

## Self-Certification for Active Non-Financial Foreign Entities (ANFFE)

### Declarant (Entity Name)<sup>1</sup>

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#### Registered address

Address (Street, No.)

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Postal code/Town Country

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Countries of residence for tax purposes Tax identification number for each country (TIN)

1.

2.

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If a Tax Identification Number is not available please specify the reason:

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#### A. Introduction

If the Declarant is a nonfinancial entity that holds assets for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary please document the FATCA Account Holder as either an individual or an entity on the applicable form ([www.credit-suisse.com/fatca](http://www.credit-suisse.com/fatca)).

#### B. Status of the Declarant

This form is only applicable, if the Declarant does not fall under one of the aforementioned categories.

The Declarant hereby requests that Credit Suisse AG (hereinafter *the Bank*) treat it as an *Active Non-Financial Foreign Entity* for purposes of the US Foreign Account Tax Compliance Act (FATCA), under the applicable Intergovernmental Agreement (IGA) with the United States relating to FATCA. For these purposes, the Declarant hereby certifies that **all** of the requirements listed below are met:

- The Declarant does not accept deposits similar to a bank and does not hold, as a substantial portion of its business, financial assets for the account of others.
- The Declarant does not provide financing or hedging services for third parties (except for entities which are part of the Declarant's expanded affiliate group).
- The Declarant is not professionally managed by another financial institution.
- The Declarant is not a specified insurance company (or holding one).
- The Declarant meets at least one of the criteria outlined in Annex 1, VI. B. 4. of the applicable IGA in order to claim the FATCA status as Active NFFE. (Please consult the Appendix for more details.)

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<sup>1</sup> The Declarant may be the Contracting Partner or a relevant third party on the relationship.

RM > Client-ID

<p><b>To be completed by the Bank</b></p> <p><b>09322</b></p> <p>Client No. (CIF)</p>	<p>Signature and stamp Relationship Manager</p>
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**C. General Certifications**

**The Declarant certifies that all of the requirements as set out in section B. and in the Annex are met or that the Declarant has handed in another the relevant form, if applicable.**

The Declarant certifies that the information contained on this form as well as the definitions referred to herein have been reviewed and understood, and certifies that the information provided on this form is true, correct and complete. The Declarant agrees to submit a new form within 30 days if any information on this form becomes incorrect.

By signing this form, the Declarant understands that investments in U.S. Securities will only be possible upon submission of additional documentation. Without this additional documentation, any safekeeping accounts held under this relationship will remain blocked for investments in U.S. Securities.

**The Declarant acknowledges and agrees that the Bank can use the signed form to document the Declarant's status for all current or future relationships that the declarant is or will be involved in, in any capacity, with any Credit Suisse Group Entity in Switzerland.**

The undersigning person certifies that he/she has the authority to sign for the Declarant. The provisions governing choice of law and jurisdiction in the Bank's General Conditions apply.

**Signature for Declarant(s)**

Place, date

\_\_\_\_\_  
Signature(s)                  Print Name(s)

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.

**To be completed by the Bank**  
Client No. (CIF)

## Appendix:

**In order to be considered an Active NFFE according to Annex 1, VI. B. 4. of the Swiss IGA you must meet at least one of the following criteria:**

- A. The Declarant meets the following income and asset test for the preceding calendar year, based on the fair market value or book value of the Declarant's assets as reflected on its balance sheet:
- i) Less than 50% of its gross income constituted passive income (see explanation below); and
  - ii) Less than 50% of its assets were passive assets (meaning assets that produce or are held for the production of passive income, see explanation below) on a weighted average basis.

**Definition passive income:** For these purposes, passive income has the meaning set out in US Treasury Department Regulation §1.1472-1(c)(1)(iv)(A) and generally includes investment income, such as dividends, interest, rents and royalties (other than certain active rents and royalties), annuities, the excess of gains over losses from the sale or exchange of the foregoing types of property, etc.

- B. The Declarant's stock is regularly traded on an established securities market or it is a Related Entity (i.e. related by ownership greater than 50%) of an entity, the stock of which is regularly traded on an established securities market.
- C. The Declarant is organized in a US Territory (i.e. American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico, or the U.S. Virgin Islands), and all of the owners of the Declarant are bona fide residents of that US Territory.
- D. The Declarant is a non-US government, a government of a US Territory, an international organization, a non-US central bank of issue, or an entity wholly owned by one or more of the foregoing.
- E. Substantially all of the Declarant's activities consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution, unless the Declarant functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.
- F. The Declarant primarily engages in financing and hedging transactions with, or for, Related Entities (i.e. related by ownership greater than 50%) that are not financial institutions, and does not provide financing or hedging services to any entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a financial institution;
- G. The Declarant is:
- i) established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes; and
  - ii) exempt from income tax in its jurisdiction of residence; and
  - iii) has no shareholders or members who have a proprietary or beneficial interest in its income or assets; and
  - iv) the applicable laws of the country of residence or the formation documents do not permit any income or assets of the Declarant to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the Declarant's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the Declarant has purchased; and
  - v) the applicable laws of the Declarant's country of residence or the Declarant's formation documents require that, upon the Declarant's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the Declarant's country of residence or any political subdivision thereof.

**To be completed by the Bank**

Client No. (CIF)