

CRS and FATCA Self-Certification for Legal Entities

Switzerland has concluded various agreements on the Automatic Exchange of Information/"Common Reporting Standard" (CRS)¹ with several jurisdictions². Based on these agreements as well as based on the FATCA regulations Swiss banks are obliged to collect information from their clients on their tax residence as well as on their classification for CRS and FATCA purposes. If you require guidance for completing this form, please refer to the Guidance Notes available with the bank (www.cic.ch/en/fatca-crs). **All legal entities completing this self-certification must complete Parts 1-5 and 8.** In addition Parts 6 and/or 7 may need to be completed as well.

The form "CRS and FATCA Self-Certification for Legal Entities" is intended exclusively for legal entities as account holders. For accounts with multiple account holders, a separate form must be submitted for each account holder.

Part 1 – Basic Information about the Account Holder (Legal Entity)

Full legal name:

Jurisdiction of incorporation
or organization:

Type of legal entity

Legal entity Trust (incl. Underlying companies) Other legal arrangement (incl. foundations)

Registered address of the legal entity / the Trust / the other legal arrangement:

Street:

Post Code:

City:

Country:

Mailing address (if different to registered address):

Street:

Post Code:

City:

Country:

If the country of the mailing address does not match the country of the registered address, please explain:

Branch:

Is the legal entity named above a branch in a different jurisdiction from where the headquarters is registered?

No Yes

If yes, in which jurisdiction is the headquarters located?

Part 2 – Tax Residence of the Account Holder

Please specify the jurisdiction(s) (**full name, no abbreviations**) in which the legal entity is resident for tax purposes and the corresponding tax identification number (**TIN**). If you are applying a tax residency tiebreaker clause under an applicable tax treaty enter your primary tax residence jurisdiction only.

Jurisdiction:	TIN:	or TIN unavailable*	<input type="checkbox"/>
Jurisdiction:	TIN:	or TIN unavailable*	<input type="checkbox"/>
Jurisdiction:	TIN:	or TIN unavailable*	<input type="checkbox"/>

* If unavailable, please specify the reason for non-availability:



¹ A description of CRS as well as your rights and obligations is available under www.cic.ch/fatca-crs

² For a list of jurisdictions please refer to <https://www.sif.admin.ch/sif/en/home/themen/internationale-steuerpolitik/automatischer-informationsaustausch.html>

If the tax residence(s) of the legal entity does not match the jurisdiction of incorporation/organization or the registered addresses provided in Part 1 of this form or if the legal entity has multiple jurisdictions of tax residence, this is explained by either:

- The jurisdiction of incorporation or organization and the registered address are not relevant for the determination of the legal entity's tax residence due to local laws or applicable tax treaties for the following reasons:

or

- Other reason:
-

Part 3 – Fiduciary Account

With respect to any assets deposited with our bank, is your organization acting as fiduciary or nominee on behalf of a third party?

- No Yes (*further documentation may be required, depending on your FATCA/CRS Classification*)

If yes, indicate the persons on whose behalf the legal entity is acting as fiduciary or nominee?

Part 4 – QI

Does the legal entity/account holder invest or intend to invest in US Securities held with our bank?

- No Yes

If yes, please provide additional Form "QI Self-Certification for Legal Entities" (available under www.cic.ch/en/fatca-crs).

If no, your account will be blocked for transactions with US Securities.

Part 5 – CRS and FATCA Classification

Please select the legal entity's CRS and FATCA Classifications. For assistance, please refer to the Guidance Notes available with the bank (www.cic.ch/en/crs-fatca). Please note that further forms or documents may be required, depending on the classifications provided.

CRS Classification
<input type="checkbox"/> Reporting FI (Financial Institution) <ul style="list-style-type: none"> <input type="checkbox"/> Professionally Managed Investment Entity FI (<i>provide Form "CRS and FATCA Self-Certification for Controlling Persons" (available under www.cic.ch/en/fatca-crs) for each controlling person, if the entity is not tax resident in a participating jurisdiction, see Guidance Notes for details)</i>) <input type="checkbox"/> Other FI
<input type="checkbox"/> Non-Reporting FI <ul style="list-style-type: none"> <input type="checkbox"/> Governmental Entity <input type="checkbox"/> International Organization <input type="checkbox"/> Central Bank <input type="checkbox"/> Broad Participation Retirement Fund <input type="checkbox"/> Narrow Participation Retirement Fund <input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization or Central Bank <input type="checkbox"/> Exempt Collective Investment Vehicle <input type="checkbox"/> Qualifying investment advisors and investment managers / investment entities that do not maintain financial accounts <input type="checkbox"/> Trustee Documented Trust <input type="checkbox"/> Qualified Credit Card Issuer <input type="checkbox"/> Other entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law: _____
<hr/> <input type="checkbox"/> Active NFE (Non-Financial Entity) <ul style="list-style-type: none"> <input type="checkbox"/> Exempted Active NFE <ul style="list-style-type: none"> <input type="checkbox"/> Corporation whose shares are regularly traded or a related entity of a corporation whose shares are regularly traded on a recognized stock exchange. Provide the name of the stock exchange where traded and ISIN: Stock Exchange: _____ ISIN: _____ If you are a related entity of a corporation whose shares are regularly traded please provide the name of the regularly traded corporation and ISIN: Name: _____ ISIN: _____ <input type="checkbox"/> Governmental Entity or an entity wholly owned by the foregoing <input type="checkbox"/> International Organization or an entity wholly owned by the foregoing <input type="checkbox"/> Central Bank or an entity wholly owned by the foregoing
<input type="checkbox"/> Passive NFE (<i>provide additional Form(s) "CRS and FATCA Self-Certification for Controlling Persons" for each controlling person - available under www.cic.ch/en/fatca-crs</i>)

FATCA Classification
<input type="checkbox"/> Nonparticipating FFI (Foreign Financial Institution) <input type="checkbox"/> Participating FFI (<i>go to Part 6</i>) <input type="checkbox"/> Reporting Model 1 FFI (<i>go to Part 6</i>) <input type="checkbox"/> Reporting Model 2 FFI (<i>go to Part 6</i>) <input type="checkbox"/> Registered deemed-compliant FFI (<i>go to Part 6</i>) <input type="checkbox"/> Sponsored FFI (<i>go to Part 7</i>) <input type="checkbox"/> Certified deemed-compliant nonregistering local bank <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle (<i>go to Part 7</i>) <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity <input type="checkbox"/> Certified deemed-compliant investment advisors and investment managers / certain investment entities that do not maintain financial accounts <input type="checkbox"/> Owner-documented FFI (<i>provide additional Form "FATCA Owner Reporting Statement" - available under www.cic.ch/en/fatca-crs</i>) <input type="checkbox"/> Restricted distributor <input type="checkbox"/> Nonreporting IGA FFI (state country and type) IGA country: _____ <input type="checkbox"/> Sponsored Entity (<i>go to Part 7</i>) <input type="checkbox"/> Trustee Documented Trust (<i>go to Part 7</i>) <input type="checkbox"/> Other: _____ <input type="checkbox"/> Foreign Government, government of a US possession, or foreign central bank of issue <input type="checkbox"/> International Organization <input type="checkbox"/> Exempt retirement plans <input type="checkbox"/> Entity wholly owned by exempt beneficial owners (<i>provide additional Form "FATCA Owner Reporting Statement" - available under www.cic.ch/en/fatca-crs</i>) <input type="checkbox"/> Territory financial institution <input type="checkbox"/> Nonfinancial group entity <input type="checkbox"/> Excepted nonfinancial start-up company Date of formation: _____ <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy Date of liquidation: _____ <input type="checkbox"/> 501 (c) organization <input type="checkbox"/> Nonprofit organization <input type="checkbox"/> Publicly traded NFFE (Non-Financial Foreign Entity) or NFFE affiliate of a publicly traded corporation <input type="checkbox"/> Excepted territory NFFE <input type="checkbox"/> Active NFFE <input type="checkbox"/> Passive NFFE (<i>provide additional Form(s) "CRS and FATCA Self-Certification for Controlling Persons" for each controlling person - available under www.cic.ch/en/fatca-crs</i>) <input type="checkbox"/> Excepted inter-affiliate FFI <input type="checkbox"/> Direct reporting NFFE (<i>go to Part 6</i>) <input type="checkbox"/> Sponsored direct reporting NFFE (<i>go to Part 7</i>) <input type="checkbox"/> Account that is not a financial account

(unless explicitly requested next to the CRS or FATCA Classification that you have selected, go directly to Part 8)

Part 6 – Global Intermediary Identification Number (GIIN)

The legal entity's GIIN:

(go to Part 8)

Part 7 – Sponsored Entities or Trustee Documented Trusts

Name of sponsoring entity or reporting trustee:

GIIN of sponsoring entity or reporting trustee:

GIIN of sponsored entity (*if applicable*):

(go to Part 8)

Part 8 – Certification

I/We certify that I/we have examined the information on this form and to the best of my/our knowledge and belief it is true, correct and complete. It is a criminal offence to deliberately provide false information on this form. **I/We undertake to advise the bank within 30 days of any change in circumstances which affects the tax residence status, the CRS or FATCA Classification of the legal entity/account holder or causes any information contained herein to become incorrect.**

I/We confirm that the legal entity/account holder identified in Part 1 of this form and, to the extent required, any controlling persons have consented and hereby consent to the processing and disclosure of account information by the bank to competent authorities pursuant to national and international agreements and law.

Signatory 1

Place and date:

Print name:

Signature:

Signatory 2 (if required)

Place and date:

Print name:

Signature:
