

Entity Crypto-Asset User self-certification

Please note

This Entity Crypto-Asset User self-certification form is intended to collect information required under 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 Crypto-Asset User classification for your organisation then you should seek qualified professional assistance.

All organisations completing this self-certification should complete Parts 1-3 and 5. Depending on the Crypto-Asset User classification selected on Part 3, the additional part and appendix of this self-certification may be required.

Part 1: Organisation Information

Name of Organisation:

Jurisdiction of incorporation/organisation:

Registered / Permanent address:

Street:	<input style="width: 90%;" type="text"/>	Post Code:	<input style="width: 90%;" type="text"/>
City:	<input style="width: 90%;" type="text"/>	Country:	<input style="width: 90%;" type="text"/>

Mailing address: (if different from above)

Street:	<input style="width: 90%;" type="text"/>	Post Code:	<input style="width: 90%;" type="text"/>
City:	<input style="width: 90%;" type="text"/>	Country:	<input style="width: 90%;" type="text"/>

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 an equivalent number.

Jurisdiction	<input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" type="text"/>	Reason for no TIN	<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
Jurisdiction	<input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" 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 Residency, it is because the unspecified country(s) is not relevant for the determination of tax residence due to applicable tax residency local laws or other reason. If other reason, please specify:

Part 3: Crypto-Asset User classification

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

Excluded Person

- Financial Institution (other than a Professionally Managed Investment Entity) (go to Part 5)
- Government Entity, International Organisation, or Central Bank (go to Part 5)
- Professionally Managed Investment Entity the stock of which is regularly traded or related entity of such entity (go to Part 5)
- Any entity (other than above) the stock of which is regularly traded or related entity of such entity (go to Part 5)

Entity not listed above

- Active Entity (go to Part 5)
- Other Entity (i.e., an entity that is not an Excluded Person or an Active Entity) (go to Part 4)

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

Part 4: Identification of Controlling Persons

In Part 3 you certified that your organisation is an Other Entity. Please confirm 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 5

Part 5: 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, a CARF self-certification must be provided for that other person.

We confirm that, to the extent applicable to the entity under 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 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 CARF:

- a) the information contained in this form (including the appendices); and
- b) 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 organisation'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

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.

Signe 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 – CARF Controlling Persons

(to be completed for each CARF Controlling Person of an Other Entity)

Name of organisation (as indicated on part 1 of the Entity Crypto-Asset User 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 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 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.

Jurisdiction	<input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" type="text"/>	Reason for no TIN <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Jurisdiction	<input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" type="text"/>	Reason for no TIN <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Jurisdiction	<input style="width: 90%;" type="text"/>	TIN	<input style="width: 90%;" 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 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 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 CARF:

- a) the information contained in this Appendix 1; and
- b) 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

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 <i>(if not signed by the Controlling Person)</i>
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