

GUIDE TO COMPLETING THIS FORM

- o This form is for AUSTRALIAN REGULATED TRUSTS only. Australian Regulated Trusts include self-managed super funds, registered managed investment schemes, unregistered managed investment schemes, government superannuation funds or other Trusts subject to the regulatory oversight of an Australian regulator.
- o For Trusts that are not subject to the oversight an Australian regulator, complete the UNREGULATED AUSTRALIAN TRUST & FOREIGN TRUST IDENTIFICATION FORM.
- o Tax information must be collected from an authorised representative of the Trust

SECTION 1: REGULATED TRUST IDENTIFICATION PROCEDURE

Section 1.1: General Information

Full name of Trust (not Trustee)
(e.g. ABC Superannuation Fund)

Country where trust established
(only required if not Australia)

Full business name of trustee in
respect of the trust (if any)

Section 1.2: Type of Regulated Trust

Tick ✓	Select one of the following type of Regulated Trust
<input type="checkbox"/>	<p>Self-Managed Superannuation Fund</p> <p>Provide the SMSF's ABN <input type="text"/></p>
<input type="checkbox"/>	<p>Registered managed investment scheme</p> <p>Provide Australian Registered Scheme Number (ARSN) <input type="text"/></p>
<input type="checkbox"/>	<p>Unregistered managed investment scheme (Where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies)</p> <p>Provide the unregistered managed investment scheme's ABN <input type="text"/></p>
<input type="checkbox"/>	<p>Government superannuation fund</p> <p>Provide name of the legislation establishing the fund <input type="text"/></p>
<input type="checkbox"/>	<p>Other regulated Trust (A trust that is subject to the regulatory oversight of a Commonwealth, State or Territory statutory regulator such as an approved deposit fund, a pooled superannuation trust or an APRA-regulated superannuation fund)</p> <p>Provide name of the regulator (e.g. ASIC, APRA, ATO) <input type="text"/></p> <p>Provide the Trust's ABN or registration/licensing details <input type="text"/></p>

For other types of Trusts (e.g. family, charitable, estate) or Trusts regulated by a foreign regulatory body, do not use this form but rather complete the **AUSTRALIAN UNREGULATED TRUST & FOREIGN TRUST IDENTIFICATION FORM**.

SECTION 2: TRUSTEE IDENTIFICATION PROCEDURE (Please complete **EITHER** section 2.1 **OR** section 2.2)

Please provide identification information for each individual Trustee(s) (section 2.1) or a corporate Trustee (section 2.2).

Complete all fields below and provide a legible certified copy of ID for each individual trustee.

Section 2.1: Individual Trustee (To be completed if the selected Trustee(s) is an individual)

Individual Trustee 1	Individual Trustee 2	Individual Trustee 3
Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>
Surname <input type="text"/>	Surname <input type="text"/>	Surname <input type="text"/>
Residential Address <small>(PO Box is NOT acceptable)</small> <input type="text"/>	Residential Address <small>(PO Box is NOT acceptable)</small> <input type="text"/>	Residential Address <small>(PO Box is NOT acceptable)</small> <input type="text"/>
Suburb <input type="text"/> State <input type="text"/>	Suburb <input type="text"/> State <input type="text"/>	Suburb <input type="text"/> State <input type="text"/>
Country <input type="text"/> Postcode <input type="text"/>	Country <input type="text"/> Postcode <input type="text"/>	Country <input type="text"/> Postcode <input type="text"/>
Date of Birth <input type="text"/>	Date of Birth <input type="text"/>	Date of Birth <input type="text"/>

If there are more individual trustees, provide details on a separate sheet and tick this box .

OR

Section 2.2: Company Trustee (To be completed if the selected Trustee is an Australian Company. If the selected Trustee is a foreign company then complete the FOREIGN COMPANY IDENTIFICATION FORM in addition to this form)

Complete all fields below and provide an ASIC extract or ASIC statement for the company.

2.2.1: Company Details

Full name as registered by ASIC

ACN

Registered Office Address (PO Box is not acceptable)

Street

Suburb State Postcode Country

Principal Place of Business (if any) (PO Box is not acceptable)

Street

Suburb State Postcode Country

2.2.2: Company Type (Select one of the following company types)

- Public** (includes public listed company, a majority owned subsidiary of a public listed company or a licensed company subject to federal, state or territory government regulatory supervision), proceed to section 2.2.3
- Proprietary** (companies whose name ends with Proprietary Ltd or Pty Ltd; also known as private companies), provide the names of the directors below and proceed to 2.2.3

If Proprietary, provide the names of all directors.

1 Full given name(s) Surname

2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

If there are more directors, provide details on a separate sheet and tick this box .

2.2.3: Listing and Regulatory Details - if applicable (select any of the following categories if applicable)

Australian Public Listed company (companies that are listed on an Australian financial market such as the ASX) *Proceed to Section 3*
 Name of market / exchange

Majority Owned Subsidiary of an Australian Public Listed company (companies that are majority owned by an Australian company that is listed on an Australian financial market such as the ASX) *Proceed to Section 3*
 Australian listed company name
 Name of market / exchange

Regulated company (subject to the supervision of a Commonwealth, State or Territory statutory regulator beyond that provided by ASIC as a company registration body. Examples include Australian Financial Services Licensees (AFSL); Australian Credit Licensees (ACL); or Registrable Superannuation Entity (RSE) Licensees). *Proceed to Section 3*
 Regulator name
 Licence details (e.g. AFSL, ACL, RSE)

2.2.4: Beneficial Owners (Complete if the company is NOT one of the 3 types of companies defined in section 2.2.3 above)

Provide the names of the individuals who ultimately own 25% or more of the company's issued share capital (through direct or indirect shareholdings) or any other individuals who directly or indirectly control* the company.

* includes exercising control through the capacity to determine decisions about financial or operating policies; or by means of trusts, agreements, arrangements, understanding & practices; voting rights of 25% or more, including veto power.

Beneficial Owner 1	Beneficial Owner 2	Beneficial Owner 3
Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>	Full given name(s) <input type="text"/>
Surname <input type="text"/>	Surname <input type="text"/>	Surname <input type="text"/>
Residential Address <small>(PO Box is NOT acceptable)</small> <input type="text"/>	Residential Address <small>(PO Box is NOT acceptable)</small> <input type="text"/>	Residential Address <small>(PO Box is NOT acceptable)</small> <input type="text"/>
Suburb <input type="text"/> State <input type="text"/>	Suburb <input type="text"/> State <input type="text"/>	Suburb <input type="text"/> State <input type="text"/>
Country <input type="text"/> Postcode <input type="text"/>	Country <input type="text"/> Postcode <input type="text"/>	Country <input type="text"/> Postcode <input type="text"/>
Date of Birth <input type="text"/>	Date of Birth <input type="text"/>	Date of Birth <input type="text"/>
Shareholder or Controller <input type="text"/>	Shareholder or Controller <input type="text"/>	Shareholder or Controller <input type="text"/>

If there are more Beneficial Owners, provide details on a separate sheet and tick this box .

SECTION 3: TAX INFORMATION

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete section 3 and can proceed to section 4.

3.1: Tax Status

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

If the Trust 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 Trust is a Trustee-Documented Trust, provide the Trustee's GIIN)

Nonparticipating Financial Institution

Other (describe the Trust's FATCA status in the box provided)

SECTION 4: REGULATED TRUST & TRUSTEE VERIFICATION

This section outlines the identification documents that we must collect from you and it differs depending on regulated trust type. If you do not provide the documents we may not be able to process your application.

Section 4.1: Documentation Requirements for Trust Verification

Cross 'X'	Please mark with a "X" one of the following options which you are providing according to your type of trust. You must select one option and attach it to your application form.
<input type="checkbox"/>	For SMSFs, an originally certified copy of the trust deed ; OR an originally certified copy of an extract of the trust deed containing at least the following information: <ul style="list-style-type: none"> • the name of the trust • the name(s) of the trustee(s)
<input type="checkbox"/>	For Managed Investment Schemes: <ul style="list-style-type: none"> • a copy of an offer document of the managed investment scheme (e.g. a copy of a Product Disclosure Statement (PDS)) • if you are acting as the custodian of a managed investment scheme or 'other regulated trust' provide an extract of the custody agreement evidencing your authority to act for the client specified in section 4 of the Application Form
<input type="checkbox"/>	For Government Superannuation Funds: <ul style="list-style-type: none"> • a copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.
<input type="checkbox"/>	For other regulated trusts (excluding SMSFs): <ul style="list-style-type: none"> • a copy of the search of the relevant regulators database; • a copy of the PDS • if you are acting as the custodian of a managed investment scheme or 'other regulated trust' provide an extract of the custody agreement evidencing your authority to act for the client specified in section 4 of the Application Form
<input type="checkbox"/>	For Unregistered managed investment scheme (Where the scheme is not registered by ASIC, only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act 2001 applies): <ul style="list-style-type: none"> • An original certified copy of the full trust deed; • A certified copy of an offer document of the wholesale unregistered managed investment scheme (e.g. a copy of a Product Disclosure Statement); • if you are acting as the custodian of a managed investment scheme or 'other regulated trust' provide an extract of the custody agreement evidencing your authority to act for the client specified in section 4 of the Application Form

Section 4.2: Documentation Requirements for Trustee Verification

Cross 'X'	Please mark with a "X" one of the following options which you are providing according to your type of trustee. Please attach each identification copy to your application form.
<input type="checkbox"/>	

<input type="checkbox"/>	<p>For all individual trustee(s) listed in section 2.1, you must provide a certified copy of one of the following types of identification documents for each individual trustee*:</p> <ul style="list-style-type: none">• Australian passport (a passport that has expired within the preceding 2 years is acceptable)• Card issued under a State or Territory for the purpose of proving a person's age containing a photograph of the person• Foreign passport or similar travel document containing a photograph and the signature of the person• Australian State / Territory driver's licence containing a photograph of the person
<input type="checkbox"/>	<p>If the trust has a corporate trustee as listed in section 2.2 you must provide a copy of the company extract taken from the ASIC database or a copy of the latest company annual statement issued by ASIC.</p>

* For other identification documentation options, instructions on how to certify a document, and who can certify copies of identification documents please refer to the Customer ID form for individuals which is available on our website at ssga.com