

FATCA Form | New Investors

Dated 20 September 2016

Issued by Investors Mutual Limited

ABN 14 078 030 752

AFS Licence No. 229988

1. Individual applicant

Is the individual a US citizen or resident of the US for tax purposes?

Yes No

If yes, provide the individual's US Taxpayer Identification Number (TIN):

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.

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)

2.4 **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.

2.5 **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.

2.6 **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.

2.7 **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

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 company 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 beneficiaries, trustees or settlors US citizens or residents of the US for tax purposes

Yes No

If the Trustee is a company, are any of this company's beneficial owners US citizens or residents of the US for tax purposes.

Yes No

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

US Person 1

Full given name(s)

Surname

Residential Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

US Person 2

Full given name(s)

Surname

Residential Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

If the trust has more than two beneficiaries/trustees/settlors/beneficial owners who are US citizens or US residents 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

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 partners US citizens or residents of the US for tax purposes

Yes No

If yes, provide the name, address and US Taxpayer Identification Number (TIN) of each partner who is a US citizen or resident of the US for tax purposes. Addresses are only required if they have not already been provided in this form. If there are more than 3 US partners, provide the details of the additional US partners on a separate sheet.

US Partner 1

Full given name(s)

Surname

Residential Address (PO Box is NOT acceptable)

Suburb

State

Postcode

Country

US Person 2

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 US residents 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