UBS

FATCA - AEI - CARF Individual self-certification

Please note

This self-certification form is intended to collect information required under Foreign Account Tax Compliance Act (FATCA), Automatic Exchange of Information (AEI) and Crypto-Asset Reporting Framework (CARF).
Please see the supporting notes to this self-certification for further information. For the avoidance of doubt, the Supporting Notes and guidance provided are for reference purposes only and do not constitute tax advice. If you require assistance in completing this self-certification form then you should seek qualified professional assistance.

Part 1 - Basic Information

Name of individual

Date of birth *(dd/mm/yyyy)* | **City of birth** | **Country of birth**

Residence / Permanent address

Street | Post code
City | Country

Mailing address *(if different to permanent address)*

Street | Post code
City | Country

Part 2 - Tax Residency

Please complete the table below by specifying all jurisdictions in which you are resident for tax purposes (disregarding any tie-breaker rules under Double Tax Treaties) along with your Taxpayer Identification Number (or functional TIN equivalent) issued by the jurisdiction(s) listed.

If a TIN is unavailable, please provide the appropriate reason:
Reason A: the jurisdiction in which you are tax resident does not issue TINs to its residents.
Reason B: the jurisdiction in which you are tax resident does not require a TIN to be collected.
Reason C: you are otherwise unable to obtain a TIN or equivalent number.

Jurisdiction	TIN	Reason for no TIN
		☐ A ☐ B ☐ C
		☐ A ☐ B ☐ C
		☐ A ☐ B ☐ C

If you selected reason C, please explain why you are unable to obtain a TIN:

Citizenship or Residence by Investment (CBI/RBI) Scheme Information

Complete this section only if the sole jurisdiction of tax residency listed above is a jurisdiction offering a potentially high-risk citizenship or residence by investment (CBI/RBI) scheme (*see the Supporting Notes for part 2)*.

☐ The jurisdiction of tax residency listed above **is not claimed** through a CBI / RBI scheme.
☐ The jurisdiction of tax residency listed above **is claimed** through a CBI / RBI scheme *(if selected, complete below)*.
  ☐ I confirm that the jurisdiction of tax residence(s) listed above is/are complete and correct, in particular by taking into consideration the following factors:
    - Residence rights in any other country(ies);
    - Physical presence of more than 90 days in any other country(ies) during the previous year; and/or
    - Personal income tax return(s) filed during the previous year in any other country(ies).
  ☐ After considering the above factors, I confirm that **I do not** have any additional Tax Residence(s).

U.S. Person Information

Please select one box only (*see the Supporting Notes for part 2)*.
☐ The individual listed above is a U.S. person. Please enter U.S. TIN if not provided above:
☐ The individual listed above is not a U.S. person.

Part 3 - Certification

I certify that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

I agree that I will inform the contracting UBS entity ("UBS") within 60 days if any change in circumstances renders this self-certification incorrect.

I confirm that the person named in Part 1 is not acting as an agent, custodian, nominee, signatory, investment advisor, or intermediary for the benefit of another person. If this is not the case, a self-certification must be provided for that other person.

I certify that the individual signing this form is either the beneficial owner as named in Part 1 of this form, or has the capacity to sign on behalf of the beneficial owner. I confirm that, where this form is being completed by someone other than the person named in Part 1, such person has given any required consents to allow the processing and disclosure of information as set out in this form.

I acknowledge and agree that for the purpose of any FATCA, AEI and CARF:
a) the information contained in this form; and
b) any information regarding my Account(s) (including the account balance or value, the total amount of any payments of dividends, interest, other income and gross proceeds made or credited to the Account(s)), and/or
c) any information regarding my transactions in Relevant Crypto-Assets;

is collected and may be kept by the contracting UBS entity or any UBS Affiliate and such information may be reported by UBS (whether by itself or through any UBS Affiliate) under its obligations as a reporting financial institution (under applicable FATCA or AEI laws and regulations) or as a Reporting Crypto-Asset Service Provider (under CARF laws and regulations) to the relevant tax authorities and disclosed to UBS Affiliates or third party service providers to perform services for UBS for the purposes stated above. These tax authorities may exchange such information with the tax authorities of the jurisdiction(s) which are listed as my tax residence(s) in this form if the respective tax authorities have entered into an agreement to exchange information under FATCA, AEI or CARF. A list of such agreements to exchange this information may be found on *ubs.com/aei*

For the purposes of this form, "UBS Affiliates" means any entity (i) that controls UBS; (ii) that is controlled by UBS; or (iii) that is controlled by an entity that also controls UBS, where "control" includes direct or indirect control and means possession of the power to direct or cause the direction of the management or policies of an entity, whether through the ownership of voting securities, by contract or otherwise.

Sign here

Signature | Print name of individual signing form | Date | Capacity in which acting *(if not signed by person named in Part 1)*