

Foreign Account Tax Compliance Act (FATCA) Self Certification Declaration

Trilogy Funds, under FATCA, is required to report to the U.S. Internal Revenue Service information on U.S. citizens with financial accounts. Therefore, Trilogy Funds is obligated to determine the FATCA status of all Investors. Your signature on the Application form verifies that all information is correct and accurate including the information on this FATCA Self Certification Declaration in line with FATCA.

If you are an existing Trilogy Funds Investor, please provide your Investor ID and go to section 5:

Section 1: FATCA information for Individual applicants

1.1 Given name(s)

1.2 Surname

1.3 US citizen or resident of the US for tax purposes (if applicable)

	Taxpayer Identification Number (TIN):			
	YES		NO	

1.4 Date of birth

1.5 Tax file number (TFN)
(Individual and Joint Investors only)

1.6 Politically exposed person (PEP) details (if applicable) *Please see www.austrac.gov.au for PEP definition*

	YES	NO	YES	NO
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1.7 US citizen or resident of the US for tax purposes (if applicable)

	Taxpayer Identification Number (TIN):		Taxpayer Identification Number (TIN):	
	YES	NO	YES	NO

Section 2: FATCA information for Company applicants

2.1 Company Name

2.2 ABN/ACN

2.3 Company organised or incorporated in the U.S. (if applicable)

	Company's Employer Identification Number (EIN):			
	YES		NO	

2.4 Is the company a financial institution? *(If you are unsure, refer to the Definitions provided at the end of this declaration)*

YES

Global Intermediary Identification Number

Other
Please specify any other FATCA Status of the Company (if any)

NO

2.5 Are any of the directors or beneficial owners (who own more than 25% controlling shares) of the company U.S. citizens or residents of the U.S. for tax purposes?

yes, Complete details of all such directors/beneficial owners below

NO

Director/Beneficial 1
Director/Beneficial 2

Given Name/s

Surname

US TIN

Residential Address

Postcode

State

Country

2.6 Complete this question only if the company is a non-U.S. incorporated, non-financial company, but has any director or beneficial owners of the company who are U.S. citizens or residents of U.S. for tax purposes.

In the preceding calendar year, did the Company either:

- a) earn more than 50% of its gross income from investment sources deriving distributions, dividends, rental, interest or other investment or income **OR**
 b) hold more than 50% of its assets in shares, properties, bonds or similar investment assets?

YES

NO

Section 3: FATCA information for Trust applicants

3.1 Full name of Trust

3.2 Trust's ABN/ACN (if applicable)

3.3 Is this Trust a compliant superannuation fund (including self-managed super funds, employer sponsored funds, industry funds and public funds)?

YES - Proceed to Part 3.6

NO - Proceed to Part 3.4

3.4 Is the Trust organised or incorporated in the U.S.?

YES

What is the Trust's Employer Identification Number (EIN)? Proceed to Part 3.6

NO Proceed to Part 3.5

YES

Global Intermediary Identification Number

3.5 Is the Trust a financial institution? (If you are unsure, refer to the Definitions provided at the end of this declaration)

Other

Please specify any other FATCA Status of the Trust (if any)

NO

3.6 Are any of the trustees, beneficiaries, appointers or settlers of the trust U.S. citizens or residents of the U.S. for tax purposes? **Please notes:** (If the Trustee/Beneficiary is a Company, please complete Part 2 for the company).

YES - Complete details of all such trustees, beneficiaries, appointers or settlers below

NO - End of Part 3

Applicant type	Trustee Beneficiary Appointer Settler	Trustee Beneficiary Appointer Settler
	Applicant 1	Applicant 2

Given Name/s

Surname

US TIN

Residential Address

Postcode

State

Country

2.6 Complete this question only if the Trust is a non-U.S. incorporated, non-financial company, but has any director or beneficial owners of the company who are U.S. citizens or residents of U.S. for tax purposes.

In the preceding calendar year, did the Trust either:

- a) earn more than 50% of its gross income from investment sources deriving distributions, dividends, rental, interest or other investment or income **OR**
- b) hold more than 50% of its assets in shares, properties, bonds or similar investment assets?

YES NO

END OF DECLARATION

Definitions

Financial Institution

As defined by FATCA, a Financial Institution may be any of the following:

- Custodial Institution: that conducts a substantial business of holding financial assets for others
- Depository Institution: a bank or similar business that accepts deposits in the ordinary course of business
- Investment Entity: that conducts (or is managed by an entity that conducts)
 - Money market trading;
 - Portfolio management; or
 - investing, administering or managing funds or money, as a business on behalf of a customer (example include: responsible entities for managed funds, professional funds managers).
 - Specified Insurance Company: issues a cash value insurance contract or annuity; but excludes small passive investment vehicles, such as family trust and personal investment companies, that are not managed by professional trustees or fund managers.