

ENTITY SELF-CERTIFICATION FORM FATCA & CRS

Introduction

Under Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS), we are required to determine the tax residence status of our customers. If you are a US Person or tax resident outside the country where your account is held, we may need to give the national tax authority your account information, which may then be shared with different countries' tax authorities.

Please complete this Self-Certification Form so that we hold accurate and up to date information about your tax residence status. If there are subsequent changes to your circumstances, please let us know by providing an updated Self-Certification Form.

Please provide all the information as required in this Self-Certification Form. For declaration of your entity status, you may refer to the table below for the section that may be relevant to your entity.

TYPE OF ENTITY	RELEVANT SECTIONS
Financial Institution or Investment Entity	Part 1 and/or Part 2 (where applicable)
Non-Financial Institution	Part 2 only
U.S. Entity	Part 1(b) or Part 2 Please also complete US IRS Form W-9
Sole-Proprietorship owned by an Individual	Please complete the Self Certification on Tax Residency Status (Individual) Form instead

If you have any questions on how to determine your tax residence status, please consult a professional tax adviser as we are not allowed to give tax advice. You may also refer to the information provided below.

Any US tax matters set out in this Self-Certification Form is not intended or written to be used, and cannot be used, in connection with the promotion, marketing or recommendation by any person for any of the matters set out in this Self-Certification Form or for the purpose of avoiding U.S. tax-related penalties.

More information on FATCA and CRS

For FATCA, please refer to: <http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA> or <https://www.ato.gov.au/General/International-tax-agreements/In-detail/International-arrangements/Foreign-Account-Tax-Compliance-Act/>

For CRS, please refer to: <http://www.oecd.org/tax/automatic-exchange/> or <https://www.ato.gov.au/business/large-business/in-detail/business-bulletins/articles/common-reporting-standard/>

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Registered Name of Entity
Registered Address of Entity
Country of Incorporation

Please list all jurisdictions where the Entity is a resident for tax purposes and the respective TIN for each jurisdiction.

	COUNTRY OF TAX RESIDENCE	TAX IDENTIFICATION NUMBER (TIN)	IF NO TIN IS AVAILABLE, PLEASE INDICATE REASON A, B OR C
1			
2			
3			

If your Entity is not a tax resident of any country, please indicate above its place of effective management or country in which its principal office is located.

Reason A

The country where your Entity is liable to pay tax does not issue TINs to its residents.

Reason B

Your Entity 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 indicated this reason.

Reason C

No TIN is required. This reason only applies if the authorities of the country of tax residence indicated do not require the TIN to be disclosed.

Explanations for Reason B

1	
2	
3	

- If your Entity's country(ies) of tax residence did not include the Entity's country of incorporation or country of registered address, please tick the following box as confirmation:
 - The Entity is not a tax resident of the country(ies) where it is incorporated in or having a registered address. By checking this box, you also confirm that the Entity is not a tax resident of any countries other than those declared above.
- In the absence of the above confirmation, DBS may have to disclose your Entity's account information to the relevant tax authority based on information held in our records. In addition, your Entity may not be able to open additional accounts with us.

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1. FINANCIAL INSTITUTION

(a) FATCA Status (Not Applicable for U.S. Entity)

A <input type="checkbox"/>	<ul style="list-style-type: none"> ▪ You are a Participating Foreign Financial Institution; and ▪ Your GIIN (Global Intermediary Identification Number) is <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	Participating FFI
B <input type="checkbox"/>	<ul style="list-style-type: none"> ▪ You are a Non-Participating Foreign Financial Institution 	Non-Participating FFI
C <input type="checkbox"/>	<ul style="list-style-type: none"> ▪ You are another type of Foreign Financial Institution ▪ Please complete and submit the appropriate US IRS Form W-8 	

(b) CRS Status

D <input type="checkbox"/>	<ul style="list-style-type: none"> ▪ You are an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution <p>Please also complete Part 3 and the Self Certification on Tax Residency Status (Individual) Form for all Controlling Persons.</p>	Non-Participating FIIE
E <input type="checkbox"/>	<ul style="list-style-type: none"> ▪ You are an Investment Entity other than (D) above 	FIIE
F <input type="checkbox"/>	<ul style="list-style-type: none"> ▪ You are a Depository Institution, Custodial Institution or Specified Insurance Company 	Financial Institution

2. NON-FINANCIAL INSTITUTION

	(a) Active Non-Financial Institution	FATCA Status	CRS Status
G <input type="checkbox"/>	<p>Active Business</p> <ul style="list-style-type: none"> ▪ Your primary line of business is <hr style="width: 80%; margin: 5px 0;"/> <ul style="list-style-type: none"> ▪ You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interests, rents or royalties; and ▪ At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities 	Active NFFE	Active NFE Others
H <input type="checkbox"/>	<p>Start-up Company</p> <ul style="list-style-type: none"> ▪ You are just starting and not yet in operation, and have no prior operating history; ▪ You are investing capital into assets with the intention to operate a business other than that of a Financial Institution; and ▪ The date of your incorporation is not more than 24 months prior to the date of this self-certification form 	Active NFFE Excepted Nonfinancial Start-Up Company	Active NFE Others (Start -up NFE)

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<input type="checkbox"/>	<p>Charity/ Non-profit Organisation</p> <ul style="list-style-type: none"> ▪ You are a Charity/ Non-profit organisation established and maintained exclusively for: <ul style="list-style-type: none"> - Religious, charitable, scientific, artistic, cultural or educational purposes; or - Professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civil league or an organisation operated exclusively for the promotion of social welfare ▪ The Charity/Non-profit organisation fulfills all the following conditions: <ul style="list-style-type: none"> - Exempt from income tax in its jurisdiction of residence; - Has no shareholders or members who have a proprietary or beneficial interest in its income or assets; - Its formation documents or the local law do not permit the distribution of any income or assets to or for the benefit of a private person or non-charity entity except for payment of reasonable compensation for services or as payment representing the fair market value of property which it has purchased or a distribution in accordance with the charity's charitable activities; and - Its formation documents or the local law require all of the charity's assets to be distributed to a government entity or other non-profit organisation upon the charity's dissolution or liquidation. 	Active NFFE Non-profit Organisation	Active NFE Others (Nonprofit NFE)
<input type="checkbox"/>	<p>Public Sector Entity</p> <ul style="list-style-type: none"> ▪ You are, or are wholly owned by, any of the following: <ul style="list-style-type: none"> - Government Agencies - Statutory Boards - Entities owned by Statutory Boards - Public Sector entities - Foreign Embassies or Trade Representative Offices 	Active NFFE Entity wholly owned by exempt beneficial owners	Active NFE Governmental Entity or Central Bank
<input type="checkbox"/>	<p>International Organisation</p> <ul style="list-style-type: none"> ▪ You are an intergovernmental organisation or a supranational organisation comprised primarily of governments; ▪ You have in effect a headquarters or substantially similar agreement with the jurisdiction; and ▪ Your income does not inure to the benefit of private persons. 	Active NFFE International Organisation	Active NFE International Organisation
<input type="checkbox"/>	<p>Publicly Listed Company or its Related Entity</p> <ul style="list-style-type: none"> ▪ Your stock is regularly traded on one or more established securities markets; or ▪ You are an affiliate (in other words, a member) of an entity the stock of which is regularly traded on an established securities market 	Active NFFE Publicly traded NFFE or NFFE affiliate of a publicly traded corporation	Active NFE Publicly traded NFE
<input type="checkbox"/>	<p>Treasury / Financing Centre of Corporate Groups</p> <ul style="list-style-type: none"> ▪ You primarily engage in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions; and ▪ The group of such Related Entities is primarily engaged in a business other than that of a Financial Institution; and 	Active NFFE Excepted Nonfinancial Group Entity	Active NFE Others (Treasury/ Financing centre of a nonfinancial group)

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	<ul style="list-style-type: none"> You do not provide financing or hedging services to any entity that is not a Related Entity 		
N <input type="checkbox"/>	Holding Company of Nonfinancial Groups <ul style="list-style-type: none"> Substantially all of your activities consist of holding the outstanding shares of, or providing financing and services to, one or more subsidiaries that are not FIs; and You do not function (or hold yourself out) as an investment fund, e.g. 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 	Active NFFE Excepted Nonfinancial Group Entity	Active NFE Others (Holding NFEs that are members of a nonfinancial group)
O <input type="checkbox"/>	Liquidating or Emerging from Bankruptcy Company <ul style="list-style-type: none"> You were not an FI in the past five years; and You are in the process of liquidating your assets or are re-organising with the intent to continue or recommence operations in a business other than that of an FI. 	Active NFFE Excepted nonfinancial entity in liquidation or bankruptcy	Active NFE Others (Liquidating or emerging from bankruptcy NFE)
P <input type="checkbox"/>	Australian Retirement Funds <ul style="list-style-type: none"> You are: <ul style="list-style-type: none"> any plan, scheme, fund, trust, or other arrangement operated principally to administer or provide pension, retirement, superannuation, or death benefits that is a 'superannuation entity' (in this context, this means a 'regulated superannuation fund' or an 'approved deposit fund') or 'public sector superannuation scheme' (including an 'exempt public sector superannuation scheme') as defined in the Superannuation Industry (Supervision) Act 1993 (Cth), or a fund that is declared by the Income Tax Assessment Regulations 1997 (Cth) to be a 'constitutionally protected fund'; A 'pooled superannuation trust' as defined in section 48 of the Superannuation Industry (Supervision) Act 1993 (Cth); or Any entity that is wholly owned by, and conducts investment activities, accepts deposits from, or holds financial assets exclusively for or on behalf of, one or more plans, schemes, funds, trusts, or other arrangements referred to in either of the above two bullet points. 	Exempt Retirement Plans	Broad Participation Retirement Fund
Q <input type="checkbox"/>	If your FATCA classification is none of the above, kindly complete and submit the appropriate US IRS Form W-8		
(b) Passive Non-Financial Entity			
R <input type="checkbox"/>	Passive Investment Entity <ul style="list-style-type: none"> You derive more than 50% of your gross income (for the previous calendar year) from passive income such as investments, dividends, interests, rents or royalties. <p>Please also complete Part 3 and the Self Certification on Tax Residency Status (Individual) Form for all Controlling Persons.</p>	Passive NFFE	Passive NFE

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3. DECLARATION OF CONTROLLING PERSONS¹

This section is only applicable if you have selected D in Part 1(b) or R in Part 2. Please complete for all Controlling Persons. In addition, each Controlling Person is to provide the tax residence information by completing the Self Certification on Tax Residency Status (Individual) Form.

<p>Controlling Person</p> <p>Name (<i>please underline surname</i>): _____</p> <p>Type of Controlling Person: Please select only 1 type.</p> <table><tbody><tr><td><input type="checkbox"/> Legal person – by ownership</td><td><input type="checkbox"/> Legal arrangement (non-trust) – settlor-equivalent</td></tr><tr><td><input type="checkbox"/> Legal person – by senior managing official</td><td><input type="checkbox"/> Legal arrangement (non-trust) – trustee-equivalent</td></tr><tr><td><input type="checkbox"/> Legal person – by other means</td><td><input type="checkbox"/> Legal arrangement (non-trust) – protector-equivalent</td></tr><tr><td><input type="checkbox"/> Trust – settlor</td><td><input type="checkbox"/> Legal arrangement (non-trust) – beneficiary-equivalent</td></tr><tr><td><input type="checkbox"/> Trust – trustee</td><td><input type="checkbox"/> Legal arrangement (non-trust) – other-equivalent</td></tr><tr><td><input type="checkbox"/> Trust – protector</td><td></td></tr><tr><td><input type="checkbox"/> Trust – beneficiary</td><td></td></tr><tr><td><input type="checkbox"/> Trust – other</td><td></td></tr></tbody></table>	<input type="checkbox"/> Legal person – by ownership	<input type="checkbox"/> Legal arrangement (non-trust) – settlor-equivalent	<input type="checkbox"/> Legal person – by senior managing official	<input type="checkbox"/> Legal arrangement (non-trust) – trustee-equivalent	<input type="checkbox"/> Legal person – by other means	<input type="checkbox"/> Legal arrangement (non-trust) – protector-equivalent	<input type="checkbox"/> Trust – settlor	<input type="checkbox"/> Legal arrangement (non-trust) – beneficiary-equivalent	<input type="checkbox"/> Trust – trustee	<input type="checkbox"/> Legal arrangement (non-trust) – other-equivalent	<input type="checkbox"/> Trust – protector		<input type="checkbox"/> Trust – beneficiary		<input type="checkbox"/> Trust – other	
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¹ **Controlling Persons** means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person 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.

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AGREEMENT AND SIGN-OFF

1. I agree that DBS Bank Ltd (“DBS”) may disclose and transfer to its offices, branches, subsidiaries, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to the Account Holder’s accounts and products with DBS, in connection with or to facilitate their compliance with applicable laws and regulations.
2. I certify that the information above is true, accurate and complete. If any information changes, I shall inform DBS within 30 calendar days of the change, and provide supporting documents if it is required by DBS.
3. I consent to DBS collecting, using and disclosing information (including disclosing information to any Singapore or other government authority or agency) that I have provided for the purpose of complying with applicable laws and regulations.
4. I certify that I am authorised to sign this form for the Account Holder and warrant that I have obtained the consent of any individual named in this form or have the right to consent on his/her behalf to such collection, use, disclosure and processing of his/her personal data by DBS for the purposes of this certification.

Name:
Signature

Name:
Signature

Date

Date

Name:
Signature

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Signature

Date

Date