





**Declaration**

- I/We declare that this application form has been completed to the best of my/our knowledge and belief.
- I/We enclose a cheque made payable to **UBS Asset Management Funds Ltd.** for the lump sum amount to be invested and confirm that all these funds are my/our own.
- I/We declare that I/We have read and understood the current version of the Key Investor Information Document and the Supplementary Information Document and that this Application Form has been completed to the best of my/our knowledge and belief. I/We have read and consent to the terms of the Direct Debit Guarantee (if applicable) and UBS Asset Management Funds Ltd's use of the Delivery versus Payment Exemption as explained in the Supplementary Information Document and the Prospectus(es) for the relevant Fund(s). All documents are available at [www.ubs.com/retailfunds](http://www.ubs.com/retailfunds)
- I/We declare that I/We have read and completed the Individual Self-Certification form and, if applicable, the Individual Self-Certification Controlling Person form that are both available from [www.ubs.com/retailfunds](http://www.ubs.com/retailfunds). Failure to do so, will unfortunately result in this application being rejected.
- The beneficial owners named above are known to me/us and I/we undertake to make those named aware that they may be subjected to the same data protection and money laundering verification provisions as outlined in the Supplementary Information Document. All documents are available at [www.ubs.com/retailfunds](http://www.ubs.com/retailfunds).

	Signature	Date
1 First holder	_____	_____
2 Joint holder	_____	_____
3 Joint holder	_____	_____
4 Joint holder	_____	_____

**Important**  
If making monthly savings, fill in the direct debit form below and return it with this application form.

Please do not detach – for office use • Please do not detach – for office use • Please do not detach – for office use



Instructions to your Bank/Building Society to pay by direct debit.  
Please fill in details overleaf

**Financial adviser authorisation**

This section should be completed if you are investing on the advice of a financial adviser.

This will help us keep your adviser up to date with the progress of your investment.

I hereby appoint the following financial adviser and authorise you to give him/her information relating to my account.

**Agent's stamp**

(to be completed by the Agent if appropriate)

Please tick for advice not given

Please tick if cancellation rights do not apply

Agency ref: \_\_\_\_\_

FCA reference number \_\_\_\_\_

UK Regulated \_\_\_\_\_

EU Regulated By \_\_\_\_\_

I declare that I have read and understood the current version of the Terms of business with Financial Intermediaries Document. All documents are available at [www.ubs.com/retailfunds](http://www.ubs.com/retailfunds).

Signature \_\_\_\_\_

Signature \_\_\_\_\_

**Data Protection Act**

By completing this form you consent to UBS Asset Management Funds Ltd processing the information you provide. The information may be used for administration purposes or to inform you of other products of UBS Asset Management.

If you do not wish to receive information about other products and services of UBS Asset Management, please tick the box.

Issued in April 2019 by UBS Asset Management Funds Ltd. Authorised and regulated by the Financial Conduct Authority. Telephone calls may be recorded.

Please do not detach – for office use • Please do not detach – for office use • Please do not detach – for office use



**Instruction to your Bank or Building Society to pay by Direct Debit**



Please fill in the form and send to  
**UBS Asset Management Funds Ltd,**  
**PO Box 3733, Royal Wootton Bassett, Swindon SN4 4BG**  
Name and full postal address of your bank or building society

To: The Manager \_\_\_\_\_

Address \_\_\_\_\_

Postcode \_\_\_\_\_

Names(s) of account holder(s) \_\_\_\_\_

Branch Sort Code

Bank/Building Society

Account Number

Banks and building societies may not accept Direct Debit Instructions for some types of account.

Service user number

Reference Number

Instruction to your bank or building society

Please pay UBS Asset Management Funds Ltd direct debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with UBS Asset Management Funds Ltd, and if so, details will be passed electronically to my bank/building society.

**Signature (s)** \_\_\_\_\_

**Date** \_\_\_\_\_

**The Direct Debit Guarantee** This guarantee should be detached and retained by the payer



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit UBS Asset Management Funds Ltd will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request UBS Asset Management Funds Ltd to collect a payment, confirmation of the amount and date will be given to you at the time of the request
- If an error is made in the payment of your Direct Debit, by UBS Asset Management Funds Ltd or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society
- If you receive a refund you are not entitled to, you must pay it back when UBS Asset Management Funds Ltd asks you to
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

# Coverall renunciation and transfer of title to the manager

(Specified accounts)

<b>To:</b> UBS Asset Management Funds Ltd ("the Manager")
<b>and</b> Northern Trust Global Services Limited ("the Registrar")
<b>From:</b> (Full registered name and address of holder):

We hereby authorise the Manager to accept all instructions given by *(name of firm who will place redemption orders)*:

\_\_\_\_\_

from time to time by telephone, facsimile (fax) and straight through processing (STP), and containing such information as the Manager shall require, for the redemption of units or shares that are registered in the above name under the designated accounts listed from time to time in the attached schedule, in any authorised unit trust or open-ended investment company of which they are the manager and the Registrar is the registrar.

Further, unless *(name of firm who will place redemption orders)*: \_\_\_\_\_

advise the Manager prior to close of business on the 2nd business day following delivery of the relevant instruction that confirmation of the transaction has not been received or is otherwise incorrect, we authorise the Manager to remit the proceeds of any such redemption on the 4th business day following the processing of the instruction, to the relevant account(s) as indicated on page 2.

It is the intention of the parties that this document take effect as an instrument of transfer to the Manager of any units or shares that are so redeemed and in respect of which the payment is duly made. Accordingly, in consideration of such payment, we hereby renounce title to any such units or shares and instruct the Registrar to reregister such units or shares in the name of the Manager.

We undertake that we will not seek to claim against the Manager for any costs, losses or expenses that we may incur as a result of the Manager acting in good faith in accordance with this agreement pursuant to any incorrect or fraudulent instructions to redeem units or shares, given or purporting to be given by us. In addition, we will indemnify the Manager and the Registrar against all costs, losses, claims and expenses that they may incur by accepting in good faith any incorrect or fraudulent instructions made or purporting to be made under this Agreement.

We further agree to provide individual forms of renunciation in relation to specific transactions as the Manager or Registrar may from time to time require. This Agreement will continue in force unless and until amended or withdrawn in writing by any party to it, delivered to the others by post to their registered address.

For and on behalf of:

Signature	Signature
Print name	Print name
Position	Position
Date	Date

**By electronic funds transfer to a GBP Account:**

Full Bank name:	_____
Branch name:	_____
Sort code:	_____
Account name:	_____
Account number:	_____

**Schedule**

The designated accounts to which we will apply this agreement to until further notice are as follows (List the relevant account designations below or state 'ALL')

--

If this section is left blank we will apply the coverall agreement to ALL designations listed under your account / party name

Please note that where specific designations are stated above, a new coverall agreement will need to be completed and submitted if coverall renunciation is required on any additional designated accounts.

For and on behalf of

_____
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Signature	Signature
Print name	Print name
Position	Position
Date	Date

# Individual Self-Certification Account Holder

Tax Regulations require Financial Institutions to collect information about the tax residence(s) of each Account Holder. Depending on your tax residence UBS Asset Management Funds Limited may be obliged to pass on information on this form and information relating to your investment in a fund to the relevant tax authorities. Should any information you provide in this form change in the future, please ensure you advise us of the changes promptly. If you are a pre-existing Account Holder under the definition of FATCA and AEI (account open before 31.12.2015) and we do not receive a valid self-certification from you, or the information in this form is incomplete or inaccurate, we may be required to determine the tax residence and FATCA and AEI classification and report based on the information we hold on file. If you are a new Account Holder under the definition of FATCA and AEI (account open after 31.12.2015) and we do not receive a valid self-certification form from you and, if applicable, the Individual Self-Certification Controlling Person form that is available at [www.ubs.com/retailfunds](http://www.ubs.com/retailfunds), the account will not be opened.

As a Financial Institution we do 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 tax adviser or the relevant tax authorities. You can also find more information on the IRS webpage [FATCA Link](#) and the Organisation for European Co-operation and Development (OECD) Automatic Exchange of Information (AEI) portal [AEI Link](#).

## Instructions

- Please complete this form if you are an individual or a sole proprietorship investing on your own behalf.
- If you are an individual investing on behalf of another person (a natural person) please complete this form with the details of that person (the Account Holder).
- Please note that where there are joint Account Holders, each Account Holder is required to complete a separate form.
- If the investment is being made by an entity which is classified as a Passive NFE or Professionally Managed Investment Entity in a Non-Participating Jurisdiction for AEI purposes, or a Passive NFFE for FATCA purposes and you are a Controlling Person of that entity, please complete the 'Individual Self-Certification Controlling Person' form.
- If the investment is being made by an entity (including a trust or partnership) on its own behalf or by a Financial Institution (acting as nominee of custodian for the investor), please complete the 'Entity Self-Certification' form.

## Section 1 – Account Holder Identification

Title

---

Surname

---

Forename(s) in full

---

Date of birth

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Country of birth

City/Town of birth

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Permanent residential address

Street and number/house name

---

Postcode

City/Town

---

State/Prvince/County/Canton

Country

---

Section 2 – Tax Residence(s)

Please complete Part A below and also (unless instructed otherwise) Part B below. Where completing Part B please indicate all jurisdictions in which you are resident for tax purposes and the associated Taxpayer Identification Numbers (TINs) for each tax residence.

A. Declaration of U.S. Citizenship or U.S. Residence for tax purposes

Please tick a), b) or c) and complete as appropriate:

a) I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (green card holder or resident under the substantial physical presence test) and my U.S. federal Taxpayer Identification Number (U.S. TIN) is as follows:

\_\_\_\_\_

b) I confirm that I was born in the U.S. (or a U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.  
(If ticking this statement, please provide evidence of surrender of citizenship)

c) I confirm that I am neither a U.S. citizen nor resident in the U.S. for tax purposes.

Confirmation of sole tax residence in the U.S.

I certify that for purposes of taxation the Account Holder is NOT tax resident in any jurisdiction other than the U.S.  
(If ticking this statement please proceed to Section 3, otherwise please continue with Section 2)

B. Declaration of Tax Residence (other than U.S.)

I hereby confirm that I am tax resident in the following jurisdiction(s) and will provide the associated TIN, or the reason why no TIN is available, for the respective tax residence.

Jurisdiction of Tax Residence	TIN	If no TIN available please enter reason a), b), c) listed below or specify other reason
1.		
2.		
3.		

a) The jurisdiction of residence for tax purposes does not issue TINs to its residents

b) New resident, TIN is not issued yet (please be aware that TIN must be submitted within 90 days)

c) No TIN required Note: only select this if:

- You are a tax resident of the same jurisdiction in which the fund is tax resident
- You are a tax resident of a jurisdiction that is not a Reportable Jurisdiction in relation to the jurisdiction in which the fund is resident
- You are a tax resident of a jurisdiction where the authorities of that jurisdiction do not require the TIN to be disclosed



Section 3 – Declaration

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

- Additional confirmation if a mailing address is not in the same jurisdiction as the tax residence(s) you listed in Section 2:  
I confirm that I am tax resident only in the jurisdiction(s) I have listed above and that notwithstanding any mailing address that may be in a jurisdiction other than my tax residence(s) listed above, such a mailing address is, e.g. for purposes of sending correspondence to a financial adviser, attorney or business address or other (please specify \_\_\_\_\_) and the jurisdiction of such a mailing address is not in fact my tax residence.
- Additional confirmation if a permanent residence address is not in the same jurisdiction as the tax residence(s) you listed in Section 2:  
I confirm that in case my permanent residence address is in a jurisdiction other than my tax residence listed above, it is due to my status as, e.g., a diplomat or other (please specify \_\_\_\_\_).  
I further confirm that UBS Asset Management Funds Limited can rely on additional documentation I will provide or have provided to evidence such status (e.g. a copy of a diplomatic passport or an appropriate visa).
- Additional confirmation if a country of residence stated in any passport or other identification document you provided is not the same country as the tax residence(s) you listed in Section 2:  
I confirm that in case the country of residence stated in any passport or other identification document I provided is a country other than my tax residence listed above, the country of residence stated in the passport or other identification document is outdated and thus no longer reflects my country of residence accurately, or it is not accurate for a different reason, other than one of the reasons cited above (please specify \_\_\_\_\_).

I confirm that I am tax resident only in the jurisdiction(s) I have listed in Section 2 and in no other jurisdiction.

Further, I agree to inform UBS Asset Management Funds Limited of any changes to the information contained in this form and all associated documentation within 30 days.

I acknowledge that, if any tax residence(s) listed in Section 2 is/are located outside of the jurisdiction in which the fund has its tax residence, the information contained in this form and information regarding the relevant investment(s) (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) may be reported by UBS Asset Management Funds Limited, under its obligations as a Reporting Financial Institution, to the relevant tax authorities.

If the self-certification form is filed on behalf of an Account Holder, by signing this form, you hereby confirm that the Account Holder identified in Section 1 has been informed about the content of this form and UBS Asset Management Funds Limited's obligation to exchange information with the relevant tax authorities, as explained in this form and agrees with the content of this form. You also agree to inform UBS Asset Management Funds Limited of any changes to the information contained in this form and all associated documentation within 30 days.

Signature of Account Holder / Authorised signatory

Date

Print name

If you are signing this form on behalf of the Account Holder please indicate the capacity in which signed. If signing under a power of attorney, please also attach a certified copy of the power of attorney.

Capacity

## **Additional explanations of Foreign Account Tax Compliance Acts (FATCA) and Automatic Exchange of Information (AEI) Terms used in the Individual Self-Certification Account Holder**

Please note: These definitions rely on the most common standards and definitions for the general application for FATCA and AEI. However, local rules may differ. Please consult the applicable local laws and any accompanying guidance in order to ensure that you apply the proper version of any of these terms.

### Account Holder

The term "Account Holder" means the person listed or identified as the holder of a Financial Account. For funds the Account Holder would typically be the name which is shown on the register (i.e. the individual or entity which is holding the legal title). A person other than a Financial Institution holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment adviser, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances the other person is the Account Holder.

### Automatic Exchange of Information (AEI)

The AEI regime based on the OECD Common Reporting Standard requires Reporting Financial Institutions (RFIs) to report annually to their domestic tax authorities certain information regarding all financial accounts they maintain that have been identified as Reportable Accounts as a result of the application of the relevant due diligence procedures. The domestic tax authorities will then pass on the information to the tax authorities of the jurisdiction in which the Reportable Person is resident for tax purposes.

### Controlling Person

The term "Controlling Person" means the natural person who exercises control over an entity. For an entity account that is a legal person, the term "Controlling Persons" means the natural person(s) who exercise(s) control over the entity account. "Control" over an entity account is generally exercised by the natural person(s) who ultimately has / have a controlling ownership interest in the entity account. 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 (e.g. foundation), such term means persons in equivalent or similar positions.

### Foreign Account Tax Compliance Act (FATCA)

The term "FATCA" stands for Foreign Account Tax Compliance Act. The FATCA provisions were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on 18 March 2010. Based on FATCA, Foreign Financial Institutions are required to identify U.S. Accounts and report them, directly or indirectly through their domestic tax authorities, to the U.S. Internal Revenue Service (IRS). Foreign Financial Institutions and their clients that do not comply with the FATCA requirements are subject to a 30 percent withholding tax on payments from U.S. Securities.

### Reportable Jurisdiction

The term "Reportable Jurisdiction" means a jurisdiction (i) with which the fund's jurisdiction has an AEI agreement in place (or deemed to be in place) pursuant to which it will provide the information specified in the Common Reporting Standard, and (ii) which is identified in a published list.

### Taxpayer Identification Number (TIN)

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 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 or (where the jurisdiction does not issue TINs) 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. Further details of acceptable TINs or a functional equivalent can be found on the OECD Automatic Exchange of Information portal.

### Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA, various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information transferred into local law.

### Tax Residence

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 has to be treated as fiscally resident and consequently is subject to full tax liability. In general, an individual should be treated as resident in any jurisdiction in which the individual is subject to tax by reason of the individual's domicile, residence, or a similar criterion. Special circumstances may cause you to be resident in more than one jurisdiction. General information on tax residence can be found on the OECD Automatic Exchange of Information portal.

The information above is of a general nature and is not intended as advice in any particular case. If you have any questions on how to determine your tax residence status, please contact your tax adviser or relevant tax authorities. Neither the Fund nor UBS provides legal or tax advice.

### U.S. resident for tax purposes

An individual is considered a U.S. resident for U.S. tax purposes if an individual meets the substantial physical presence test. The individual meets this test if the individual was present in the U.S. on at least (i) 31 days during the current calendar year, and (ii) 183 days cumulatively during the current and two preceding calendar years, according to the following formula: [number of days in the current year] + [number of days in the first preceding year x 1/3] + [number of days in the second preceding year x 1/6] ≥ 183 days.

# Individual Self-Certification Controlling Person

Tax Regulations require Financial Institutions to collect information about the tax residence(s) of each Account Holder. Depending on your tax residence UBS Asset Management Funds Limited may be obliged to pass on information on this form and information relating to your investment in a fund to the relevant tax authorities. Should any information you provide in this form change in the future, please ensure you advise us of the changes promptly. If you are a pre-existing Account Holder under the definition of FATCA and AEI (account open before 31.12.2015) and we do not receive a valid self-certification form from you, or the information in this form is incomplete or inaccurate, we may be required to determine the tax residence and FATCA and AEI classification and report based on the information we hold on file. If you are a new Account Holder under the definition of FATCA and AEI (account open after 31.12.2015) and we do not receive a valid self-certification form from you, available at [www.ubs.com/retailfunds](http://www.ubs.com/retailfunds), and, if applicable, this Individual Self-Certification Controlling Person form, the account will not be opened.

As a Financial Institution we do 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 tax adviser or the relevant tax authorities. You can also find more information on the IRS webpage FATCA Link and the Organisation for European Co-operation and Development (OECD) Automatic Exchange of Information (AEI) portal AEI Link.

## Instructions

- Please complete this form if the investment is being made by an entity which is classified as a Passive NFE or Professionally Managed Investment Entity in a Non-Participating Jurisdiction for AEI purposes or a Passive NFFE for FATCA purposes and you are a Controlling Person of that entity. In case of more than one Controlling Person, a separate «Individual Self-Certification Controlling Person» form is required to be completed by each Controlling Person.
- This form may not be used to document an entity Account Holder. Please submit the 'Entity Self-Certification' form instead.
- Similarly, if you are an individual Account Holder or a sole proprietorship, do not use this form. Please submit the 'Individual Self-Certification Account Holder' form instead.

## Section 1 – Controlling Person Identification

Title

---

Surname

---

Forename(s) in full

---

Date of birth     

Country of birth

City/Town of birth

---

Permanent residential address

Street and number/house name

---

Postcode

City/Town

---

State/Prvince/County/Canton

Country

---

Section 2 – Controlling Person

Legal name of the entity of which you are a Controlling Person \_\_\_\_\_

Please provide the type of Controlling Person by ticking one of the following boxes:

If the entity is a legal person

- Control by ownership
- Control by other means
- Senior Managing Official

If the entity is a trust

- Settlor
- Trustee
- Protector
- Beneficiary
- Other (please specify) \_\_\_\_\_

If the entity is a legal arrangement (non-trust)

- Settlor-equivalent
- Trustee-equivalent
- Protector-equivalent
- Beneficiary-equivalent
- Other-equivalent (please specify) \_\_\_\_\_

Section 3 – Tax Residence(s)

Please complete Part A below and also (unless instructed otherwise) Part B below. Where completing Part B please indicate all jurisdictions in which you are resident for tax purposes and the associated Taxpayer Identification Numbers (TINs) for each tax residence.

A. Declaration of U.S. Citizenship or U.S. Residence for tax purposes

Please tick a), b) or c) and complete as appropriate:

- a) I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (green card holder or resident under the substantial physical presence test) and my U.S. federal Taxpayer Identification Number (U.S. TIN) is as follows:  
\_\_\_\_\_
- b) I confirm that I was born in the U.S. (or a U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.  
(If ticking this statement, please provide evidence of surrender of citizenship)
- c) I confirm that I am neither a U.S. citizen nor resident in the U.S. for tax purposes.

Confirmation of sole tax residence in the U.S.

- I certify that for purposes of taxation the Account Holder is NOT tax resident in any jurisdiction other than the U.S.  
(If ticking this statement please proceed to Section 4, otherwise please continue with Section 3)

B. Declaration of Tax Residence (other than U.S.)

I hereby confirm that I am tax resident in the following jurisdiction(s) and will provide the associated TIN, or the reason why no TIN is available, for the respective tax residence.

Jurisdiction of Tax Residence	TIN	If no TIN available please enter reason a), b), c) listed below or specify other reason
1.		
2.		
3.		

- a) The jurisdiction of residence for tax purposes does not issue TINs to its residents
- b) New resident, TIN is not issued yet (please be aware that TIN must be submitted within 90 days)
- c) No TIN required Note: only select this box if:
  - You are a tax resident of the same jurisdiction in which the fund is tax resident
  - You are a tax resident of a jurisdiction that is not a Reportable Jurisdiction in relation to the jurisdiction in which the fund is resident
  - You are a tax resident of a jurisdiction where the authorities of that jurisdiction do not require the TIN to be disclosed

Section 4 – Declaration

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

- Additional confirmation if a mailing address is not in the same jurisdiction as the tax residence(s) you listed in Section 3:  
I confirm that I am tax resident only in the jurisdiction(s) I have listed above and that notwithstanding any mailing address that may be in a jurisdiction other than my tax residence(s) listed above, such a mailing address is, e.g. for purposes of sending correspondence to a financial adviser, attorney or business address or other (please specify \_\_\_\_\_) and the jurisdiction of such a mailing address is not in fact my tax residence.
- Additional confirmation if a permanent residence address is not in the same jurisdiction as the tax residence(s) you listed in Section 3:  
I confirm that in case my permanent residence address is in a jurisdiction other than my tax residence listed above, it is due to my status as, e.g., a diplomat or other (please specify \_\_\_\_\_).  
I further confirm that UBS Asset Management Funds Limited can rely on additional documentation I will provide or have provided to evidence such status (e.g. a copy of a diplomatic passport or an appropriate visa).
- Additional confirmation if a country of residence stated in any passport or other identification document you provided is not the same country as the tax residence(s) you listed in Section 3:  
I confirm that in case the country of residence stated in any passport or other identification document I provided is a country other than my tax residence listed above, the country of residence stated in the passport or other identification document is outdated and thus no longer reflects my country of residence accurately, or it is not accurate for a different reason, other than one of the reasons cited above (please specify \_\_\_\_\_).

I confirm that I am tax resident only in the jurisdiction(s) I have listed in Section 3 and in no other jurisdiction.

Further, I agree to inform UBS Asset Management Funds Limited of any changes to the information contained in this form and all associated documentation within 30 days. This includes situations where the Controlling Person identified in Section 1 ceases to be a Controlling Person of the entity.

I acknowledge that, if any tax residence(s) listed in Section 3 is/are located outside of the jurisdiction in which the fund has its tax residence, the information contained in this form and information regarding the relevant investment(s) (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) may be reported by UBS Asset Management Funds Limited under its obligations as a Reporting Financial Institution to the relevant tax authorities.

If the self-certification form is filed on behalf of Controlling Person, by signing this form you hereby confirm that the Controlling Person identified in Section 1 has been informed about the content of this form and UBS Asset Management Funds Limited obligation to exchange information with the relevant tax authorities, as explained in this form and agrees with the content of this form. You also agree to inform UBS Asset Management Funds Limited of any changes to the information contained in this form, including the confirmation that the Controlling Person identified in Section 1 ceased to be a Controlling Person of the entity and all associated documentation within 30 days.

Signature of Controlling Person / Authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

Print name \_\_\_\_\_

If you are signing this form on behalf of the Controlling Person please indicate the capacity in which signed. If signing under a power of attorney, please also attach a certified copy of the power of attorney.

Capacity \_\_\_\_\_

Additional explanations of Foreign Account Tax Compliance Acts (FATCA) and Automatic Exchange of Information (AEI) Terms used in the Individual Self-Certification Account Holder

Please note: These definitions rely on the most common standards and definitions for the general application for FATCA and AEI. However, local rules may differ. Please consult the applicable local laws and any accompanying guidance in order to ensure that you apply the proper version of any of these terms.

#### Account Holder

The term "Account Holder" means the person listed or identified as the holder of a Financial Account. For funds the Account Holder would typically be the name which is shown on the register (i.e. the individual or entity which is holding the legal title). A person other than a Financial Institution holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment adviser, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder.

#### Automatic Exchange of Information (AEI)

The AEI regime based on the OECD Common Reporting Standard requires Reporting Financial Institutions (RFIs) to report annually to their domestic tax authorities certain information regarding all financial accounts they maintain that have been identified as Reportable Accounts as a result of the application of the relevant due diligence procedures. The domestic tax authorities will then pass on the information to the tax authorities of the jurisdiction in which the Reportable Person is resident for tax purposes.

#### Controlling Person

The term 'Controlling Person' means the natural person who exercises control over an entity. For an entity account that is a legal person, the term "Controlling Persons" means the natural person(s) who exercise(s) control over the entity account. "Control" over an entity account is generally exercised by the natural person(s) who ultimately has / have a controlling ownership interest in the entity account. 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 (e.g. foundation), such term means persons in equivalent or similar positions.

#### Foreign Account Tax Compliance Act (FATCA)

The term 'FATCA' stands for Foreign Account Tax Compliance Act. The FATCA provisions were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on 18 March 2010. Based on FATCA, Foreign Financial Institutions are required to identify U.S. Accounts and report them, directly or indirectly through their domestic tax authorities, to the U.S. Internal Revenue Service (IRS). Foreign Financial Institutions and their clients that do not comply with the FATCA requirements are subject to a 30 percent withholding tax on payments from U.S. Securities.

#### Reportable Jurisdiction

The term "Reportable Jurisdiction" means a jurisdiction (i) with which the fund's jurisdiction has an AEI agreement in place (or deemed to be in place) pursuant to which it will provide the information specified in the Common Reporting Standard, and (ii) which is identified in a published list.

#### Taxpayer Identification Number (TIN)

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 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 or (where the jurisdiction does not issue TINs) 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. Further details of acceptable TINs or a functional equivalent can be found on the OECD Automatic Exchange of Information portal.

#### Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA, various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information transferred into local law.

#### Tax Residence

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 has to be treated as fiscally resident and consequently is subject to full tax liability. In general, an individual should be treated as resident in any jurisdiction in which the individual is subject to tax by reason of the individual's domicile, residence, or a similar criterion. Special circumstances may cause you to be resident in more than one jurisdiction. General information on tax residence can be found on the OECD Automatic Exchange of Information portal.

The information above is of a general nature and is not intended as advice in any particular case. If you have any questions on how to determine your tax residence status, please contact your tax adviser or relevant tax authorities. Neither the Fund nor UBS provides legal or tax advice.

#### U.S. resident for tax purposes

An individual is considered a U.S. resident for U.S. tax purposes if an individual meets the substantial physical presence test. The individual meets this test if the individual was present in the U.S. on at least (i) 31 days during the current calendar year, and (ii) 183 days cumulatively during the current and two preceding calendar years, according to the following formula: [number of days in the current year] + [number of days in the first preceding year x 1/3] + [number of days in the second preceding year x 1/6] ≥ 183 days.