



SMEAD FUNDS  
A COLLECTIVE INVESTMENT FUND, ORGANIZED UNDER  
THE LAWS OF THE GRAND DUCHY OF LUXEMBOURG



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## Individual Self-Certification Form for FATCA and CRS

### Instructions for completion

We are obliged under local laws and regulations to collect and report to the Luxembourg tax authorities and the relevant foreign tax authorities certain information about financial accounts held by some of our account holders.

For joint or multiple account holders, please complete a separate Self-Certification Form for each account holder.

If you are completing the Self-Certification Form on behalf of the account holder's, then you should indicate the capacity in which you have signed in Section 4 of the account application. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the Self-Certification Form under a signatory authority or power of attorney.

If you have any questions about this Self-Certification Form or defining your FATCA or CRS status, please speak to your tax adviser or local tax authority.

For further information on CRS please refer to the OECD automatic exchange of information portal: <http://www.oecd.org/tax/automatic-exchange/>

Mandatory fields are marked with an \*

### Section 1: Controlling Person Identification (please refer to the glossary)

NAME\*

RESIDENTIAL ADDRESS NUMBER\*

STREET

CITY, TOWN, STATE, PROVINCE OR COUNTY

POSTAL/ZIP CODE

COUNTRY

Mailing address (if different from above):

NUMBER

STREET

CITY, TOWN, STATE, PROVINCE OR COUNTY

POSTAL/ZIP CODE

COUNTRY

TOWN OR CITY OF BIRTH\*

COUNTRY OF BIRTH\*

DATE OF BIRTH\*

Legal name of the relevant Passive NFE(s) of which you are a Controlling Person\*

LEGAL NAME OF ENTITY 1

LEGAL NAME OF ENTITY 2

LEGAL NAME OF ENTITY 3



**Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes:\***

Please tick either (a) or (b) and complete as appropriate.

(a) I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal Taxpayer Identifying Number U.S. TIN IS AS FOLLOWS

OR

(b) I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

**Section 3: CRS Declaration of Tax Residence (please note you may choose more than one country)\***

Please indicate your country of Tax Residence (if resident in more than one country, please detail all countries of Tax Residence and associated Tax Identification Numbers).

COUNTRY OF TAX RESIDENCE

TAX ID NUMBER (1)

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TAX ID NUMBER (1)

(1) Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a (TIN). If applicable, please specify the reason for non-availability of a Tax ID Number:

**Section 4: Declaration and Undertakings:**

I declare that the information provided in this Self-Certification Form is, to the best of my knowledge and belief, accurate and complete.

I undertake to advise the recipient within 30 days and provide an updated Self-Certification Form, where any change in circumstances occurs, which causes any of the information contained in this Self-Certification Form to be incorrect.

I acknowledge that the information, data disclosed in this Self-Certification Form may be disclosed to the Luxembourg tax authorities or any other authorised delegates under Luxembourg law for tax purposes.

**AUTHORISED SIGNATURE\***

**PRINT NAME\***

**DATE: (DD/MM/YYYY)\***

**CAPACITY\***