



FORM T12



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

Part 1 - FATCA information for Individual applicants

Given name(s)

Surname

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

Yes - Please provide your Taxpayer Identification Number (TIN)

No

Part 2 - FATCA information for Company applicants

2.1 Full name of Company

2.2 What is the Company's ABN/ACN?

2.3 Is the Company organised or incorporated in the U.S.?

Yes - What is the Company's Employer Identification Number (EIN)?

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 - What is the Company's Global Intermediary Identification Number?

OR 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 - End of Part 2





DIRECTOR/BENEFICIAL OWNER 1

Given name(s)

Surname

US TIN

Residential address

State Postcode

Country

DIRECTOR/BENEFICIAL OWNER 2

Given name(s)

Surname

US TIN

Residential address

State Postcode

Country

DIRECTOR/BENEFICIAL OWNER 3

Given name(s)

Surname

US TIN

Residential address

State Postcode

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 owner 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**





Part 3 - FATCA information for Trust applicants

3.1 Full name of Trust

3.2 What is the Trust's ABN/ACN? (if applicable)

3.3 Is the 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

3.5 Is the Trust a financial institution?

(If you are unsure, refer to the Definitions provided at the end of this declaration)

Yes - What is the Trust's Global Intermediary Identification Number (GIN)

OR 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 note: 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 1

Indicate applicant type

Trustee

Beneficiary

Appointer

Settler

Given name(s)

Surname

US TIN

Residential address

State

Postcode

Country





APPLICANT 2

Indicate applicant type

Trustee Beneficiary Appointer Settler

Given name(s)

Surname

US TIN

Residential address

State Postcode

Country

APPLICANT 3

Indicate applicant type

Trustee Beneficiary Appointer Settler

Given name(s)

Surname

US TIN

Residential address

State Postcode

Country

3.7 Complete this question only if the Trust is a non-U.S. incorporated, non-financial superannuation fund, but has any trustee or beneficial owner 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)
 - a) money market trading;
 - b) portfolio management; or
 - c) investing, administering or managing funds or money, as a business on behalf of a customer (examples include: responsible entities for managed funds, professional fund 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 manager.

