Self-certification to confirm the Tax Residence of the Controlling Person of an entity (natural person)

for the purpose of the Automatic Exchange of Information (AEI) and the Crypto Asset Reporting Framework (CARF)

This form is required for every individual (natural person) that is documented on a Form A, S, T or K under the Swiss banks' code of conduct with regard to the exercise of due diligence (CDB).

The OECD Common Reporting Standard (CRS) and Crypto-Asset Reporting Framework (CARF), as well as the applicable Swiss regulations, require UBS Switzerland AG ("UBS") to collect and report (where applicable) certain information about its clients and their financial accounts (under CRS) as well as their transactions with Relevant Crypto-Assets[1] (under CARF), if any.

Instructions

- If applicable due to the classification of the entity, please fill in this form if you are a Controlling Person[2] of the entity (account holder for the above-mentioned banking relationship).
- This form may not be used for entities. Please submit the "AEI/CARF/FATCA Self-certification to confirm the Tax Residence and Classification of the Account Holder (entity)" instead.
- This form may not be used for individual account holders (a natural person) or a sole proprietorships. Please submit the "Self-certification to confirm the Tax Residence of the Account Holder (natural person)" instead.
- UBS does not provide legal or tax advice. If you have questions about how to complete this form or about how to determine your tax residence(s), please contact your legal or tax adviser or the relevant tax authorities. You can also find further information on the OECD Automatic Exchange of Information portal and on www.ubs.com/aei-ch (where you can also find a link to the OECD portal).

Account holder[3]

Entity (name of the entity account holder for the above-mentioned banking relationship, hereinafter the Client)

Controlling Person

Note a separate form is required for each Controlling Person.

Last name

First name

Date of birth (dd.mm.yyyy)

Tax Residence(s) of the Controlling Person
The determination of a person's Tax Residence is based on the tax laws of any relevant jurisdiction. The domestic tax laws of any relevant jurisdiction define the conditions under which an individual (a natural person) has to be treated as fiscally resident and consequently is subject to full tax liability. In general, an individual (a natural person) should be treated as tax resident in any jurisdiction in which he is subject to tax by reason of his domicile, residence, or a similar criterion. All Tax Residences must be listed, including those that are disregarded under any double tax treaty tiebreaker rules[4].

Please complete the following to confirm all Tax Residences and applicable Taxpayer Identification Numbers (TINs) of the Controlling Person.

Please list each jurisdiction separately below and provide the full name of the jurisdiction (abbreviations cannot be accepted) and the corresponding TIN(s).

Tax Residence

TIN[5]

If TIN is not provided, please specify the reason.

☐ The jurisdiction of residence for tax purposes is Switzerland **or** does not issue TINs to its residents (65145).

☐ Otherwise unable to provide a TIN (66154). Please specify (mandatory):

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Tax Residence **TIN**[5]

If TIN is not provided, please specify the reason.

☐ The jurisdiction of residence for tax purposes is Switzerland **or** does not issue TINs to its residents (65145).

☐ Otherwise unable to provide a TIN (66154). Please specify (mandatory):

Tax Residence **TIN**[5]

If TIN is not provided, please specify the reason.

☐ The jurisdiction of residence for tax purposes is Switzerland **or** does not issue TINs to its residents (65145).

☐ Otherwise unable to provide a TIN (66154). Please specify (mandatory):

Acknowledgment and confirmation

1. If the Controlling Person declared only one Tax Residence above, which he has acquired under a Citizenship by Investment (CBI) or Residence by Investment (RBI) scheme in a jurisdiction listed under www.ubs.com/aei-ch, he confirms that this is indeed his only Tax Residence, having considered:
   - Whether he has residence rights in any other jurisdiction(s),
   - His physical presence of more than 90 days in any other jurisdiction(s) during the previous year, and/or
   - Any personal income tax returns that he filed during the previous year in any other jurisdiction(s).

2. If a residence address of the Controlling Person is not in the same jurisdiction as the Tax Residence(s) listed above, it is due to his status as, e.g. a diplomat, student, teacher, trainee, intern, or other (please specify: _____)
   UBS can rely on any additional documentation provided to evidence such status (e.g. a copy of a diplomatic passport or an appropriate visa).

3. If the jurisdiction of residence stated in any passport or other identification document of the Controlling Person provided is not in the same jurisdictions as the Tax Residence(s) listed above, he confirms that the jurisdiction of residence stated in the passport or other identification document is outdated and thus no longer reflects his jurisdiction of residence accurately or it is not accurate for a different reason, other than one of the reasons cited above (please specify: _____)

4. The relevant information contained in other documents held by UBS, including but not limited to residence address, form an integral part of this self-certification.

5. The Controlling Person is tax resident only in the jurisdiction(s) he has listed above and in no other jurisdiction.

6. If any Tax Residence listed above is outside of Switzerland, the information contained in this form and relevant information regarding the above mentioned banking relationship held by UBS (including the account balance or value and the total amount of any payments of dividends, interest, other income and gross proceeds made or credited to the account) and transactions with Relevant Crypto-Assets, if any, may be reported by UBS to the Swiss Federal Tax Administration.

7. The Swiss Federal Tax Administration will exchange such information with the tax authorities of the jurisdiction(s) listed above as Tax Residence(s) of the Controlling Person if those jurisdictions have entered into an agreement to exchange information about financial accounts and/or transactions with Relevant Crypto-Assets. A list of such agreements may be found under: www.ubs.com/aei-ch.

8. The Client undertakes to inform UBS of any changes relevant to the information contained in this form and all associated documentation within 30 days. This includes the notification that the Controlling Person stated above ceased to be the Controlling Person of the above mentioned banking relationship, any future change of residence address or jurisdiction of Tax Residence of the Controlling Person. Until receipt of such information UBS may rely on the accuracy of the information provided herein.

9. Where this form is not signed by the Controlling Person, the Client confirms that the Controlling Person identified above has been informed about the content of this form and the obligation of UBS to transmit information to the relevant tax authorities, where necessary, and agrees with the information provided and confirmations given in this form.

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Declaration and Signature(s)

By signing this form below, the Client and, where applicable, the Controlling Person, declare(s) that all statements made and confirmations given in this form are, to the best of his/their knowledge and belief, true, correct and complete.
Where this form is signed by the Controlling Person, the Client confirms that the below signature is the signature of the Controlling Person stated above.

Place	Date (dd.mm.yyyy)	Signature(s) of the Client
Place	Date (dd.mm.yyyy)	Signature of the Controlling Person (optional)

Based on art 35 of the Federal Act on the International Automatic Exchange of Information in Tax Matters ("AEOI Act") willfully providing false information or neglecting to inform about changes relevant to the information contained above may be subject to a fine.

[1] A "Relevant Crypto-Asset" is typically a digital representation of value that relies on a cryptographically secured distributed ledger (e.g. blockchain) to validate and secure transactions.
[2] The term "Controlling Persons" for CRS / CARF means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term Controlling Persons must be interpreted in a manner consistent with the Swiss implementation of the Financial Action Task Force Recommendations, i.e. for banking relationships in Switzerland the Agreement on the Swiss banks' code of conduct with regard to the exercise of due diligence (CDB).
[3] The singular form also includes the plural and all masculine terms referring to persons refer to persons of both genders.
[4] In general, the sole fact that an individual receives income from sources or capital situated within a particular jurisdiction (e.g. due to real estate ownership, employment or investments in a partnership) is not sufficient to qualify as a tax resident in that jurisdiction for AEI purposes. In cases where an individual is tax resident in more than one jurisdiction under applicable domestic tax laws and there is a double tax treaty between such jurisdictions, the tiebreaker rules may solve such double residence case for income tax purposes. However, they must not be considered in determining a person's Tax Residence for AEI and CARF purposes. Instead, all jurisdictions where a person is resident according to the domestic tax laws must be listed on this form.
[5] The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters and/or numbers assigned by a jurisdiction to an individual or an entity and used to identify the individual or entity for the purposes of administering the tax laws of such jurisdiction. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

For internal bank use only Signature(s) verified / Signed in my presence

OU-Ref. Signature

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