

Is your entity a Financial Institution?

To determine this, please answer the following questions.

Entity name

Does your entity hold cash deposits for other parties? YES NO

Does your entity hold financial assets (aside from cash) for other parties? YES NO

This may include dividends, interest, coupons, etc.

Does your entity carry on a business of investing in financial assets? YES NO

This may include investments undertaken for other parties as well as investments for your own entity.

Is your entity, or its assets, managed by another Financial Institution? YES NO

An institution manages your entity if it is responsible for making and executing investment decisions without prior approval from your management, or its board, or its trustees.

Trusts only: Does your trust have a Financial Institution as a trustee? YES NO

For example, a trustee company or a nominee company operated by a lawyer or accountant.

Do you understand your entity is a Financial Institution for any other reasons? YES NO

For example, you have received specific advice to this effect from your accountant or tax adviser.

If you have answered "YES" to any of the questions above, then your entity is highly likely* to be a Financial Institution.

**If you think your entity is NOT a financial institution, for example you have professional advice from a lawyer or tax adviser, then please complete Question 3 (Section 2) of the application form accordingly.*