

FATCA Self-Certification for Equity Owner and Debt Holder

Switzerland has entered into a treaty with the United States of America for the enforcement of US tax law. Based on the FATCA rules, Swiss banks are required to obtain information from their clients on their US tax status. If you need guidance for completing this form, please refer to the Guidance Notes available with the Bank (www.cic.ch/fatca-crs). In case of multiple Equity Owners or Debt Holders, a separate form must be submitted for each Equity Owner or Debt Holder.

Part 1 – Information regarding the account holder (entity)

Account holder:

Part 2 – Information about the Equity Owner/Debt Holder

Type of Person

Equity Owner Debt Holder

First Name(s):

Last Name(s):

Date of Birth (dd/mm/yyyy):

Residence address:

Street:

Post Code:

City:

Country:

Please provide a certified copy of a valid piece of identification (passport or national identity card).

Part 3 – US Person Status of the Equity Owner/Debt Holder

Is the Equity Owner/Debt Holder a US Person?

No

Yes (please provide a W-9 Form and an Authorization to Disclose Data (Waiver) available under www.cic.ch/fatca-crs)

US citizenship (*sole or dual citizenship*)

US residency (*e.g., green card holder or anyone who meets the "substantial presence test"*)

US place of birth

US person under US tax principles for any other reason (*e.g. dual residency, spouse filing jointly, long-term permanent residency in the US, others*)

Please note that the Bank reserves the right not to enter into a client relationship with a US Person.

Part 4 – Confirmation

The client and the equity owner/debt holder identified in part 2 of this form certify that they have examined the information on this form and to the best of their knowledge and belief it is true, correct and complete. It is a criminal offence to deliberately provide false information on this form. **The client undertakes to advise the bank within 30 days of any change in circumstances which affects the US Person status of the Equity Owner/Debt Holder or causes any other information in this form to become incorrect.**

The client and the equity owner/debt holder identified in part 2 of this form consent to the processing and disclosure of account information by the bank to competent authorities pursuant to national and international agreements and obligations.

(Mandatory) Signature Equity Owner/Debt Holder

Place and date:

Print name:

Signature:

(Mandatory) Signature(s) Account Holder

Signatory 1

Place and date:

Print name:

Signature:

Signatory 2 (if required)

Place and date:

Print name:

Signature:
