

## Automatic Exchange of Information: Taxpayer Status Declaration Self-Certification for an Individual

(Please provide one separate form per Individual)

**NOTE: Please note that all information on this form – including at least one jurisdiction of tax residence and the corresponding tax-identification number (TIN) or a reason for not having a TIN – is mandatory.**

### Part 1 – Individual Information (may be identical to the Contracting Party)

Name	First name
_____	_____
Date of birth (dd/mm/yyyy)	Place of birth (city/country)
_____	_____
Residential Address (Street/No):	Zip code
_____	_____
Town/City	Country (no abbreviation)
_____	_____

### Mailing Address (if different from above)

Street/No	
_____	_____
Zip code/Town	Country (no abbreviation)
_____	_____

## Part 2 – Tax Residency

Please complete the following table indicating (i) **all** jurisdictions where the AEI Account Holder is tax resident and (ii) the AEI Account Holder's TIN for each jurisdiction indicated.

**If the TIN is unavailable, please tick the box with the appropriate reason (only one box can be ticked):**

**Reason A:** The jurisdiction where you are liable to pay taxes does not issue TINs to its residents.

**Reason B:** The TIN was requested from the competent authority, but was not yet received.

**Reason C:** You are otherwise unable to obtain a TIN (please explain why you are unable to obtain a TIN).

### Primary Tax Residency (1):

**Jurisdiction of Residence for tax purposes**  
(unlimited tax liability; no abbreviations)

**Taxpayer Identification Number (TIN)**  
(or equivalent Identification Number)

\_\_\_\_\_

\_\_\_\_\_

Reason A

Reason B

Reason C: \_\_\_\_\_

### Additional Tax Residency (2):

**Jurisdiction of Residence for tax purposes**  
(unlimited tax liability; no abbreviations)

**Taxpayer Identification Number (TIN)**  
(or equivalent Identification Number)

\_\_\_\_\_

\_\_\_\_\_

Reason A

Reason B

Reason C: \_\_\_\_\_

### Additional Tax Residency (3):

**Jurisdiction of Residence for tax purposes**  
(unlimited tax liability; no abbreviations)

**Taxpayer Identification Number (TIN)**  
(or equivalent Identification Number)

\_\_\_\_\_

\_\_\_\_\_

Reason A

Reason B

Reason C: \_\_\_\_\_

Please use an **additional form** if the above mentioned AEI Account Holder has an unlimited tax liability in more than three jurisdictions.

### Mandatory Confirmation:

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

### Part 3 – Non-U.S. Status Declaration

Under the Internal Revenue Code of 1986 of the United States (U.S.), as amended, and the relevant Treasury Regulations, a U.S. Person includes:

- U.S. citizens (including dual citizens and anyone born in the U.S. or a U.S. territory that did not formally renounce the U.S. citizenship);
- Lawful Permanent Residents (Greencard holders regardless of residency or expiration date);
- Individuals satisfying the Substantial Presence Test; or
- For any other reason (see notes below).

Select One:

I hereby confirm that I am **not** a U.S. Person for income tax purposes.

or

I hereby confirm that I am a U.S. Person for income tax purposes and I will provide an IRS Form W-9 together with a disclaimer authorizing the Credit Suisse Group to disclose any information it is legally obligated to report to the relevant tax authorities.

#### Notes:

**Substantial Presence Test** means being present in the U.S. for at least 183 days during the past 3 years (prior years subject to reduction). The exceptions are the Closer Connection Test, diplomats, teachers, trainees, students (5 year limitation) and applicable tax treaties. An Individual satisfies the Substantial Presence Test with respect to any calendar year if (i) the Individual is physically present in the U.S. on at least 31 days during the current calendar year and (ii) the sum of the number of days on which the Individual is considered to be present in the U.S. in the current calendar year plus 1/3 of the days present in the preceding calendar year and 1/6 of the days present in the second preceding calendar year equals or exceeds 183 days.

**Other Reasons** for being treated as a U.S. resident for U.S. income tax purposes are, *inter alia*, dual residency, being a non-U.S. spouse filing a U.S. tax return jointly with a U.S. spouse, or relinquishing the U.S. citizenship or long-term permanent residency in the U.S.

### Part 4 – Confirmations (please tick as appropriate)

I confirm that in case my permanent residence address is in a jurisdiction other than one of my tax residence(s) listed above, it is due to my status as, e.g., a diplomat or other (please specify \_\_\_\_\_). I further confirm that Credit Suisse Life & Pensions AG 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).

I confirm that notwithstanding any mailing address that may be in a jurisdiction other than one of my tax residence(s) listed above, such a mailing address is, e.g., for purposes of sending correspondence to an advisor, a temporary holiday location, an address of a family member and such a mailing address is not in fact my tax residence.

I confirm that in case the country of residence stated in any passport or other identification document I provided is a country other than one of my tax residence(s) 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 \_\_\_\_\_).

## Part 5 – Acknowledgment and Certification

1. The undersigned confirms that all statements made in this form are to the best of its knowledge and belief, correct and complete.
2. The undersigned confirms that it has listed all its (or the AEI Account Holder's, if different) Jurisdiction(s) of Residence for tax purposes.
3. The undersigned acknowledges that the information contained in this form and the information regarding the life insurance policy may be disclosed to the tax authorities of the jurisdiction in which the life insurance carrier is resident and that this information may subsequently be exchanged with the tax authorities of other jurisdictions as required by applicable local laws and agreements.

Furthermore, the undersigned acknowledges that the tax authority is authorized to process this information, including personal information (especially specifically protected information) in relation to administrative and criminal processes and sanctions, by creating and maintaining a dedicated information system. Adherence to the legal privacy requirements in relation to such information is monitored by the responsible data- processing center. The undersigned hereby releases Credit Suisse Life & Pensions AG and Credit Suisse AG from any applicable (professional) secrecy- and/or data-protection provisions (including, but not limited to, the insurance secrecy under Liechtenstein law).

4. The undersigned understands that any other persons that are payment recipients (including (ir)revocable beneficiaries) of the life insurance policy, in addition to or instead of myself, could be Reportable Persons under the AEI and may be reported to the relevant tax authorities.
5. This form will remain valid unless there is a Change in Circumstances. The undersigned undertakes to advise the life insurance company promptly of any change in circumstances which cause the information contained on this form to become incorrect or incomplete and to provide the life insurance company with an updated Self-Certification no later than 30 days after any such change in circumstances has occurred.
6. The undersigned certifies that he or she is the AEI Account Holder or is authorized to sign on behalf of the AEI Account Holder of the above mentioned bank relationship.

Place, date

Signature of the policyholder/payment recipient



### Further information

Privacy Statement and explanations & definitions about the regulation itself can be found on our Credit Suisse Life & Pensions AG AEI website and the official OECD website.

<https://www.credit-suisse.com/li/en/lifepensions/dokumente.html>

<http://www.oecd.org/tax/automatic-exchange/>