

Automatic Exchange of Financial Account Information in Tax Matters (AEI) Self-Certification for Controlling Person(s)

Client no. (CIF) or account/safekeeping account number(s)

Name of Contracting Party

I. Introduction

Please provide one separate form for each Controlling Person of a Passive Non-Financial Entity (PNFE) or a Professionally Managed Investment Entity (PMIE) in a non-participating jurisdiction.

The term Controlling Persons 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 16). This means that as a general rule any natural person identified on the Form A, K, S or T as per the CDB 16 rules, needs to be documented as a Controlling Person for AEI purposes¹.

As the AEI wording is very tax specific and technical, the Bank has prepared an entity classification guide, Q&As, generic guidelines, definitions of terms (glossary) including further and more detailed information which can be found on the Group's AEI Portal (www.nab.ch/AEI).

Please note that the Bank does not provide legal or tax advice. If there are any questions about the determination of the jurisdiction(s) of residence for tax purposes, please contact a tax or legal advisor.

¹ If Pre-existing Accounts were opened under older versions of CDB using the forms that were applicable at the time, such existing documentation can be used to identify the natural persons which are to be considered Controlling Persons for AEI purposes.

To be completed by the Bank

Signature and stamp

01066

Client No. (CIF)

II. Controlling Person Information and Tax Residence

Controlling Person

Name	First name
Date of birth (dd.mm.yyyy)	
Residence Address / Street/No.	
Zip code	Town/City
Country (no abbreviation)	

Please insert **all** jurisdiction(s) of residence for tax purposes below.

Generally, an individual is resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions, e.g. double tax agreements), he/she pays or should be paying taxes therein by reason of his/her domicile, residence, or any other criterion of a similar nature, and not only from sources in that jurisdiction.

Further you may be required to provide additional information to evidence the declaration made.

For additional information on tax residence, please contact a tax and legal adviser or visit the Group's AEI Portal (www.nab.ch/AEI).

Jurisdiction 1:

Jurisdiction(s) of Residence for Tax Purposes <small>(no abbreviations)</small>	Taxpayer Identification Number (TIN)² <small>(or equivalent Identification Number)</small>																				
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If the TIN is unavailable, please tick the box with the appropriate reason (only one box can be ticked):

- Reason A: The relevant jurisdiction is Switzerland (Note: If you tick this box, please make sure that you also have entered above your jurisdiction of residence for tax purposes)
- Reason B: The jurisdiction where the AEI Account Holder is liable to pay tax does not issue TINs (or an equivalent identification number) to its residents³
- Reason C: The TIN is not available at the moment but will be provided as soon as possible.

² For more information regarding TIN please contact a tax or legal adviser or visit the Group's AEI Portal (www.nab.ch/AEI).

³ Reason B also covers cases where the jurisdiction in which the AEI Account Holder is liable to pay tax does not issue TINs to some types of its residents (e.g. minors).

<p>To be completed by the Bank</p> <p>Client No. (CIF)</p>

III. Type of Controlling Person

Please provide the Controlling Person's Status by ticking the appropriate box(es).
More than one is possible.

- | | |
|---|--------------------------|
| a) Controlling Person of a legal person – control by ownership | <input type="checkbox"/> |
| b) Controlling Person of a legal person – control by other means | <input type="checkbox"/> |
| c) Controlling Person of a legal person – senior managing official | <input type="checkbox"/> |
| d) Controlling Person of a trust – settlor | <input type="checkbox"/> |
| e) Controlling Person of a trust – trustee | <input type="checkbox"/> |
| f) Controlling Person of a trust – protector | <input type="checkbox"/> |
| g) Controlling Person of a trust – beneficiary | <input type="checkbox"/> |
| h) Controlling Person of a trust – other | <input type="checkbox"/> |
| i) Controlling Person of a legal arrangement (other than a trust) – settlor-equivalent (e.g. founder) | <input type="checkbox"/> |
| j) Controlling Person of a legal arrangement (other than a trust) – trustee-equivalent | <input type="checkbox"/> |
| k) Controlling Person of a legal arrangement (other than a trust) – protector-equivalent | <input type="checkbox"/> |
| l) Controlling Person of a legal arrangement (other than a trust) – beneficiary-equivalent (e.g. beneficiary of a foundation) | <input type="checkbox"/> |
| m) Controlling Person of a legal arrangement (other than a trust) – other-equivalent | <input type="checkbox"/> |

IV. Acknowledgement and Certification

1. The Contracting Party confirms that all statements made in this form are to the best of its knowledge and belief, correct and complete.
2. The Contracting Party confirms that it has listed all the Controlling Person's jurisdiction(s) of residence for tax purposes.
3. The Contracting Party acknowledges that the information contained in this form and information regarding the above mentioned bank account may be reported to the tax authorities in Switzerland and exchanged with tax authorities of other countries in which the Contracting Party (or the Controlling Person, if different) may be resident for tax purposes where those countries have entered into agreements to exchange financial account information with Switzerland.

To be completed by the Bank

Client No. (CIF)

4. The Controlling Person mentioned on this form may be the Reportable Person under the Common Reporting Standard (CRS) and may be disclosed to the tax authorities. The contracting party confirms that the above stated Controlling Person has been informed that he/she may be a Reportable Person under the CRS and that the information contained in this form and information regarding the above mentioned bank account may be reported to the tax authorities in Switzerland and exchanged with tax authorities of other countries in which the Controlling Person may be resident for tax purposes where those countries have entered into agreements to exchange financial account information with Switzerland.
5. This form will remain valid unless there is a change in circumstances. The Contracting Party undertakes to inform the Bank promptly of any change in circumstances which cause the information contained herein (relating to the Contracting Party and/or the Controlling Person) to become incorrect and to provide the bank with a new Self-Certification within 90 days of such change in circumstances.
6. The undersigned certifies that he/she is the Contracting Party or is authorized to sign for the Contracting Party of the above mentioned bank account.

V. Consent to rely on this Self-Certification for other Relationships with the Bank

Unless the box below is checked, the Contracting Party hereby agrees that the Bank may reuse and rely on this self-certification and any related information, including any reasonable explanations provided by the Contracting Party and/or a client facing employee of the Bank, for documenting any other relationships of the Contracting Party with the Bank. The Contracting Party understands that its consent may result in this self-certification being copied into the client files of other relationships that it maintains or will maintain with the Bank. If such other relationships involve other participants, e.g., account holders, authorized signatories, etc., these participants may have access to the respective client file, including the copy of this self-certification and may therefore infer that the Contracting Party has or had relationships with the Bank different to the relationship where they are involved.

- The Contracting Party hereby objects to the reuse of this self-certification for its other relationships with the Bank. The Contracting Party acknowledges that it will have to provide separate and consistent AEI documentation for each other relationship with the Bank.

Please note that irrespective of the Contracting Party ticking this box or not, this section V is without prejudice to any of the Bank's rights to exchange information according to its general conditions which remain in full force and effect.

Place and date

Signature(s) of the Contracting Party

_____ X _____

_____ X _____

Important Information:

This form is a document as defined in Art. 110 para. 4 of the Swiss Penal Code (SPC).

Willfully providing false information when completing this form may result in the penalties set out in Article 251 of the Swiss Penal Code (document forgery; up to five years' imprisonment or a fine).

To be completed by the Bank

Client No. (CIF)