Guide for Completion of a W-8BEN-E Form



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ABN 52 154 324 428
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Selfwealth

Guide for Completion of a W-8BEN-E Form

This guide and the W-8BEN-E form are for Entities only, not Individual or Joint trading accounts.

A W-8BEN-E form must be completed if you wish to trade shares listed in the United States.

The W-8BEN-E Form is a U.S. Internal Revenue Service (IRS) form used to reflect the documentation requirements of Chapter 4 and is **only required for non-U.S. residents.** Please do not complete this form if you are a U.S. citizen or Green Card holder.

By completing the W-8BEN-E form, you may be eligible to pay a reduced rate of withholding tax.

Any dates must be completed in the accepted US format MM-DD-YYYY. E.g. 26th of April 2024 would be 04-26-2024).

You only need to complete a W-8BEN-E form once every three years. It remains in effect until 31st of December three years after the date of signing, unless there are any changes in your personal circumstances. E.g. A form completed on 26th of April 2024 would remain in effect until 31st of December 2027.

Neither Selfwealth nor PhillipCapital are able to provide you with any tax advice in relation to your declaration. For further advice, please contact the IRS or your tax adviser.

Please send all completed forms to support@selfwealth.com.au

Trading as a Company? Complete these sections of the form:

A sample of how to complete the W-8BEN-E form can be found on **pages 3-5** of this guide.

- [ ] Part I: 1, 2, 4, 5, 6, 7, and 9b
- [ ] Part III: 14a and b
- [ ] Part XXV: 39, or
- [ ] Part XXVI: 40a, plus b or c
- [ ] Part XXX and sign in ink pen

Alterations are not allowed; please use a new form if changes are required.

Trading as an Corporate SMSF? Complete these sections of the form:

A sample of how to complete the W-8BEN-E form can be found on **pages 6-8** of this guide.

- [ ] Only ONE Trustee is required to complete a W-8BEN-E for a Corporate SMSF Account
- [ ] Part I: 1, 2, 4, 5, 6, 7, and 9b
- [ ] Part III: 14a and b
- [ ] Part XII: 26
- [ ] Part XXX and sign in ink pen

Alterations are not allowed; please use a new form if changes are required.

Trustees = Directors with signing authority for the Corporate Trust.

Trading as an Individual Trustee(s) SMSF? Complete these sections of the form:

A sample of how to complete the W-8BEN-E form can be found on **pages 6-8** of this guide.

- [ ] Only ONE Trustee is required to complete a W-8BEN-E for an Individual Trustee(s) SMSF Account
- [ ] Part I: 1, 2, 4, 5, 6, 7, and 9b
- [ ] Part III: 14a and b
- [ ] Part XII: 26
- [ ] Part XXX and sign in ink pen

Alterations are not allowed; please use a new form if changes are required.

Trading as a Corporate Trust? Complete these sections of the form:

A sample of how to complete the W-8BEN-E form can be found on **pages 9-11** of this guide.

- [ ] Only ONE Trustee is required to complete a W-8BEN-E for a Corporate Trust Account
- [ ] Part I: 1, 2, 4, 5, 6, 7, and 9b
- [ ] Part III: 14a and b
- [ ] Part XXV: 39, or
- [ ] Part XXVI: 40a, plus b or c
- [ ] Part XXX and sign in ink pen

Alterations are not allowed; please use a new form if changes are required.

Trustees = Directors with signing authority for the Corporate Trust.

Trading as an Individual Trustee(s) Trust? Complete these sections of the form:

A sample of how to complete the W-8BEN-E form can be found on **pages 9-11** of this guide.

- [ ] Only ONE Trustee is required to complete a W-8BEN-E for an Individual Trustee(s) Trust Account
- [ ] Part I: 1, 2, 4, 5, 6, 7, and 9b
- [ ] Part III: 14a and b
- [ ] Part XXV: 39, or
- [ ] Part XXVI: 40a, plus b or c
- [ ] Part XXX and sign in ink pen

Alterations are not allowed; please use a new form if changes are required.

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Sample of a Typical COMPANY Form Completion

FOR REFERENCE ONLY

Form **W-8BEN-E**
(Rev. October 2021)
Department of the Treasury
Internal Revenue Service

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.
▶ Go to *www.irs.gov/FormW8BENE* for instructions and the latest information.
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for:	Instead use Form:
• U.S. entity or U.S. citizen or resident	W-9
• A foreign individual	W-8BEN (Individual) or Form 8233
• A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits)	W-8ECI
• A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions)	W-8IMY
• A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government o…ncome is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 89…ty benefits) (see instructions for other exceptions)	W-8ECI or W-8EXP
• Any person ac…a qualified intermediary acting as a qualified derivatives dealer)	W-8IMY

Name of organization must match to Company Legal Name, as it is listed on ASIC

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner
LUCKY PTY LTD

2 Country of incorporation or organization
AUSTRALIA

3 Name of disregarded entity receiving the payment (if applicable, see instructions)

4 Chapter 3 Status (entity type) (Must check one box only):

- ☑ Corporation
- ☐ Partnership
- ☐ Simple trust
- ☐ Tax-exempt organization
- ☐ Complex trust
- ☐ Foreign Government - Controlled Entity
- ☐ Central Bank of Issue
- ☐ Private foundation
- ☐ Estate
- ☐ Foreign Government - Integral Part
- ☐ Grantor trust
- ☐ Disregarded entity
- ☐ International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III. ☐ Yes ☐ No

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)

- ☐ Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).
- ☐ Participating FFI.
- ☐ Reporting Model 1 FFI.
- ☐ Reporting Model 2 FFI.
- ☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.
- ☐ Sponsored FFI. Complete Part IV.
- ☐ Certified deemed-compliant nonregistering local bank. Complete Part V.
- ☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.
- ☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.
- ☐ Certified deemed-compliant limited life debt investment entity. Complete Part VIII.
- ☐ Certain investment entities that do not maintain financial accounts. Complete Part IX.
- ☐ Nonreporting IGA FFI. Complete Part XII.
- ☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.
- ☐ International organization. Complete Part XIV.
- ☐ Exempt retirement plans. Complete Part XV.
- ☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.
- ☐ Territory financial institution. Complete Part XVII.
- ☐ Excepted nonfinancial group entity. Complete Part XVIII.
- ☐ Excepted nonfinancial start-up company. Complete Part XIX.
- ☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.
- ☐ 501(c) organization. Complete Part XXI.

Select EITHER Active NFFE or Passive NFFE.
Refer to Part XXV and XXVI (Page 7) to determine the Chapter 4 Status of your Company

traded

- ☐ Excepted territory NFFE. Complete Part XXIV.
- ☐ Active NFFE. Complete Part XXV.
- ☐ Passive NFFE. Complete Part XXVI.
- ☐ Excepted inter-affiliate FFI. Complete Part XXVII.
- ☐ Direct reporting NFFE.
- ☐ Sponsored direct reporting NFFE. Complete Part XXVIII.
- ☐ Account that is not a financial account.

Part I (6) - Fill in the Company's Registered Office Address as listed on the ASIC register

6 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).
1 COLLINS STREET

City or town, state or province. Include postal code where ap…
MELBOURNE VIC 3000

Country
AUSTRALIA

Only applicable to Part I (6), you can complete your PO Box address in Part I (7) if you have provided a street address in Part I (6)

7 Mailing address (if different from above)
PO BOX 125

City or town, state or province. Include postal code where appropriate.
MELBOURNE VIC 3000

Country
AUSTRALIA

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Sample of a Typical COMPANY Form Completion

FOR REFERENCE ONLY

EXTRACT FROM Page 2

Form W-8BEN-E (Rev. 10-2021) Page **2**

Part I **Identification of Beneficial Owner** *(continued)*

8 U.S. taxpayer identification number (TIN), if required

9a GIIN	b Foreign TIN 12 345 678 901	c Check if FTIN not legally required . . . . . ▶ ☐
10 Reference number(s) (see instructions)	Part I (9b) - You may provide the ABN or ACN for the Entity in this section	

Note: Please complete remainder of the form including signing the form in Part XXX.

Part III **Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

14 I certify that (check all that apply):

a ☑ The beneficial owner is a resident of **AUSTRALIA** within the meaning of the income tax treaty between the United States and that country.

b ☑ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):

Select 14 (a) & (b)

☑ Company that meets the ownership and base erosion test

☐ Tax-exempt pension trust or pension fund

☐ Other tax-exempt organization

☐ Publicly traded corporation

☐ Subsidiary of a publicly traded corporation

https://www.irs.gov/businesses/international-businesses/australia-tax-treaty-documents

Treaty has a "limitation on benefits" Article 16 requiring that the ownership of the company is at least 75% held by Australian residents and solvent company usually meets the base erosion test requirements.

c ☐ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

15 **Special rates and conditions** (if applicable—see instructions):

The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

EXTRACT FROM Page 7

Part XXV **Active NFFE**

Select Part XXV (39) if Active NFFE is selected in Part I (5)

39 ☐ I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI **Passive NFFE**

Select Part XXVI (40a) and (40b **or** 40c) if Passive NFFE is selected in Part I (5)

40a ☐ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

b ☐ I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**

c ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

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Sample of a Typical COMPANY Form Completion

FOR REFERENCE ONLY

EXTRACT FROM Page 8

Part XXX Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial ow… …f which the entity on line 1 is the beneficial owner.
I a… …**rm becomes incorrect.**

Select to confirm that you have the capacity to sign for the entity

☑ **I certify that I have the capacity to sign for the entity identified on line 1 of this form.**

Full name of the signer

DATE must be completed in MM-DD-YYYY format (e.g. 26th April 2024 would be 04-26-2024)

Sign Here ▶ Authorised signatory to sign by hand **(digital signature not accepted)**

Signature of individual authorized to sign for beneficial owner	Print Name	Date (MM-DD-YYYY)
	PETER JACK JASON	04-26-2024

FOR REFERENCE ONLY

Form **W-8BEN-E**
(Rev. October 2021)
Department of the Treasury
Internal Revenue Service

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.
▶ Go to *www.irs.gov/FormW8BENE* for instructions and the latest information.
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for:	Instead use Form:
• U.S. entity or U.S. citizen or resident	W-9
• A foreign individual	W-8BEN (Individual) or Form 8233
• A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits)	W-8ECI
• A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions)	W-8IMY
• A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government [illegible] nnected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, [illegible] ctions for other exceptions)	W-8ECI or W-8EXP
• Any person [illegible] acting as a qualified derivatives dealer)	W-8IMY

Name of Superannuation Fund (SMSF) must match to the Trust Deed (Do not use any abbreviations)

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner
LUCKY SUPERANNUATION FUND

2 Country of incorporation or organization
AUSTRALIA

3 Name of disregarded entity receiving the payment (if applicable, see instructions)

4 Chapter 3 Status (entity type) (Must check one box only):

- ☐ Corporation
- ☐ Partnership
- ☐ Simple trust
- ☐ Tax-exempt organization
- ☑ Complex trust
- ☐ Foreign Government - Controlled Entity
- ☐ Central Bank of Issue
- ☐ Private foundation
- ☐ Estate
- ☐ Foreign Government - Integral Part
- ☐ Grantor trust
- ☐ Disregarded entity
- ☐ International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III. ☐ Yes ☐ No

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)

- ☐ Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).
- ☐ Participating FFI.
- ☐ Reporting Model 1 FFI.
- ☐ Reporting Model 2 FFI.
- ☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.
- ☐ Sponsored FFI. Complete Part IV.
- ☐ Certified deemed-compliant nonregistering local bank. Complete Part V.
- ☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.
- ☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.
- ☐ Certified deemed-compliant limited life debt investment entity. [illegible] accounts.
- ☑ Nonreporting IGA FFI. Complete Part XII.
- ☐ Foreign government, government of a U.S. possession, or foreign [illegible] rt XIII.
- ☐ [illegible] Part XIV.
- ☐ Exempt retirement plans. Complete Part XV.
- ☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.
- ☐ Territory financial institution. Complete Part XVII.
- ☐ Excepted nonfinancial group entity. Complete Part XVIII.
- ☐ Excepted nonfinancial start-up company. Complete Part XIX.
- ☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.
- ☐ 501(c) organization. Complete Part XXI.
- ☐ Nonprofit organization. Complete Part XXII.
- ☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.
- ☐ Excepted territory NFFE. Complete Part XXIV.
- ☐ Active NFFE. Complete Part XXV.
- ☐ Passive NFFE. Complete Part XXVI.
- ☐ Excepted inter-affiliate FFI. Complete Part XXVII.
- ☐ Direct reporting NFFE.
- ☐ Sponsored direct reporting NFFE. Complete Part XXVIII.
- ☐ Account that is not a financial account.

Select "Nonreporting IGA FFI" for Australian Superannuation

Part I (6)
Individual SMSF - Complete residence address as per application form
Corporate SMSF - Complete Company's Registered Office address as listed on the ASIC register

6 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).
1 COLLINS STREET

City or town, state or province. Include postal code where ap
MELBOURNE VIC 3000

Country
AUSTRALIA

Only applicable to Part I (6), you can complete your PO Box address in Part I (7) if you have provided a street address in Part I (6)

7 Mailing address (if different from above)
PO BOX 125

City or town, state or province. Include postal code where appropriate.
MELBOURNE VIC 3000

Country
AUSTRALIA

FOR REFERENCE ONLY

EXTRACT FROM Page 2

Form W-8BEN-E (Rev. 10-2021) Page 2

Part I Identification of Beneficial Owner *(continued)*

8 U.S. taxpayer identification number (TIN), if required

9a GIIN	b Foreign TIN 12 345 678 901	c Check if FTIN not legally required . . . . . ▶ ☐
10 Reference number(s) (see instructions)	Part I (9b) - You may provide the ABN or ACN for the Entity in this section	

Note: Please complete remainder of the form including signing the form in Part XXX.

Part III Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only.)

14 I certify that (check all that apply):

a ☑ The beneficial owner is a resident of **AUSTRALIA** within the meaning of the income tax treaty between the United States and that country.

b ☑ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):

Select 14 (a) & (b)

- ☐ Tax-exempt pension trust or pension fund
- ☐ Other tax-exempt organization
- ☐ Publicly traded corporation
- ☐ Subsidiary of a publicly traded corporation
- ☐ Company that meets the ownership and base erosion test
- ☐ Company that meets the derivative benefits test
- ☐ Company with an item of income that meets active trade or business test
- ☐ Favorable discretionary determination by the U.S. competent authority received
- ☐ No LOB article in treaty
- ☑ Other (specify Article and paragraph): **Article 16 (2)(g) - Ownership/base erosion test**

c ☐ The beneficial owner is claiming treaty benefi… …m a U.S. trade or business of a foreign corporation and meet

Company or Trust that meets "the ownership and base erosion" test

15 **Special rates and conditions** (if applicable—see instructions):
The beneficial owner is claiming the provisions of Article and paragraph _____
of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

EXTRACT FROM Page 5

Form W-8BEN-E (Rev. 10-2021) Page 5

Part XII Nonreporting IGA FFI

26 ☑ I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and **AUSTRALIA**. The applicable IGA is a ☑ Model 1 IGA or a ☐ Model 2 IGA; and is treated as a **AUSTRALIAN RETIREMENT FUND** under the provi… …GA or Treasury regulations (if applicable, see instructions);

Select Model 1 IGA

- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____.

The trustee is: ☐ U.S. ☐ Foreign

FOR REFERENCE ONLY

EXTRACT FROM Page 8

Part XXX Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial ow… …f which the entity on line 1 is the beneficial owner.

I a… …rm becomes incorrect.

Select to confirm that you have the capacity to sign for the entity

☑ **I certify that I have the capacity to sign for the entity identified on line 1 of this form.**

DATE must be completed in MM-DD-YYYY format (e.g. 26th April 2024 would be 04-26-2024)

Full name of the signer

Sign Here ▶	Authorised signatory to sign by hand **(digital signature not accepted)**	PETER JACK JASON	04-26-2024
	Signature of individual authorized to sign for beneficial owner	Print Name	Date (MM-DD-YYYY)

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Sample of a Typical TRUST Form Completion

FOR REFERENCE ONLY

Form **W-8BEN-E**
(Rev. October 2021)
Department of the Treasury
Internal Revenue Service

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

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OMB No. 1545-1621

Do NOT use this form for:	Instead use Form:
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• A foreign individual	W-8BEN (Individual) or Form 8233
• A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits)	W-8ECI
• A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions)	W-8IMY
• A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government … effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, … instructions for other exceptions)	W-8ECI or W-8EXP
• Any person … mediary acting as a qualified derivatives dealer)	W-8IMY

Name of Trust must match to the Trust Deed
(Do not use any abbreviations)

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner
LUCKY FAMILY TRUST

2 Country of incorporation or organization
AUSTRALIA

3 Name of disregarded entity receiving the payment (if applicable, see instructions)

4 Chapter 3 Status (entity type) (Must check one box only):

- ☐ Corporation
- ☐ Partnership
- ☐ Simple trust
- ☐ Tax-exempt organization
- ☑ Complex trust
- ☐ Foreign Government - Controlled Entity
- ☐ Central Bank of Issue
- ☐ Private foundation
- ☐ Estate
- ☐ Foreign Government - Integral Part
- ☐ Grantor trust
- ☐ Disregarded entity
- ☐ International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III. ☐ Yes ☐ No

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)

- ☐ Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).
- ☐ Participating FFI.
- ☐ Reporting Model 1 FFI.
- ☐ Reporting Model 2 FFI.
- ☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.
- ☐ Sponsored FFI. Complete Part IV.
- ☐ Certified deemed-compliant nonregistering local bank. Complete Part V.
- ☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.
- ☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.
- ☐ Certified deemed-compliant limited life debt investment entity.
- ☐ … accounts.
- ☐ Nonreporting IGA FFI. Complete Part XII.
- ☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.
- ☐ International organization. Complete Part XIV.
- ☐ Exempt retirement plans. Complete Part XV.
- ☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.
- ☐ Territory financial institution. Complete Part XVII.
- ☐ Excepted nonfinancial group entity. Complete Part XVIII.
- ☐ Excepted nonfinancial start-up company. Complete Part XIX.
- ☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.
- ☐ 501(c) organization. Complete Part XXI.
- ☐ … traded
- ☐ Excepted territory NFFE. Complete Part XXIV.
- ☐ Active NFFE. Complete Part XXV.
- ☐ Passive NFFE. Complete Part XXVI.
- ☐ Excepted inter-affiliate FFI. Complete Part XXVII.
- ☐ Direct reporting NFFE.
- ☐ Sponsored direct reporting NFFE. Complete Part XXVIII.
- ☐ Account that is not a financial account.

Select EITHER Active NFFE or Passive NFFE.
Refer to Part XXV and XXVI (Page 7) to determine the Chapter 4 Status of your Trust

Part I (6)
Individual SMSF - Complete residence address as per application form
Corporate SMSF - Complete Company's Registered Office address as listed on the ASIC register

6 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).
1 COLLINS STREET

City or town, state or province. Include postal code where ap…
MELBOURNE VIC 3000

Country
AUSTRALIA

Only applicable to Part I (6), you can complete your PO Box address in Part I (7) if you have provided a street address in Part I (6)

7 Mailing address (if different from above)
PO BOX 125

City or town, state or province. Include postal code where appropriate.
MELBOURNE VIC 3000

Country
AUSTRALIA

Selfwealth

Sample of a Typical TRUST Form Completion

FOR REFERENCE ONLY

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Part I Identification of Beneficial Owner *(continued)*

8 U.S. taxpayer identification number (TIN), if required

9a GIIN	b Foreign TIN 12 345 678 901	c Check if FTIN not legally required . . . . . ▶☐
10 Reference number(s) (see instructions)	Part I (9b) - You may provide the ABN or ACN for the Entity in this section	

Note: Please complete remainder of the form including signing the form in Part XXX.

Part III Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only.)

14 I certify that (check all that apply):

a ☑ The beneficial owner is a resident of **AUSTRALIA** within the meaning of the income tax treaty between the United States and that country.

b ☑ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):

Select 14 (a) & (b)

- ☐ Tax-exempt pension trust or pension fund
- ☐ Other tax-exempt organization
- ☐ Publicly traded corporation
- ☐ Subsidiary of a publicly traded corporation
- ☐ Company that meets the ownership and base erosion test
- ☐ Company that meets the derivative benefits test
- ☐ Company with an item of income that meets active trade or business test
- ☐ Favorable discretionary determination by the U.S. competent authority received
- ☐ No LOB article in treaty
- ☑ Other (specify Article and paragraph): **Article 16 (2)(g) - Ownership/base erosion test**

c ☐ The beneficial owner is claiming treaty benefi… m a U.S. trade or business of a foreign corporation and meet…

Company or Trust that meets "the ownership and base erosion" test

15 **Special rates and conditions** (if applicable—see instructions):
The beneficial owner is claiming the provisions of Article and paragraph _____
of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

EXTRACT FROM Page 7

Part XXV Active NFFE

Select Part XXV (39) if Active NFFE is selected in Part I (5)

39 ☐ I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI Passive NFFE

Select Part XXVI (40a) and (40b **or** 40c) if Passive NFFE is selected in Part I (5)

40a ☐ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

b ☐ I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**

c ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

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Sample of a Typical TRUST Form Completion

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Part XXX Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial ow… …f which the entity on line 1 is the beneficial owner.
I a… …**rm becomes incorrect.**

Select to confirm that you have the capacity to sign for the entity

☑ **I certify that I have the capacity to sign for the entity identified on line 1 of this form.**

DATE must be completed in MM-DD-YYYY format (e.g. 26th April 2024 would be 04-26-2024)

Full name of the signer

Sign Here ▶	Authorised signatory to sign by hand **(digital signature not accepted)**	**PETER JACK JASON**	**04-26-2024**
	Signature of individual authorized to sign for beneficial owner	Print Name	Date (MM-DD-YYYY)