

# Common Reporting Standards (CRS) Entity Self Certification Form

Lazard Asset Management Pacific Co.

ABN 13 064 523 619

Australian Financial Services Licence No. 238 432

Investor Name (as per application form)

## Section 1: Entity CRS Self Certification of Tax Residency

Please indicate the Entity's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers (TINs); if resident in Australia, the relevant TIN is the Tax File Number).

If the Entity is not a tax resident in any jurisdiction (e.g. because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

Country/Countries of Tax Residency	Tax ID Number (e.g. TFN)	If no TIN available, reason A, B, or C (explained below)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If a TIN is unavailable please provide the appropriate reason A, B, or C:

**Reason A** – The country/jurisdiction where the investor is resident does not issue TINs to its residents.

**Reason B** – The investor is otherwise unable to obtain a TIN or equivalent number (*Please explain why in the below table.*)

**Reason C** – No TIN is required (*i.e. the domestic law of the relevant jurisdiction where you are making this application does not require the collection of any TIN issued.*)

If you selected **Reason B** above, please explain why you are unable to obtain a TIN or equivalent number:

## Section 2: Entity's CRS Classification

### Financial institutions under CRS

If the Entity is a Financial Institution, please select  one of the below categories:

- Financial Institution under CRS (other than below)
- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (if this box is ticked, please also complete a separate section for your Controlling Persons, section 3)

### Non-Financial institutions under CRS

If the Entity is a Non-Financial Institution, please select  one of the below categories:

- Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation;
- Active Non-Financial Entity – a Government Entity or Central Bank;
- Active Non-Financial Entity – an International Organisation;
- Active Non-Financial Entity – (for example a start-up NFE or a non-profit NFE);
- Passive Non-Financial Entity (if this box is ticked, please also complete section 3)

## Section 3: Complete for each Controlling Person

If there are no natural person(s) who exercise control of the Entity, then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

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

**Reason A** – The country/jurisdiction where the investor is resident does not issue TINs to its residents.

**Reason B** – The investor is otherwise unable to obtain a TIN or equivalent number (*please explain why in the below table*).

**Reason C** – No TIN is required (*i.e. the domestic law of the relevant jurisdiction where you are making this application does not require the collection of any TIN issued*).

### Controlling Person 1

Title	Given Name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Residential Address (street number and name)

Suburb	State	Postcode	Country of Tax Residence
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of Birth (DD/MM/YYYY)	TIN or Equivalent	Reason Code if no TIN provided
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>	<input type="text"/>

If **Reason B** is selected for this Controlling Person, please explain why he or she is unable to obtain a TIN or equivalent number:

### Controlling Person 2

Title	Given Name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Residential Address (street number and name)

Suburb	State	Postcode	Country of Tax Residence
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of Birth (DD/MM/YYYY)	TIN or Equivalent	Reason Code if no TIN provided
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>	<input type="text"/>

If **Reason B** is selected for this Controlling Person, please explain why he or she is unable to obtain a TIN or equivalent number:

### Controlling Person 3

Title  Given Name(s)  Surname

Residential Address (street number and name)

Suburb  State  Postcode  Country of Tax Residence

Date of Birth (DD/MM/YYYY)  /  /  TIN or Equivalent  Reason Code if no TIN provided

If **Reason B** is selected for this Controlling Person, please explain why he or she is unable to obtain a TIN or equivalent number:

If there are more than 3 controlling persons, please list them on a separate piece of paper.

## Section 4: Declarations and Signature

Please have two authorised persons of the Entity signing this Form.

The named that is applying for investments in the selected fund(s) declares that the details given in this form are true and correct, and:

- I/we agree to promptly provide Lazard any information required from time to time to enable Lazard to comply with the US Foreign Account Tax Compliance Act and the Common Reporting Standard, together with the supporting regulations and any related Australian law designed to implement these regimes;
- I/we consent to Lazard reporting any relevant information to the ATO and exchanging with tax authorities of another country or countries in which I/we may be tax resident(s) where those countries (or tax authorities in those countries) have entered into agreements with Australia to exchange financial account information;
- I/we agree to promptly provide an updated Entity CRS Self Certification Form where any change in circumstance occurs which causes any of the information contained in this form to be incorrect; and
- if this document is signed by an attorney, the attorney states that there is no notice of revocation of the power of attorney under which this document is signed.

Print Name

Print Name

Signature of Authorised Person 1

Signature of Authorised Person 2

Capacity (e.g. Director, Trustee, Power of Attorney)

Capacity (e.g. Director, Trustee, Power of Attorney)

Date (DD/MM/YYYY)  /  /

Date (DD/MM/YYYY)  /  /

## Where do I send this form?

Completed Entity CRS Self Certification Form, New Investor Application Form and Identification Documentation should be mailed to:

The Manager, State Street Unit Registry  
State Street Australia Limited Level 14, 420 George Street  
Sydney, NSW 2000  
Fax: (02) 9323 6411

## Further Assistance or Information

If you require assistance with completing this form, please contact Lazard on: **1800 825 287** or [investorqueries@lazard.com](mailto:investorqueries@lazard.com).

Your tax adviser may be able to assist you in answering specific questions on this form. Alternatively you can find further information on the ATO's Automatic Exchange of Information Guidance, accessible at: <https://www.ato.gov.au/general/international-tax-agreements/in-detail/international-arrangements/automatic-exchange-of-information---crs-and-fatca/>