficial owner

☐ Non reporting IGA financial institution (If the entity is a Trustee-documented trust, provide the Trustee's GIIN)

☐ Non-participating financial institution ☐ US financial institution

☐ Other (describe the FATCA status in the box provided)

## Section 2 – Tax information (continued)

### Please answer the question below for all financial institutions

Is the financial institution an investment entity located in a non-participating CRS jurisdiction and managed by another financial institution?

☐ Yes ☐ No

If 'Yes', proceed to **section 2.2** (Foreign Controlling Persons). If 'No', please go to **section 3** to complete the form. CRS Participating Jurisdictions are on the OECD website at <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction>

☐ **A public listed company, majority owned subsidiary of a public listed company, governmental entity, international organisation, central bank, an Australian registered charity or deceased estate**

If the entity type is listed above, please proceed to **section 3** to complete the form.

☐ **Foreign charity or an Active Non-Financial Entity (NFE)** (active NFEs include entities where, during the previous reporting period, less than 50% of their gross income was passive income (e.g. dividends, interests and royalties) and less than 50% of assets held produced passive income. For other types of active NFEs, refer to **section VIII** in the annexure of the OECD 'Standard for Automatic Exchange of Financial Account Information' at [www.oecd.org](http://www.oecd.org).)

If the entity is a foreign charity or an active NFE, please proceed to **section 2.3** (Country of Tax Residency).

☐ **Other** (entities that are not previously listed – passive non-financial entities).

Please proceed to **section 2.2** (Foreign Controlling Persons).

### 2.2 Foreign controlling persons (individuals)

Does the entity have any controlling persons\* who are tax residents of countries other than Australia? ☐ Yes ☐ No

\* A controlling person is any individual who directly or indirectly exercises control over the entity. For a company, this includes any beneficial owners controlling more than 25% of the shares in the company. For a Trust, this includes Trustees, settlors or beneficiaries. For a partnership this includes any partners.

Tax residency rules differ by country. Whether an individual is 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 be as a result of citizenship or residency.

If 'Yes', please provide the details of these individuals below and complete a separate **Individual Identification Form** for each controlling person (unless already provided as beneficial owner).

Given name(s)	Surname	Role (such as Managing Director)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If there are more controlling persons, provide details on a separate sheet and tick this box ☐

### 2.3 Country of tax residency

Is the entity a tax resident of a country other than Australia? ☐ Yes ☐ No

If 'Yes', please provide the entities' country of tax residence and tax identification number (TIN) or equivalent below. If the entity is a tax resident of more than one other country, please list all relevant countries below.

If 'No', please proceed to **section 3** to complete the form.

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) for not providing a TIN.

1.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
2.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>
3.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C	<input type="text"/>

If there are more countries, provide details on a separate sheet and tick this box ☐

**Reason A** – The country of tax residency does not issue TINs to tax residents

**Reason B** – The individual has not been issued with a TIN

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

### Section 3 – Declaration and acknowledgment

By signing this form I declare as follows:

- All answers to questions, declarations and all information supplied by me or on my behalf in relation to this application is true and correct
- I will promptly advise Resolution Life if any information supplied changes
- I am authorised by, and have the consent of, the entity & any beneficial owners to provide the information
- The entity and any beneficial owners are aware that information about them and the account may be provided to the relevant tax authorities.

**Entity declaration (to be completed by an authorised representative of the entity, such as a Director or Trustee)**

Representative name

Capacity (Company Director, Trustee, etc.)

Signature

Date (dd/mm/yyyy)

### What you need to know

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