



For assistance, please contact us at 800-243-1574 or visit our website at Virtus.com

1. General Instructions

What is this form?

To help the government fight financial crime, Federal regulation requires certain financial institutions to obtain, verify and record information about the beneficial owners of legal entity customers.

Who has to complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity with any of the following U.S. financial institutions: (i) a bank or credit union; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities.

For the purposes of this form, a legal entity includes a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country.

What information do I have to provide?

This form requires you to provide the name, address, date of birth and Social Security number (or passport number or other similar information, in the case of foreign persons) for the following individuals (i.e., the beneficial owners):

- (i) Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation); and
(ii) An individual with significant responsibility for managing the legal entity customer (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer).

The number of individuals that satisfy this definition of "beneficial owner" may vary. Under section 2(c), below, depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section 2(c), you must provide the identifying information of one individual under section 2(d), below.

If the legal entity information requested on this form is not provided, we will be unable to establish an account. Virtus Mutual Funds may also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

2. Certification of Beneficial Owner(s)

Persons opening an account on behalf of a legal entity must provide the following information:

a. Name and Title of Natural Person Opening the Account:

\_\_\_\_\_

b. Name and Address of Legal Entity for Which the Account is Being Opened:

\_\_\_\_\_

c. The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25 percent or more of the equity interests of the legal entity listed above:

Name \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address (Residential or Business Street Address) \_\_\_\_\_

For U.S. Persons: Social Security Number \_\_\_\_\_ For Foreign Persons: Passport Number and Country of Issuance or other similar identification number1 \_\_\_\_\_

## 2. Certification of Beneficial Owner(s), continued

Name \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address (Residential or Business Street Address) \_\_\_\_\_

For U.S. Persons: Social Security Number \_\_\_\_\_ For Foreign Persons: Passport Number and Country of Issuance or other similar identification number<sup>1</sup> \_\_\_\_\_

Name \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address (Residential or Business Street Address) \_\_\_\_\_

For U.S. Persons: Social Security Number \_\_\_\_\_ For Foreign Persons: Passport Number and Country of Issuance or other similar identification number<sup>1</sup> \_\_\_\_\_

Name \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address (Residential or Business Street Address) \_\_\_\_\_

For U.S. Persons: Social Security Number \_\_\_\_\_ For Foreign Persons: Passport Number and Country of Issuance or other similar identification number<sup>1</sup> \_\_\_\_\_

(If no individual meets this definition, please write "Not Applicable".)

- d. The following information for one individual, with significant responsibility for managing the legal entity listed above, such as: An executive officer or senior manager (e.g., Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer); or Any other individual who regularly performs similar functions.

If appropriate, an individual listed under section (c) may also be listed in section (d).

Name \_\_\_\_\_ Date of Birth \_\_\_\_\_

Address (Residential or Business Street Address) \_\_\_\_\_

For U.S. Persons: Social Security Number \_\_\_\_\_ For Foreign Persons: Passport Number and Country of Issuance or other similar identification number<sup>1</sup> \_\_\_\_\_

<sup>1</sup>In lieu of a passport number, foreign persons may also provide an alien identification card number, or country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

## 3. Authorizing Signature

I, \_\_\_\_\_ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information provided on this form is complete and correct.

Signature/Capacity \_\_\_\_\_ Date \_\_\_\_\_