

GMO Australia Funds

Common Reporting Standard ("CRS") Self-Certification for Individuals (or Controlling Persons)

Instructions for completion

We are obliged under Subdivision 396-C of Schedule 1 to the Taxation Administration Act 1953 (as amended) to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in a fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by local law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the Organization for Economic Co-operation and Development's ("OECD") CRS Portal or speak to a tax adviser.

For further information on CRS please refer to Australian Taxation Office website at <https://www.ato.gov.au/general/international-tax-agreements/in-detail/common-reporting-standard//> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/>

If any of the information below about the investor's tax residence or CRS classification changes in the future, please ensure that we are advised of these changes promptly.

Please note that where there are joint or multiple account holders, each investor is required to complete a separate Self-Certification form.

Sections 1, 2, and 4 must be completed by all investors.

Section 3 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution. For further guidance please see:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

Section 1: Investor Identification

Investor / Account Holder's Full Legal Name: _____

Current Residential Address:

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Place Of Birth:

Town or City of Birth: _____ Country of Birth: _____

Date of Birth: _____

Section 2: CRS Declaration of Tax Residency (please note you may choose more than one country)

Please indicate your/ the investor’s country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers (“TIN”). Please see the CRS Portal for more information on Tax Residency.

NOTE: Provision of a Tax ID number (TIN) below is required unless you are a tax resident in a jurisdiction that does not issue a TIN. Please select one of the five reasons listed below as to why a TIN is not being provided:

(1) I have never been issued a TIN, (2) I have a TIN but am unable to locate it, (3) My jurisdiction of tax residence does not issue TINs, (4) I have applied for a TIN and I am waiting for it to be issued, or (5) Other – please elaborate.

If the Account Holder is a resident in Australia for tax purposes, please do not provide the Account Holder’s Australian Tax File Number.

Country of Tax Residency	Tax ID Number (TIN)	Reason Why Not Reporting a TIN <i>Please write-in either 1, 2, 3, 4, or 5, as explained in the NOTE above</i>

Section 3 – Type of Controlling Person

(ONLY to be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For joint or multiple Controlling Persons please complete a separate Self-Certification form for each Controlling Person

<i>Please Confirm what type of Controlling Person applicable under CRS that applies to you/the investor by ticking the appropriate box.</i>	Please Tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust – settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		

Section 4: Declaration and Undertakings:

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I undertake to advise the recipient promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorized Signature: _____ Print Name: _____

Date: (dd/mm/yyyy): _____ Capacity: - _____
