

FATCA / CRS Self Certification - Individual/Joint Accounts

Stockspot Pty Ltd ABN 87 163 214 319 and AFSL 536082

Why we ask for your tax residency information (FATCA & CRS)

To help combat international tax evasion and improve global tax transparency, financial institutions like Stockspot are required to collect information about our clients' tax residency status under two international standards:

FATCA (Foreign Account Tax Compliance Act)

FATCA is a U.S. law that requires financial institutions worldwide to identify and report accounts held by U.S. citizens or U.S. tax residents.

Australia has signed an agreement with the United States to implement FATCA through the Australian Taxation Office (ATO). If you are a U.S. taxpayer, Stockspot is required to collect your U.S. tax details and report relevant account information to the ATO, which then shares it with the U.S. Internal Revenue Service (IRS).

CRS (Common Reporting Standard)

CRS is a global standard developed by the OECD that enables over 100 participating countries to exchange financial account information.

Australian financial institutions, including Stockspot, must identify clients who are tax residents in countries other than Australia. We collect this information and report it to the ATO, which then shares it with the relevant tax authorities in other countries.

What this means for you

As part of your account setup and ongoing compliance, we may ask you to confirm your tax residency status and provide any relevant foreign tax identification numbers (TINs). This ensures we meet our obligations under FATCA and CRS and helps maintain the integrity of the global financial system.

Investor Details

Each individual must confirm their tax residency status, if a tax resident of any country outside Australia, and provide any relevant foreign tax identification numbers (TINs). For joint accounts, both account holders must complete this information. This information is collected to comply with Australian law and may be reported to the ATO and shared with international tax authorities as part of global tax compliance requirements.

1. Individual & Joint Investors

Stockspot Account Name

Stockspot Account Email

Primary Account Holder

Full Name:

Address:

Email:

Secondary Account Holder (as required)

Full Name:

Address:

Email:

2. FATCA

Are you a U.S. citizen or U.S. resident for tax purposes?

No ► *Continue to section 3*

Yes ► *Provide full details below*

Primary Account Holder TIN:

Secondary Account Holder TIN:

3. CRS

Are you a tax resident of any other country outside of Australia/US?

No ► *Continue to section 4*

Yes ► *Provide full details below*

If you are a resident for tax purposes in more than one jurisdiction, please include information for **each** jurisdiction. (If you have **more than two jurisdictions**, please email the additional details along with this completed form to enquiries@stockspot.com.au)

If TIN or equivalent is not provided, please provide reason from the following options:

- **Reason A:** The country/jurisdiction where the entity is resident does not issue TINs to its residents
- **Reason B:** The entity is otherwise unable to obtain a TIN or equivalent number (Please explain why the entity is unable to obtain a TIN in the below table if you have selected this reason)
- **Reason C:** No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

Primary Account Holder

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided	If Reason B applies, please briefly explain
1.				
2.				

Secondary Account Holder

	Country of Tax Residence	Tax Identification Number (TIN) or equivalent	Reason Code if no TIN provided	If Reason B applies, please briefly explain
1.				
2.				

4. FATCA & CRS Declaration

By completing and signing this form:

- I/we declare that the information provided in this form is true and correct and reflects my/our tax residency status for the purposes of the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS).

- I/we agree to notify Stockspot as soon as reasonably possible if there are any changes to the information provided in this form, including changes to my/our tax residency or foreign tax identification numbers.
- I/we agree to provide any additional information reasonably requested by Stockspot to ensure compliance with FATCA and CRS obligations under Australian law.
- I/we acknowledge that any personal information provided to Stockspot will be collected and handled in accordance with the Stockspot Privacy Policy, available at www.stockspot.com.au/privacy.
- By signing below, I/we consent to the collection, use, and disclosure of personal information in accordance with that policy.

Signature

Signature

Print name

Print name

Date

Date

Key Definitions

1. U.S. Citizen or U.S. Tax Resident

A person is considered a U.S. tax resident if they:

- Were born in the United States (and have not renounced citizenship)
- Hold a U.S. passport
- Are a U.S. Green Card holder
- Reside in the U.S.
- Are otherwise a U.S. tax resident under U.S. law

Such individuals must provide a U.S. Taxpayer Identification Number (TIN).

2. TIN (Taxpayer Identification Number)

A unique number issued by a tax authority to identify individuals for tax purposes.

Examples include:

- U.S. TIN: Social Security Number (SSN) or Employer Identification Number (EIN)

Number (EIN)

- Other countries: National tax ID or equivalent, as required under CRS

Further information about FATCA & CRS

Stockspot.com.au/legal/fatca

irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca

Oecd.org/tax-transparency-resource-centre

Ato.gov.au/crs-and-fatca-obligations-self-review-guide

Stockspot Pty Ltd ACN 163 214 319 is a licensed Australian Financial Services provider (AFSL 536082) regulated by ASIC. Please read our Financial Services Guide before deciding whether to obtain financial services from us.