

FATCA - AEI - CARF Entity self-certification

Please note

This Entity 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 determining the most relevant classification for your organisation then you should seek qualified professional assistance.

All organisations completing this self-certification should complete Parts 1-3, 8, 10 and 12. In addition, depending on your organisation's response to Parts 3, 8 and 10, additional sections must be completed (these are flagged with 'go to X' after relevant responses). When completing this form please ensure that you have completed all the parts flagged for your organisation before completing Part 12.

Part 1 - Organisation Information

Name of organisation:

Jurisdiction of incorporation/organisation:

Registered / Permanent address:

Street: Post Code:
 City: Country:

Mailing address: (if different from above)

Street: Post Code:
 City: Country:

Disregarded Entity information

Is the organisation listed above a disregarded entity for U.S. tax purposes? Yes No
(If Yes, please provide Form W-8/W-9 (as applicable) for the disregarded entity owner)

Part 2 - Tax Residency

Please complete the table below by specifying all jurisdictions in which your organisation is resident for tax purposes (disregarding any tie-breaker rules under Double Tax Treaties) along with the organisation's 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 the organisation is tax resident does not issue TINs to its residents.

Reason B: the jurisdiction in which the organisation is tax resident does not require a TIN to be collected.

Reason C: the organisation is otherwise unable to obtain a TIN or a functional TIN equivalent.

Jurisdiction <input style="width: 200px; height: 15px;" type="text"/>	TIN <input style="width: 200px; height: 15px;" type="text"/>	Reason for no TIN <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Jurisdiction <input style="width: 200px; height: 15px;" type="text"/>	TIN <input style="width: 200px; height: 15px;" type="text"/>	Reason for no TIN <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

If you selected reason C, please explain why the organisation is unable to obtain a TIN:

When completing Part 2 of this form, you are confirming that if any country listed in Part 1 of this form is not specified in Part 2 as a jurisdiction of tax residence, it is because the unspecified country(s) is (are) not relevant for the determination of tax residence due to applicable tax residence local laws or other reason. If other reason, please specify:

Part 3 - FATCA classification

Please provide your organisation's FATCA classification (must check one box only):

U.S. Persons only (Please ensure you also provide a Form W-9):

- U.S. financial institution *(go to Part 8)*
- U.S. active / excepted nonfinancial entity *(go to Part 8)*
- U.S. passive nonfinancial entity *(go to Part 8)*

Non-U.S. Persons:

- Nonparticipating FFI *(go to Part 8)*
- Participating FFI *(go to Part 4)*
- Reporting Model 1 FFI *(go to Part 4)*
- Reporting Model 2 FFI *(go to Part 4)*
- Registered deemed-compliant FFI *(go to Part 4)*
- Sponsored FFI *(go to Part 5)*
- Certified deemed-compliant nonregistering local bank *(go to Part 8)*
- Certified deemed-compliant FFI with only low-value accounts *(go to Part 8)*
- Certified deemed-compliant sponsored, closely held investment vehicle *(go to Part 5)*
- Certified deemed-compliant limited life debt investment entity *(go to Part 8)*
- Certain investment entities that do not maintain financial accounts *(go to Part 8)*
- Owner-documented FFI *(go to Part 8 and complete Appendix 2)*
- Restricted distributor *(go to Part 8)*

- Nonreporting IGA FFI *(go to Part 5)*
- Foreign Government, government of a U.S. possession, or foreign central bank of issue *(go to Part 8)*
- International organisation *(go to Part 8)*
- Exempt retirement plans *(go to Part 8)*
- Entity wholly owned by exempt beneficial owners *(go to Part 8 and complete Appendix 2)*
- Territory financial institution *(go to Part 8)*
- Excepted nonfinancial group entity *(go to Part 8)*
- Excepted nonfinancial start-up company *(go to Part 6)*
- Excepted nonfinancial entity in liquidation or bankruptcy *(go to Part 6)*
- 501(c) organisation *(go to Part 6)*
- Nonprofit organisation *(go to Part 8)*
- Publicly traded NFFE or NFFE affiliate of a publicly traded corporation *(go to Part 6)*
- Excepted territory NFFE *(go to Part 8)*
- Active NFFE *(go to Part 8)*
- Passive NFFE *(go to Part 7)*
- Excepted inter-affiliate FFI *(go to Part 8)*
- Direct reporting NFFE *(go to Part 4)*
- Sponsored direct reporting NFFE *(go to Part 5)*

Part 4 - Global Intermediary Identification Number (GIIN)

Please provide your organisation's GIIN number, or the reason for no GIIN being available, below.

GIIN:

Reason for no GIIN:

Note: If you are a collective investment vehicle or similar organisation please specify if the GIIN provided above is for 'Umbrella' or 'Sub fund' level:

- Umbrella fund
- Sub fund

Go to part 8

Part 5 - Sponsored Entities and Nonreporting IGA FFIs

Please tick the appropriate box for a Sponsored Entity or a Nonreporting IGA FFI and complete the required information:

- The organisation named in Part 1 is a Sponsored FFI or a Sponsored Entity with a sponsored entity GIIN classified as a Nonreporting IGA FFI.

GIIN:

Name of sponsoring entity:

- The organisation named in Part 1 is a Nonreporting IGA FFI other than a Sponsored Entity and has obtained its own GIIN.

GIIN:

Nonreporting IGA FFI category:

- The organisation named in Part 1 is a Nonreporting IGA FFI who is not required to obtain its own GIIN pursuant to an applicable IGA between the United States and the following IGA country:

Provide Nonreporting IGA FFI category (select one category only):

- Trustee Documented Trust
Provide the GIIN of the Trustee:
Provide the name of the Trustee:

- Sponsored Entity (without a sponsored entity GIIN)
Provide the name of the sponsoring entity:

- Nonreporting IGA FFI other than the above. Specify type of Nonreporting IGA FFI:

- The organisation named in Part 1 meets the requirements to be considered a Certified deemed-compliant sponsored, closely held investment vehicle pursuant to the U.S. Treasury Regulations at §1471-5-(f)(2)(iii).

Provide Sponsoring Entity's GIIN:

Provide Sponsoring Entity's Name:

Go to part 8

Part 6 - Excepted NFFEs

Please tick the appropriate box for the relevant type of Excepted NFFE and complete the required information:

- Excepted nonfinancial start-up company. Provide the date of formation: (dd/mm/yyyy)

- Excepted nonfinancial entity in liquidation or bankruptcy. Provide the date that the organisation filed a plan for liquidation / reorganisation or bankruptcy: (dd/mm/yyyy)

- 501(c) organisation

- Organisation has been issued a determination letter from the IRS that is currently in effect concluding that the organisation is a section 501(c) organisation that is dated (dd/mm/yyyy)
- Organisation has provided UBS with a copy of an opinion from US counsel certifying that the payee is a section 501(c) organisation.

- Publicly traded NFFE or NFFE affiliate of a publicly traded corporation

Name of one securities exchange upon which the stock is regularly traded:

The name of the publicly traded corporation whose stock is regularly traded on the above securities exchange:

Go to part 8

Part 7 - Identification of U.S. Controlling Persons

If the FATCA classification of your organisation is a Passive NFFE please confirm you have disclosed all required U.S. Controlling Persons/Substantial U.S. Owners by entering the total number of identified U.S. Controlling Persons/Substantial U.S. Owners below and completing Appendix 1 for each U.S. Controlling Person/Substantial U.S. Owner (refer to Part 7, Section 2 of the Supporting Notes). If the U.S. Controlling Person/Substantial U.S. Owner is an entity, please provide W-9 for that entity instead of Appendix 1.

Total number of U.S. Controlling Persons/Substantial U.S. Owners:

Go to part 8

Part 8 - AEI Classification

Please provide your organisation's AEI classification, regardless of whether the organisation is located in a Participating Jurisdiction (must check one box only):

- Financial Institution (other than a Professionally Managed Investment Entity) (go to Part 10)
- Financial Institution - Professionally Managed Investment Entity resident in an AEI participating jurisdiction (go to Part 10)
- Financial Institution - Professionally Managed Investment Entity resident in an AEI non-participating jurisdiction (go to Part 9)
- Active NFE - Regularly traded corporation or related entity of such entity, Government Entity, International Organisation, or Central Bank (go to Part 10)
- Active NFE - Other than above (go to Part 10)
- Passive NFE (go to Part 9)

Part 9 - Identification of AEI Controlling Persons

In Part 8 you certified your organisation is a Passive NFE or is a Professionally Managed Investment Entity resident in a non-participating jurisdiction. Please confirm that you have disclosed all required Controlling Persons by entering the total number of identified Controlling Persons below and completing Appendix 1 for each Controlling Person.

Total number of Controlling Persons:

Go to part 10



Part 10 - Crypto-Asset User classification

Please provide your organisation's Crypto-Asset User classification (must check one box only):

Excluded Person

- Financial Institution (other than a Professionally Managed Investment Entity) (go to Part 12)
- Government Entity, International Organisation, or Central Bank (go to Part 12)
- Professionally Managed Investment Entity the stock of which is regularly traded or related entity of such entity (go to Part 12)
- Any entity (other than above) the stock of which is regularly traded or related entity of such entity (go to Part 12)

Entity not listed above

- Active Entity (go to Part 12)
- Other Entity (i.e., an entity that is not an Excluded Person or an Active Entity) (go to Part 11)

The organisation will not be permitted to trade in crypto-asset products unless this section is completed.

Part 11 - Identification of CARF Controlling Persons

In Part 10 you certified that your organisation is an Other Entity. Please confirm that you have disclosed all Controlling Persons by entering the total number of identified Controlling Persons below and completing Appendix 3 for each Controlling Person. You are not required to complete Appendix 3 for any Controlling Person for which you have already provided Appendix 1 for AEI purposes under Part 9.

Total number of Controlling Persons:

Go to part 12

Part 12 - Certification

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

If the organisation is not a Financial Institution or a Reporting Crypto-Asset Service Provider, we confirm that it is not acting for the benefit or account of another individual or Entity as agent, custodian, nominee, signatory, investment advisor, or intermediary. If this is not the case, FATCA, AEI and CARF self-certification must be provided for that other person.

We confirm that, to the extent applicable to the entity under FATCA, AEI and CARF, the organisation identified in Part 1 meets and will continue to meet its reporting obligations to the relevant tax authority, either by submitting reports itself or through delegation of reporting to a 3rd party service provider.

We agree to inform contracting UBS entity ("UBS") within 60 days if any change in circumstances renders this certification incorrect.

We certify that the each individual signing this form has the capacity to sign for the organisation identified in Part 1 of this form and, where any information relates to such organisation's clients, Controlling Persons or third parties, the clients, Controlling Persons or third parties have given any required consent to allow the processing and disclosure of such information as set out in this form.

We acknowledge and agree that for the purpose of FATCA, AEI and CARF:

- a) the information contained in this form (including the appendices); and
- b) any information regarding our 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
- c) any information relating to the organisation's transactions in Relevant Crypto-assets under CARF;

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 the organisation's 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 of individual authorised to sign for the organisation

Print Name

Date

Signature of individual authorised to sign for the organisation

Print Name

Date



Appendix 1 - Controlling Person

(to be completed for each U.S. Controlling Person/Substantial U.S. Owner and AEI Controlling Person)

Name of organisation (as indicated on part 1 of the Entity self-certification)

Type of organisation (check one box)
Legal Person (go to Controlling Person type - letter A)
Trust (go to Controlling Person type - letter B)
Legal arrangement (other than trust) (go to Controlling Person type - letter C)

Controlling Person type

A. For Legal Person (check one box)
Controlling Person by ownership
Controlling Person by other means
Senior managing official
B. For Trust (check all that apply)
Settlor
Trustee
Beneficiary
Protector
Other
C. For Legal arrangement (other than trust) (check all that apply)
Settlor Equivalent
Trustee Equivalent
Beneficiary Equivalent
Protector Equivalent
Other Equivalent

Part 1 - Basic Information

Name of Controlling Person
Date of birth (dd/mm/yyyy)
City of birth
Country of birth
Registered / Permanent address
Street
City
Post code
Country
Mailing address (if different to permanent address)
Street
City
Post code
Country

Part 2 - Tax Residency

Please complete the table below by specifying all jurisdictions in which the Controlling Person is resident for tax purposes (disregarding any tie-breaker rules under Double Tax Treaties) along with the Controlling Person's Tax 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 the Controlling Person is tax resident does not issue TINs to its residents.

Reason B: the jurisdiction in which the Controlling Person is tax resident does not require a TIN to be collected.

Reason C: the Controlling Person is otherwise unable to obtain a TIN or equivalent number.

Table with 3 columns: Jurisdiction, TIN, Reason for no TIN (A, B, C)

If you selected reason C, please explain why Controlling Person is 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 (refer to Part 2, Section 3 of the Supporting Notes).

- 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 (refer to Part 2, Section 3 of the Supporting Notes).

- 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 Appendix 1 and to the best of my knowledge and belief it is true, correct, and complete.
I agree that I will inform contracting UBS entity ("UBS") within 60 days if any change in circumstances renders this certification incorrect.
I certify that the individual signing this Appendix 1 is either the Controlling Person as named in Part 1 above, or has the capacity to sign on behalf of the Controlling Person.
I confirm that, where this Appendix 1 is being completed by someone other than the Controlling Person, the Controlling Person has given any required consents to allow the processing and disclosure of information as set out in this Appendix 1.
I acknowledge and agree that for the purpose of any FATCA, AEI and CARF:
a) the information contained in this Appendix 1; 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
c) any information relating to the organisation's transactions in Relevant Crypto-assets under CARF;
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 the Controlling Person's 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 the Controlling Person)



Appendix 3 – CARF Controlling Person

(to be completed for each CARF Controlling Person of an Other Entity if not provided for AEI in Appendix 1)

Name of organisation (as indicated on part 1 of the Entity self-certification)

Type of organisation (check one box)
Legal Person (go to Controlling Person type – letter A)
Trust (go to Controlling Person type – letter B)
Legal arrangement (other than trust) (go to Controlling Person type – letter C)

Controlling Person type

A. For Legal Person (check one box)
Controlling Person by ownership
Controlling Person by other means
Senior managing official
B. For Trust (check all that apply)
Settlor
Trustee
Beneficiary
Protector
Other
C. For Legal arrangement (other than trust) (check all that apply)
Settlor Equivalent
Trustee Equivalent
Beneficiary Equivalent
Protector Equivalent
Other Equivalent

Part 1 - Basic Information

Name of Controlling Person
Date of birth (dd/mm/yyyy)
City of birth
Country of birth
Registered / Permanent address
Street
City
Post code
Country
Mailing address (if different to permanent address)
Street
City
Post code
Country

Part 2 - Tax Residency

Please complete the table below by specifying all jurisdictions in which the Controlling Person is resident for tax purposes (disregarding any tie-breaker rules under Double Tax Treaties) along with the Controlling Person's Tax 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 the Controlling Person is tax resident does not issue TINs to its residents.

Reason B: the jurisdiction in which the Controlling Person is tax resident does not require a TIN to be collected.

Reason C: the Controlling Person is otherwise unable to obtain a TIN or equivalent number.

Table with 3 columns: Jurisdiction, TIN, Reason for no TIN (A, B, C)

If you selected reason C, please explain why Controlling Person is 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 (refer to Part 2, Section 3 of the Supporting Notes).

- 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).

Part 3 - Certification

I certify that I have examined the information on this Appendix 3 and to the best of my knowledge and belief it is true, correct, and complete.

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

I certify that the individual signing this Appendix 3 is either the Controlling Person as named in Part 1 above, or has the capacity to sign on behalf of the Controlling Person. I confirm that, where this Appendix 3 is being completed by someone other than the Controlling Person, the Controlling Person has given any required consents to allow the processing and disclosure of information as set out in this Appendix 3.

I acknowledge and agree that for the purpose of CARF:

- the information contained in this Appendix 3; and
any information relating to the organisation's transactions in Relevant Crypto-assets under CARF;

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 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 the Controlling Person's tax residence(s) in this form if the respective tax authorities have entered into an agreement to exchange information under CARF. A list of such agreements to exchange this information may be found on ubs.com/aei

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Sign here

Signature, Print name of individual signing form, Date, Capacity in which acting (if not signed by the Controlling Person)