

# Know Your Client 1

## Individual investor/trustee/sole traders

This form is used to provide the information we need to verify an individual's identity and fulfil our legal obligations (including those under the Anti Money Laundering and Counter Terrorism Financing Act (2006), United States Foreign Tax Compliance (FACTA) and common reporting standards (CRS)).

We are also committed to compliance with the Privacy Act (1988) and the Australian Privacy Principles in the collection, disclosure and use of personal information. For a copy of our Privacy Policy, please contact us or download the policy from our website.

### Relevant documents required

Individual /Trustee



#### Provide certified copies of:

One primary photographic ID document **OR**

One primary and one secondary non-photographic ID document

### 1.1 Investor details

Full Given Name(s)

Date of birth DD / MM / YYYY

Family Name

Place of birth

**Residential address** (PO Box not accepted)

Street

Suburb

State

Postcode

Country

### 1.2 Business details

Complete the following if the individual is a sole trader

Business name

ABN (if any)

**Principal place of business** (PO Box not accepted)

Street

Suburb

State

Postcode

Country

## 2. Tax information

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.

**Please answer both tax residency questions below:**

Are you a resident of Australia for income tax purposes? Yes  No

Are you also a tax resident of another country? Yes  No

If you are a tax resident of another country, please provide details of all countries, other than Australia, in which you are tax resident (note that certain countries, including the US, treat all citizens as residents for tax purposes):

Countries of tax residency	Tax Identification Number (TIN)	If no TIN, provide a reason A,B or C (see below)
1.		
2.		
3.		

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

**Reason B** – Unable to obtain a TIN or equivalent (Please provide explanation)

**Reason C** – No TIN is required (i.e., the domestic law of the relevant jurisdiction does not require the collection of TINs).

## 3. Politically Exposed Person (PEP)

A "politically exposed person" (PEP) is an individual who holds a prominent public position or function in a government body or international organisation, both within and outside Australia. This definition also extends to their immediate family members or close associates.

Please provide the name of anyone that is named in this Form as a PEP or is an immediate family member or close associate of a PEP.

## 4. Declaration

- I certify that the countries of foreign tax residence provided in this form, represent all foreign countries in which I am considered tax resident.
- I acknowledge and agree that information contained in this form and information regarding any reportable account(s) may be provided to the ATO, and they may exchange this information with the country or countries in which I am resident for tax purposes.
- I undertake to advise U Ethical promptly of any change in circumstance which causes the information contained in this form to become incorrect, and to provide a suitably updated Certification within 30 days.
- I certify that I am the or a joint Account Holder(s) or authorised to sign for all the account(s) to which this form relates.
- **I agree to the collection, disclosure and use of information as contemplated in the Privacy Policy from [www.uethical.com/privacy-statement](http://www.uethical.com/privacy-statement).**
- **I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.**

Signature

Full Name

Date DD / MM / YYYY