

Automatic Exchange of Financial Account Information in Tax Matters (AEI) Self-Certification for AEI Account Holder being an Individual

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

Name of Contracting Party

I. Introduction

The Swiss Government has signed a series of agreements with a number of foreign jurisdictions for the Automatic Exchange of Financial Account Information in Tax Matters (AEI) as part of its commitment to combat tax evasion. These agreements require Swiss Financial Institutions, including NEUE AARGAUER BANK AG ("Bank"), to carry out certain due diligence procedures and in some instances to report client and account information.

The purpose of this form is to gather the relevant information that is required under the Swiss AEI law and the applicable agreements. If the Contracting Party's or the AEI Account Holder's (please see chapter II below) jurisdiction(s) of residence for tax purposes is/are in a Reportable Jurisdiction(s), the Bank may be obliged to report the information contained in this form and information regarding the above mentioned bank account (CIF No.) to the tax authorities in Switzerland. After receiving this information, the Swiss tax authorities will exchange this information with the Reportable Jurisdiction(s) in which the Contracting Party (or the AEI Account Holder, if different) may be resident for tax purposes.

As the AEI wording is very tax specific and technical, the Bank has prepared 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.

II. Identification of the AEI Account Holder

Please provide one separate form for each AEI Account Holder.

Please read these instructions before completing the form

- A) The Contracting Party is the AEI Account Holder, unless categories B or C are applicable.
If the Contracting Party is the (or one of several) AEI Account Holder(s), please include the information about the Contracting Party in this form
- B) If an individual or a Non-Financial Entity (NFE) is holding an account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor or intermediary, the Contracting Party is not treated as the AEI Account Holder. Instead, such other person is treated as the AEI Account Holder.
- i) If a third party individual is the AEI Account Holder, the information about this third party individual must be included in this form. If there is more than one third party individual that is an AEI Account Holder, please complete a separate form for each individual.

To be completed by the Bank

Signature and stamp

01068

Client No. (CIF)

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 AEI Account Holder if different) may be resident for tax purposes where those countries have entered into agreements to exchange financial account information with Switzerland.
4. The Contracting Party acknowledges that if other persons are AEI Account Holders of the relevant assets, in addition or instead of the Contracting Party, such other persons could be Reportable Persons under the Common Reporting Standard (CRS) and may be reported to the relevant tax authorities. The Contracting Party confirms that the above stated AEI Account Holder has been informed about the information provided in this form and the fact that his/her/its information might be reported and exchanged.
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 AEI Account Holder) 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).

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