

ENTITY TAX RESIDENCY SELF-CERTIFICATION FORM

Please complete, where applicable, the relevant sections below in relation to all relevant accounts and provide any additional information/documents as may be required.

CUSTOMER DETAILS

Legal Name			
Country of incorporation or organisation			
Current Residence Address (Town/State and Country)			
Mailing Address (if different to the address shown above)			
Entity Type (choose one)		<input type="checkbox"/> Financial Institution If yes, Provide GIIN _____ • _____ • _____ (obtained for FATCA purposes)	
		<input type="checkbox"/> Passive NFE If yes, Provide name of Controlling Person(s) _____	
		<input type="checkbox"/> Active NFE	
Name of any Controlling Person(s) of the Account Holder – Complete “Controlling Person Tax Residency self-certification form” for each Controlling Person*			
Country of Tax Residence (Entity)	TIN or a Business/company registration code/num	If no TIN available, enter Reason A, B or C	If you have selected Reason B, explain why

Note: Please complete the above table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each country indicated. If the Account Holder is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or country in which its principal office is located.

If the Account Holder is tax resident in more than three countries please use a separate sheet

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A - The country where I am liable to pay tax does not issue TINs to its residents

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C - No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

Declarations and Signature

- I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with AfrAsia Bank Limited setting out how AfrAsia Bank Limited may use and share the information supplied by me.
- I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
- I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.
- I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.
- I undertake to advise AfrAsia Bank Limited within 30 days of any change in circumstances which affects the tax residency status of the individual identified above of this form or causes the information contained herein to become incorrect, and to AfrAsia Bank Limited with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.
- I declare that all information provided on this form is true, correct and complete and I undertake to indemnify that AfrAsia Bank Limited and its Officers in the event I would have made any misstatement in this certificate.**

Signature: _____

Date: _____

Print name: _____

Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney

Capacity: _____

CONTROLLING PERSON TAX RESIDENCY SELF-CERTIFICATION FORM

Please complete, where applicable, the relevant sections below in relation to all relevant accounts and provide any additional information/documents as may be required.

CONTROLLING PERSON DETAILS

Name of Controlling Person			
Current Residence Address			
Mailing Address (if different to the address shown above)			
Date of Birth (dd/mm/yyyy)			
Place of Birth - Town or City of Birth			
Country of Birth			
Legal name of the relevant entity Account Holder(s) of which you are a Controlling Person		Legal name of Entity 1	
		Legal name of Entity 2	
		Legal name of Entity 3	
Country of Tax Residence (Controlling Person)	TIN/social security/insurance no./citizen/personal identification/service code/no. or resident registration no.	If no TIN available, enter Reason A, B or C	If you have selected Reason B, explain why

Note: Please complete the above table indicating:

- (i) where the Controlling Person is tax resident;
- (ii) the Controlling Person's TIN for each country indicated; and,
- (iii) if the Controlling Person is a tax resident in a country that is a Reportable Jurisdiction(s) then please also complete the section "Type of Controlling Person". (You can also find out more about whether a country is a Reportable Jurisdiction on the OECD automatic exchange of information portal). If the Controlling Person is tax resident in more than three countries please use a separate sheet

If a TIN is unavailable please provide the appropriate reason A, B or C:

Reason A - The country where the controlling person is liable to pay tax does not issue TINs to its residents

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C - No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

Type of Controlling Person

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's Status by ticking the appropriate box.	Entity 1	Entity 2	Entity 3
a. Controlling Person of a legal person – control by ownership			
b. Controlling Person of a legal person – control by other means			
c. Controlling Person of a legal person – senior managing official			
d. Controlling Person of a trust – settlor			
e. Controlling Person of a trust – trustee			
f. Controlling Person of a trust – protector			
g. Controlling Person of a trust – beneficiary			
h. Controlling Person of a trust – other			
i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent			
j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent			
k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent			
l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent			
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent			

Declarations and Signature

- I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with AfrAsia Bank Limited setting out how AfrAsia Bank Limited may use and share the information supplied by me.
- I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which [I/the Controlling Person] may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
- I certify that I am the Controlling Person, or am authorised to sign for the Controlling Person, of all the account(s) held by the entity Account Holder to which this form relates.
- I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.
- I undertake to advise AfrAsia Bank Limited within 30 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide AfrAsia Bank Limited with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

I declare that all information provided on this form is true, correct and complete and I undertake to indemnify that AfrAsia Bank Limited and its Officers in the event I would have made any misstatement in this certificate.

Signature: _____

Date: _____

Print name: _____

Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity: _____

Annexure 1 - Definitions

Controlling Persons - are defined as natural persons who exercise control over an entity.

In the case of a Trust this means -

- the settlor;
- the trustees;
- the protector (if any);
- the beneficiaries (if appointed); and
- any other natural person exercising ultimate effective control over the Trust.

In case of a Company this means -

- shareholders;
- the beneficiaries or Ultimate beneficial owners; and
- any other natural person exercising ultimate effective control over the Company.

In case of a Foundation this means -

- Council Members;
- Founder;
- Executor;
- Beneficiaries;
- Protector;
- the beneficiaries(if appointed); and
- any other natural person exercising ultimate effective control over the Foundation.

Non-participating foreign financial institution - An FFI that does not enter into an agreement with the IRS is referred to as a “non-participating foreign financial institution” (NPFFI), and is subject to withholding under FATCA.

Participating foreign financial institution - An FFI that enters into a FFI agreement with the IRS is referred to as a “participating foreign financial institution” (PFFI).

Reporting Model 1 FFI - The term Reporting Model 1 FFI means a Financial Institution with respect to which a non-U.S. government or agency thereof agrees to obtain and exchange information pursuant to a Model 1 IGA, other than a Financial Institution treated as a Nonparticipating Financial Institution under the Model 1 IGA.

Reporting Model 2 FFI - Model 2 IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into an FFI agreement is a participating FFI, but may be referred to as a reporting Model 2 FFI.

Nonreporting IGA FFI - Financial Institution in a jurisdiction which has not signed a IGA with the US government.

An NFFE is any non-USA entity under the US Agreement that is not treated as a Financial Institution. In practice therefore this could apply to any company, partnership, trust, foundation or any other legal entity that is not a Financial Institution.

There are two categories of NFFE:

- Active NFFE
- Passive NFFE

An NFFE, whether Passive or Active, has no registration obligations. Instead, it is the responsibility of the financial Institution with which the NFFE has a relationship to obtain self-certification from the NFFE to establish its status. Where the NFFE is Passive, the financial institution should request information in respect of Controlling Persons of that NFFE and report to the local tax authorities in respect of those Controlling Persons.

Active NFFE - An Active NFFE means any NFFE that meets certain specified criteria including the following:

1. less than 50% of its gross income for the preceding calendar year is passive income and less than 50% of the weighted average percentage of assets held by it is assets that produce or are held for the production of passive income (i.e. dividends, interest annuities etc.);
2. the stock of the NFFE is regularly traded on an established securities market or the NFFE is related to such an entity;
3. the NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after a period of 2 years from incorporation/establishment;
4. The NFFE is an “excepted NFFE” as described in relevant USA Treasury Regulations; or
5. The NFFE is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labor organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare and certain other conditions are satisfied.

Passive NFFE - A passive NFFE is an NFFE that is not:

- an Active NFFE; or
- a withholding foreign partnership or withholding foreign trust pursuant to relevant USA Treasury Regulations.