

# Loomis Sayles Global Equity Fund FATCA/CRS Form | New Investors

ISSUED BY INVESTORS MUTUAL LIMITED ABN 14 078 030 752 AFSL 229988

Collection of tax status in accordance with the United States Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

## 1. Individual applicant

Is the individual a US citizen or resident of a country other than Australia for tax purposes?

Yes  No

If yes, please provide the individual's Taxpayer Identification Number (TIN) and information below:

| Country              | TIN                  | If no TIN, list reason A,B or C |
|----------------------|----------------------|---------------------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/>            |

If there are more countries, provide details on a separate sheet and tick this box.

Reason A = The country of tax residency does not issue TINs to tax residents

Reason B = The individual has not been issued with a TIN

Reason C = The country of tax residency does not require the TIN to be disclosed

## 2. Companies applicant

### Australian Companies

Select only one of the following categories and provide the requested information.

2.1  **Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company does not have a GIIN, please provide its FATCA status

If the company is a Financial Institution, this section is now complete.

2.2  **Non-Financial Public Company** (Public companies that are not Financial Institutions as described above)

If the company is a Public Company, this section is now complete.

2.3  **Non-Financial Proprietary Company** (Proprietary companies that are not Financial Institutions as described above)

Are any of the beneficial owners (as per this section 1.2) US citizens or residents of the US for tax purposes

Yes  No

If yes, provide the name and US Taxpayer Identification Number (TIN) of each beneficial owner who is a US citizen or resident of the US for tax purposes.

|   | Full given names (s) | Surname              | US TIN               |
|---|----------------------|----------------------|----------------------|
| 1 | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 2 | <input type="text"/> | <input type="text"/> | <input type="text"/> |

If the company has more than two beneficial owners that are US citizens or US residents for tax purposes, please provide additional details on a separate page that is marked with the name of the company and attach it to this application form.

Tick here if you are including/have included details of additional beneficial owners.

**2.4 Is the Company a tax resident of a country other than Australia?**

Yes  No

If yes, please provide the Company's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below.

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

|                      |                      |                                 |
|----------------------|----------------------|---------------------------------|
| Country              | TIN                  | If no TIN, list reason A,B or C |
| <input type="text"/> | <input type="text"/> | <input type="text"/>            |

- Reason A = The country of tax residency does not issue TINs to tax residents
- Reason B = The company has not been issued with a TIN
- Reason C = The country of tax residency does not require the TIN to be disclosed

**Foreign Companies**

If the Applicant Company is a Foreign Company, select only one of the following categories and provide the requested information:

FATCA Status (select only ONE of the following categories and provide the information requested)

**2.5 United States Company** (A company created in the US, established under the laws of the US or a US taxpayer)

Is the company an exempt payee for US tax purposes?

Yes  No

If yes, proceed to section 2.

If no, Provide the company's US Taxpayer Identification Number (TIN)

If the company is a US Company, this section is now complete.

**2.6 Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the company's Global Intermediary Identification Number (GIIN), if applicable

If the company does not have a GIIN, please provide its FATCA status

If the company is a Financial Institution, this section is now complete.

**2.7 Non-Financial Public Company** (Public companies that are not Financial Institutions as described above)

If the company is a Public Company, this section is now complete.

**2.8 Non-Financial Proprietary Company** (Proprietary companies that are not Financial Institutions as described above)

Are any of the beneficial owners (as per this section 1.2) US citizens or residents or a resident of a country other than Australia for tax purposes.

Yes  No

If yes, please provide details of these individuals below and complete a separate Individual Identification Form for each Beneficial Owner (unless already provided in section 1).

|          | Full given names (s) | Surname              | Role                 |
|----------|----------------------|----------------------|----------------------|
| <b>1</b> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <b>2</b> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

If the company has more than two beneficial owners that are US citizens or residents or residents of a country other than Australia for tax purposes, please provide additional details on a separate page that is marked with the name of the company and attach it to this application form.

Tick here if you are including / have included details of additional beneficial owners

**Is the Company a tax resident of a country other than Australia?**

Yes  No

If yes, please provide the Company's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below.

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

|                      |                      |                                 |
|----------------------|----------------------|---------------------------------|
| Country              | TIN                  | If no TIN, list reason A,B or C |
| <input type="text"/> | <input type="text"/> | <input type="text"/>            |

- Reason A = The country of tax residency does not issue TINs to tax residents
- Reason B = The company has not been issued with a TIN
- Reason C = The country of tax residency does not require the TIN to be disclosed

### 3. Trust Applicant

Australian regulated super funds (Self-Managed Superannuation Funds, APRA regulated super funds, government super funds or pooled superannuation trusts) are not required to complete this section.

Provide the Trust or Trustee's Global Intermediary Identification Number (GIIN), if applicable

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status

**FATCA Status** (select only ONE of the following categories and provide the information requested)

**United States Trust** (A trust created in the US, established under the laws of the US or a US taxpayer)

Is the trust an exempt payee for US tax purposes?

Yes  No

If yes, this section is now complete.

If no, provide the trust's US Taxpayer Identification Number (TIN)

If the trust is a US trust, this section is now complete.

**Financial Institution or Trust with a Trustee that is a Financial Institution** (A trust that is primarily established for custodial or investment purposes or a Trust that has a Trustee that is a Financial Institution in its own right)

Provide the Trust or Trustees' Global Intermediary Identification Number (GIIN), if applicable

If neither the Trust nor the Trustee has a GIIN, please provide the Trust's FATCA status

If the Trust is a Financial Institution or has a Trustee that is a Financial Institution, this section is now complete.

**Other** (Trusts that are not US Trusts, Financial Institutions or do not have Financial Institution Trustees)

Are any of the Trust's controlling persons a US citizen or tax resident of a country other than Australia

Yes  No

If the Trustee is a company, are any of this company's Controlling persons a US citizen or tax resident of a country other than Australia

Yes  No

A controlling person is any individual who directly or indirectly exercises control over the Trust. For a Trust, this includes all Trustees, Settlers, Protectors or Beneficiaries. For a Trustee company this includes any beneficial owners controlling more than 25% of the shares in the company or Senior Managing Officials.

Provide the name, address and Taxpayer Identification Number (TIN) of each beneficiary, trustee, settlor or beneficial owner who is a US citizen or resident of a country other than Australia for tax purposes. Addresses are only required if they have not already been provided in this form.

#### US Person 1 or tax resident of a country other than Australia

Full given name(s) Surname

Residential Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

#### US Person 2 or tax resident of a country other than Australia

Full given name(s) Surname

Residential Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

### 3. Trust Applicant *continued*

If the trust has more than two beneficiaries/trustees/settlers/beneficial owners who are US citizens or residents of a country other than Australia for tax purposes, please provide the additional details on a separate piece of paper which is marked with the name of the trust and include it with this application form.

Tick here if you have included details of additional beneficiaries / trustees / settlors / beneficial owners

**Is the Trust a tax resident of a country other than Australia?**

Yes  No

If yes, please provide the Trust's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below.

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

| Country              | TIN                  | If no TIN, list reason A,B or C |
|----------------------|----------------------|---------------------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/>            |

- Reason A = The country of tax residency does not issue TINs to tax residents
- Reason B = The Trust has not been issued with a TIN
- Reason C = The country of tax residency does not require the TIN to be disclosed

### 4. Partnership Applicant

(Select only ONE of the following categories and provide the information requested)

**United States Partnership** (A partnership created in the US, established under the laws of the US or a US taxpayer)

Is the Partnership an exempt payee for US tax purposes?

Yes  No

If yes, this section is now complete.

If no, provide the Partnership's US Taxpayer Identification Number (TIN)

If the Partnership is a US Partnership, this section is now complete.

**Financial Institution** (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)

Provide the partnership's Global Intermediary Identification Number (GIIN), if applicable

If the partnership does not have a GIIN, please provide its FATCA status

If the partnership is a Financial Institution, this section is now complete.

**Other** (Partnerships that are not US Partnerships)

Are any of the Partnership's controlling persons a US citizen or tax resident of a country other than Australia

Yes  No

A controlling person is any individual who directly or indirectly owns or controls the Partnership and includes all Partners or Senior Managing Officials.

If yes, provide the name, address and Taxpayer Identification Number (TIN) of each partner who is a US citizen or resident of a country other than Australia for tax purposes.

#### 4. Partnership Applicant *continued*

##### US Partner 1 or tax resident of a country other than Australia

Full given name(s) Surname

|  |  |
|--|--|
|  |  |
|--|--|

Residential Address (PO Box is NOT acceptable)

|  |
|--|
|  |
|--|

Suburb

State

Postcode

Country

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|--|--|--|--|

##### US Person 2 or tax resident of a country other than Australia

Full given name(s) Surname

|  |  |
|--|--|
|  |  |
|--|--|

Residential Address (PO Box is NOT acceptable)

|  |
|--|
|  |
|--|

Suburb

State

Postcode

Country

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|--|--|--|--|

If the partnership has more than two partners that are US citizens or residents of a country other than Australia for tax purposes, please provide the additional partners' details on a separate piece of paper which is marked with the name of the partnership and include it with this application form.

Tick here if you have included details of additional partners

Is the Partnership a tax resident of a country other than Australia?

Yes  No

If yes, please provide the Partnership's country of tax residence and Taxpayer Identification Number (TIN) or equivalent below.

If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Country

TIN

If no TIN, list reason A,B or C

|  |  |  |
|--|--|--|
|  |  |  |
|--|--|--|

Reason A = The country of tax residency does not issue TINs to tax residents

Reason B = The partnership has not been issued with a TIN

Reason C = The country of tax residency does not require the TIN to be disclosed