

Self-Certification on Tax Residency Status

Foreign Account Tax Compliance Act (“FATCA”) & Common Reporting Standard (“CRS”) Self-Certification Form - Entity Account Holder

Instructions:

1. Please complete this form if you are an Entity Account Holder.
2. Please complete all sections in a legible manner. The form must be signed and dated.
3. The following will render this form invalid.
 - (a) Alterations to the pre-printed content.
 - (b) Use of correction fluid or tape.
 - (c) Failure to state address in full, namely failing to specify the relevant Country, City and Postal code for your address / the Controlling Person’s address and the type of Controlling Person.
4. To assist you in completing this form, a glossary of terms is attached to this form. The glossary is not a substitute for understanding the requirements of the Regulations. The glossary and this document do not constitute tax advice.
5. If the Entity Account Holder is a Passive Non-Financial Entity (PNFE) / Passive Non-Financial Foreign Entity (PNFFE), please note that the Controlling Person(s) section must be completed in full.

Note: If there is a change in your Mailing Address, please complete and submit the Change of Address / Contact Details Form (Non-Individual) to the Bank.

Important information regarding tax reporting requirements for US Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

In order to comply with the regulatory requirements of FATCA and CRS, we are obliged to collect and report certain information and/or documentation about the tax residence status of our customers. Please complete the sections below as directed and provide any additional information that is requested. Refer to FATCA and CRS Glossary.

Providing information relating to tax residency, tax classification or tax identification which is false or misleading may be regarded as an offence and therefore, may be subject to penalties under relevant law or regulation

If you have any questions about this FATCA & CRS Self-Certification Form, please speak to your tax adviser as we are unable to provide tax advice.

Complete the following section based on your Entity type. Ticked sections are mandatory

Section	1.0	2.0	3.0	4.0	5.0	6.0
Sole Proprietorship Individual Owners	✓	✓	✓	N.A	N.A	✓
Sole Proprietorship Non-Individual Owners	✓	✓	✓	✓	Conditional	✓
Other Entity Type	✓	N.A	✓	v	Conditional	✓

1.0 Entity Account Holder’s Information

Registered Business Name (“the Entity”) : _____

Business Registration Number : _____

Country of Incorporation or Organisation : _____

Primary Country of Operations : _____

Registered Address : _____

2.0 Sole Proprietorship Owner's Information

This section is required only if you are a Sole Proprietorship. Provide the Sole Proprietorship (Individual/ Non-Individual) Owner's information and not the particulars of the Sole Proprietorship.

Note: If you provide information (including but not limited to, residential address, ID information, tax residency, TIN, etc.) that differs from what UOBM currently has on record, UOBM will accordingly update its records.

Sole-Proprietorship (owned by Individual)

Name	Country of birth	Date of birth (DD/MM/YYYY)
<input type="text"/>	<input type="text"/>	<input type="text"/>
ID Number (NRIC/Passport/FIN)	Citizenship	Residential Address
<input type="text"/>	<input type="text"/>	<input type="text"/>
Mailing Address if different from Residential address		
<input type="text"/>		

Sole-Proprietorship (owned by Non-Individual)

Registered Business Name

Business Registration Number (UEN)	Country of Incorporation	Registered Address
<input type="text"/>	<input type="text"/>	<input type="text"/>
		<input type="text"/>

3.0 Tax Residency

Please declare all jurisdictions where you are a tax resident and the respective TIN for each jurisdiction.

If you are a Sole Proprietorship, provide the Sole Proprietorship (Individual/Non-Individual) owner's tax residency(ies).
If you are an Entity, and the Entity is not tax resident in any country/jurisdiction (e.g. because it is fiscally transparent), please provide its place of effective management or jurisdiction in which its principal office is located.

Malaysia TIN number (Malaysia)

United States TIN number (United States) Specified US Person Yes No

Please also complete the IRS W-9 Form

Others

Country 1	TIN number	Country 2	TIN number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

Country 3	TIN number	Country 4	TIN number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.

3.0 Tax Residency

Clarification on Tax Residence Information

Individual (Sole-Proprietorship owned by an Individual) Tax Residency(ies) Clarification

If your current residential / mailing address differs from your declared country(ies) of tax residence as above, please provide a reasonable explanation.

In the absence of your reasonable clarification or explanation, the Bank may have to disclose your account information to tax authorities based on information available in our records. In addition, your account may be subject to restrictions until we receive the necessary clarifications.

If the country of residential or mailing address does not correspond with your declared country of tax residence, please select reasons:

- I am a foreign individual in the relevant jurisdiction and I do not meet the minimum number of days to be considered as physically present, and hence not a tax resident in the relevant jurisdiction.
 - This is the address of a trusted person (e.g., family member, relative personal assistant).
 - Others: *(Please provide an explanation here)*
-

Where you have not provided a Malaysia phone number, and the foreign phone number is different from your declared tax residency, please explain:

- The phone number is the number of a trusted person (e.g, family member, relative, business contact).
 - Others: *(Please provide an explanation here)*
-

Non-Individual Tax Residency(ies) Clarification

If any of these information fields (Country of Incorporation / Registration, Registered Address, Mailing Address, Domicile – Country of Business Operations, Trustee Address) provided by you differs from your declared country(ies) of tax residence in Part 3.0 - Tax Residency, please select the appropriate reasonable explanation.

In the absence of your reasonable clarification or explanation, the Bank may have to disclose your account information to tax authorities based on information available in our records. In addition, your account may be subject to restrictions until we receive the necessary clarifications.

This also includes the sole proprietorship's details if you are a sole proprietorship owned by business entity.

Country of incorporation / registration

Please provide a government issued document of at least one of the country(ies) which you are a tax resident of.

- The entity's jurisdiction where its effective management is situated differs from the jurisdiction in which it was incorporated / registered.
 - The entity is a branch and its head office is tax resident in the declared country of tax residence.
 - The sole-proprietorship is set up by a service provider.
 - Others: *(Please provide an explanation here)*
-

Country of registered address

- This is the address of the sole-proprietorship's service provider.
 - Others: *(Please provide an explanation here)*
-

Country(ies) of mailing addresses

- This is the address of my service provider / director / shareholder / authorised signatory.
 - Others: *(Please provide an explanation here)*
-

Country(ies) of domicile (Place(s) of Business)

- This is where my service provider is located.
 - My tax residency is determined by the place of incorporation. (only applicable if country of incorporation is one of the tax residency(ies)).
 - Others: *(Please provide an explanation here)*
-

Country(ies) of Protector(s), Settlor(s), Beneficiary(ies), and Trustee(s) Address (Only applicable if entity is a trust)

- The address provided is not in the same country as the Trustee's tax residency.
 - Others: *(Please provide an explanation here)*
-



4.0 FATCA and CRS Status

Select one of the following statements that best describes the Entity. If you are a Sole Proprietorship, provide the Sole Proprietorship (Non-Individual) owner's FATCA and CRS status.

Instructions	FATCA status if non-US tax resident	CRS status
<input type="radio"/> Passive Business 50% or more of your gross income from Passive Income in the previous year. or 50% or more of your assets were used to produce Passive Income in the previous year.	Proceed to complete Section 5.0 Controlling Person(s).	Passive Non-Financial Foreign Entity Passive Non-Financial Entity
<input type="radio"/> Active Business Less than 50% of your gross income from Passive Income in the previous year and Less than 50% of your assets were used to produce Passive Income in the previous year.	Proceed to complete Section 6.0 Authorisations and Undertakings.	
<input type="radio"/> Publicly Listed Company or its Related Entity Stock is regularly traded on one or more established securities markets or A Related Entity of an entity whose stock is regularly traded on an established securities market.	1. Name of established securities market _____ 2. Name of Related Entity (if any) _____ 3. Proceed to complete Section 6.0 Authorisations and Undertakings.	Active Non-Financial Foreign Entity Active Non-Financial Foreign Entity
<input type="radio"/> Charities	Proceed to complete Section 6.0 Authorisations and Undertakings.	
<input type="radio"/> Holding Company or Group Services Company Substantially all of your activities consist of holding the outstanding 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, venture capital fund (e.g. a private equity 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).	Proceed to complete Section 6.0 Authorisations and Undertakings.	
<input type="radio"/> Financial Institution Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.	1. Provide GIIN _____ _____ 2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP. 3. Proceed to complete Section 5.0 Controlling Person(s).	Foreign Financial Institution Passive Non-Financial Entity Proceed to complete Section 5.0 Controlling Person(s).

4.0 FATCA and CRS Status

Instructions		FATCA status if non-US tax resident	CRS status
<input type="radio"/> Financial Institution Other Investment Entity.	1. Provide GIIN _____ _____ 2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP. 3. Proceed to complete Section 5.0 Controlling Person(s).	Foreign Financial Institution	Financial Institution
<input type="radio"/> Financial Institution Depository Institution, Custodial Institution or Specified Insurance Company.	1. Provide GIIN _____ _____ 2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP. 3. Proceed to complete Section 5.0 Controlling Person(s).		
<input type="radio"/> Government Entity or Central Bank Government and government-linked entities (including Malaysia Ministries, Statutory Boards, Town Councils). Central Bank.	Proceed to complete Section 6.0 Authorisations and Undertakings.	Exempt Beneficial Owner	Active Non-Financial Entity A Government Entity or Central Bank
<input type="radio"/> International Organisations Any international organisation or wholly owned agency or instrumentality thereof.	Proceed to complete Section 6.0 Authorisations and Undertakings.		Active Non-Financial Entity An International Organisation
<input type="radio"/> Other Status If you do not fall under any of the above statuses, please specify your FATCA and CRS status.	1. FATCA Status _____ Provide U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP 2. CRS Status _____ 3. Proceed to complete Section 6.0 Authorisations and Undertakings.	As specified	As specified

5.0 Controlling Person(s)

Complete below section only if your FATCA or CRS status is any of the following:
 Passive Non-Financial Foreign Entity/Passive Non-Financial Entity/Financial Institution-Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

Important Notice for Controlling Persons

Tax residence information provided here must be consistent with information provided for any other accounts you have in your individual capacity or for which you are also a Controlling Person.

All Controlling Person(s) must:

- Provide a copy of their NRIC / Passport document and Proof of Residential Address; and
- Sign this section.

In doing so, all Controlling Person(s) must confirm that the information provided in this section is accurate and up to date.

Important Notices for Controlling Persons (Signatures)

If you have provided a specimen signature for any accounts you have with UOBM, please ensure that the signature on this form matches the signature that was previously provided.

Important Notices for Controlling Persons (Updates to Residential Address and ID Information)

If you provide information (including but not limited to, residential address, ID information, tax residency, TIN, etc.) that differs from what UOBM currently has on record, UOBM will accordingly update its records.

Controlling Person 1

Name	Citizenship	Date of birth (DD/MM/YYYY)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Percentage of ownership	Country of birth	Residential address
<input type="text"/> %	<input type="text"/>	<input type="text"/>
ID number (NRIC/Passport/FIN)	ID issuing country	
<input type="text"/>	<input type="text"/>	

Please declare all jurisdictions where you are a tax resident and the respective TIN for each jurisdiction

<input type="checkbox"/> Malaysia	TIN number (Malaysia)	<input type="text"/>	
<input type="checkbox"/> United States	TIN number (United States)	<input type="text"/>	Specified US Person <input type="radio"/> Yes <input type="radio"/> No

<input type="checkbox"/> Others			
Country 1	TIN number	Country 2	TIN number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclose

Controlling Person's Tax Residency(ies) Clarification

If your current residential address differs from your declared country(ies) of tax residence as above, please provide a reasonable explanation.

In the absence of your reasonable clarification or explanation, the Bank may have to disclose your account information to tax authorities based on information available in our records. In addition, your account may be subject to restrictions until we receive the necessary clarifications.

- I am a foreign individual in the relevant jurisdiction and I do not meet the minimum number of days to be considered as physically present, and hence not a tax resident in the relevant jurisdiction.
- I am on a short-term project / assignment.
- I am a foreign individual assigned to a diplomatic post.
- Others: *(Please provide explanation below and submit relevant supporting documents)*

5.0 Controlling Person(s)

Controlling Person Type *(Tick one only)*

Legal Person

- Beneficial Owner
- Control by Senior Managing Official
- Control by Other Means

Trust

- Settlor
- Trustee
- Protector
- Beneficiary
- Others: _____

Legal Arrangement (Non-Trust)

- Settlor-equivalent
- Trustee-equivalent
- Protector-equivalent
- Beneficiary-equivalent
- Others: _____

Controlling Person Confirmation

I confirm that the information provided in this section is true and accurate and complete. No information has been withheld.

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 Account Holder to which this form relates.

I acknowledge that the information contained in this section and information regarding the Controlling Person may be reported to the tax authority of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country or countries in which this account(s) is/are maintained.

I hereby undertake to notify the Bank and to provide the Bank with a suitably updated FATCA & CRS Self-Certification Form within 30 days of any change in circumstances which affects the tax residency status of the Controlling Person named above or causes the information contained herein to become incorrect.

Signature

Name

Date (DD/MM/YYYY)

____/____/____

5.0 Controlling Person(s)

Controlling Person 2

Name	Citizenship	Date of birth (DD/MM/YYYY)
_____	_____	____/____/____
Percentage of ownership	Country of birth	Residential address
_____%	_____	_____
ID number (NRIC/Passport/FIN)	ID issuing country	_____
_____	_____	

Please declare all jurisdiction where you are a tax resident and the respective TIN for each jurisdiction.

<input type="checkbox"/> Malaysia	TIN number (Malaysia)	_____	
<input type="checkbox"/> United States	TIN number (United States)	_____	Specified US Person <input type="radio"/> Yes <input type="radio"/> No
<input type="checkbox"/> Others			

Country 1	TIN number	Country 2	TIN number
_____	_____	_____	_____

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

Controlling Person's Tax Residency(ies) Clarification

If your current residential address differs from your declared country(ies) of tax residence as above, please provide a reasonable explanation. In the absence of your reasonable clarification or explanation, the Bank may have to disclose your account information to tax authorities based on information available in our records. In addition, your account may be subject to restrictions until we receive the necessary clarifications.

- I am a foreign individual in the relevant jurisdiction and I do not meet the minimum number of days to be considered as physically present, and hence not a tax resident in the relevant jurisdiction.
- I am on a short-term project / assignment.
- I am a foreign individual assigned to a diplomatic post.
- Others: *(Please provide explanation below and submit relevant supporting documents)*

Controlling Person Type (Tick one only)

Legal Person

- Beneficial Owner
- Control by Senior Managing Official
- Control by Other Means

Trust

- Settlor
- Trustee
- Protector
- Beneficiary
- Others: _____

Legal Arrangement (Non-Trust)

- Settlor-equivalent
- Trustee-equivalent
- Protector-equivalent
- Beneficiary-equivalent
- Others: _____



5.0 Controlling Person(s)

Controlling Person Confirmation

I confirm that the information provided in this section is true and accurate and complete. No information has been withheld.

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 Account Holder to which this form relates.

I acknowledge that the information contained in this section and information regarding the Controlling Person 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 the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country or countries in which this account(s) is/are maintained.

I hereby undertake to notify the Bank and to provide the Bank with a suitably updated FATCA & CRS Self-Certification Form within 30 days of any change in circumstances which affects the tax residency status of the Controlling Person named above or causes the information contained herein to become incorrect.

Signature

Name

Date (DD/MM/YYYY)

____ / ____ / _____

5.0 Controlling Person(s)

Controlling Person 3

Name	Citizenship	Date of birth (DD/MM/YYYY)
_____	_____	____/____/____
Percentage of ownership	Country of birth	Residential address
_____%	_____	_____
ID number (NRIC/Passport/FIN)	ID issuing country	_____
_____	_____	

Please declare all jurisdictions where you are a tax resident and the respective TIN for each jurisdiction.

Malaysia TIN number (Malaysia) _____

United States TIN number (United States) _____ Specified US Person Yes No

Others

Country 1	TIN number	Country 2	TIN number
_____	_____	_____	_____

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

Controlling Person's Tax Residency(ies) Clarification

If your current residential address differs from your declared country(ies) of tax residence as above, please provide a reasonable explanation.

In the absence of your reasonable clarification or explanation, the Bank may have to disclose your account information to tax authorities based on information available in our records. In addition, your account may be subject to restrictions until we receive the necessary clarifications.

- I am a foreign individual in the relevant jurisdiction and I do not meet the minimum number of days to be considered as physically present, and hence not a tax resident in the relevant jurisdiction.
- I am on a short-term project / assignment.
- I am a foreign individual assigned to a diplomatic post.
- Others: *(Please provide explanation below and submit relevant supporting documents)*

Controlling Person Type *(Tick one only)*

Legal Person

- Beneficial Owner
- Control by Senior Managing Official
- Control by Other Means

Trust

- Settlor
- Trustee
- Protector
- Beneficiary
- Others: _____

Legal Arrangement (Non-Trust)

- Settlor-equivalent
- Trustee-equivalent
- Protector-equivalent
- Beneficiary-equivalent
- Others: _____

5.0 Controlling Person(s)

Controlling Person Confirmation

I confirm that the information provided in this section is true and accurate and complete. No information has been withheld.

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 Account Holder to which this form relates.

I acknowledge that the information contained in this section and information regarding the Controlling Person 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 the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country or countries in which this account(s) is/are maintained.

I hereby undertake to notify the Bank and to provide the Bank with a suitably updated FATCA & CRS Self-Certification Form within 30 days of any change in circumstances which affects the tax residency status of the Controlling Person named above or causes the information contained herein to become incorrect.

Signature

Name

Date (DD/MM/YYYY)

____/____/____

5.0 Controlling Person(s)

Controlling Person 4

Name	Citizenship	Date of birth (DD/MM/YYYY)
_____	_____	____/____/____
Percentage of ownership	Country of birth	Residential address
_____ %	_____	_____
ID number (NRIC/Passport/FIN)	ID issuing country	
_____	_____	

Select your controlling person tax residency(ies)

Malaysia TIN number (Malaysia) _____

United States TIN number (United States) _____ Specified US Person Yes No

Others

Country 1	TIN number	Country 2	TIN number
_____	_____	_____	_____

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

If no TIN in country/jurisdiction

- Country where the Entity/Individual is resident does not issue TINs.
- TIN has yet to be assigned.
- No TIN is required.
Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.

Controlling Person's Tax Residency(ies) Clarification

If your current residential address differs from your declared country(ies) of tax residence as above, please provide a reasonable explanation.

In the absence of your reasonable clarification or explanation, the Bank may have to disclose your account information to tax authorities based on information available in our records. In addition, your account may be subject to restrictions until we receive the necessary clarifications.

- I am a foreign individual in the relevant jurisdiction and I do not meet the minimum number of days to be considered as physically present, and hence not a tax resident in the relevant jurisdiction.
- I am on a short-term project / assignment.
- I am a foreign individual assigned to a diplomatic post.
- Others: *(Please provide explanation below and submit relevant supporting documents)*

Controlling Person Type *(Tick one only)*

Legal Person

- Beneficial Owner
- Control by Senior Managing Official
- Control by Other Means

Trust

- Settlor
- Trustee
- Protector
- Beneficiary
- Others: _____

Legal Arrangement (Non-Trust)

- Settlor-equivalent
- Trustee-equivalent
- Protector-equivalent
- Beneficiary-equivalent
- Others: _____



5.0 Controlling Person(s)

Controlling Person Confirmation

I confirm that the information provided in this section is true and accurate and complete. No information has been withheld.

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 Account Holder to which this form relates.

I acknowledge that the information contained in this section and information regarding the Controlling Person 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 the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country or countries in which this account(s) is/are maintained.

I hereby undertake to notify the Bank and to provide the Bank with a suitably updated FATCA & CRS Self-Certification Form within 30 days of any change in circumstances which affects the tax residency status of the Controlling Person named above or causes the information contained herein to become incorrect.

Signature

Name

Date (DD/MM/YYYY)

____ / ____ / _____

6.0 Authorisations and Undertakings

- We understand that the information provided herein is subject to the terms and conditions governing the Account Holder's relationship with United Overseas Bank (Malaysia) Bhd ("UOBM").
- We confirm and declare that all of the information regarding the Entity that has been provided in this form is complete, current and accurate.
- We acknowledge that the information contained in this FATCA & CRS Self-Certification Form and information regarding the Account Holder and/or Controlling Person(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 the Account Holder / Controlling Person(s) may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country or countries in which this account(s) is/are maintained.
- We certify that we are authorised to sign for the Account Holder in respect of all the account(s) to which this FATCA & CRS Self-Certification Form relates.
- We undertake to notify UOBM and to provide UOBM with a suitably updated Self-Certification form within 30 days of any change in circumstances which affects the tax residency status of the Account Holder named in Section 1 above or causes the information contained herein to become incorrect.
- We undertake to immediately notify UOBM in writing if any other person(s) become a Controlling Person.
- We agree to provide such documents as UOBM may require from time to time in its sole discretion for the purpose of UOBM validating the information relating to the Controlling Person and satisfying itself that the information herein is valid.
- Without prejudice to any other rights or remedies UOBM may otherwise have, we shall indemnify, keep indemnified and hold harmless UOBM against any and all liabilities actions, claims, losses, damages, costs and expenses (including but not limited to legal costs on a full indemnity basis) suffered or incurred by UOBM as a result of, or in connection the information herein being inaccurate, outdated or untrue.
- We acknowledge that a failure on our part to provide accurate and timely information pursuant to UOBM's obligations may result in UOBM taking necessary measures and actions including but not limited to as provided in the Regulations and all applicable laws relating to the same.

Signature^

Name: _____

NRIC / Passport.: _____

Date (DD/MM/YYYY): ____ / ____ / _____

Signature^

Name: _____

NRIC / Passport.: _____

Date (DD/MM/YYYY): ____ / ____ / _____

Signature^

Name: _____

NRIC / Passport.: _____

Date (DD/MM/YYYY): ____ / ____ / _____

Signature^

Name: _____

NRIC / Passport.: _____

Date (DD/MM/YYYY): ____ / ____ / _____

**Note: To be signed by any person with written authorisation from the Entity Account Holder to sign documentation on behalf of the Entity. For example, a director of a company, a partner of a partnership, a trustee of a trust, or any other person holding an equivalent title to any of the aforementioned for other types of entity.*

For Bank Use Only			
FOR BRANCHES/BUSINESS UNIT USE ONLY			
Validation documents enclosed:-			
<input type="checkbox"/> Please state: _____			
Identification Status : <input type="checkbox"/> Complete <input type="checkbox"/> Pending			
Attended / Processed by* Lan ID : _____ Staff ID : _____ Signature and Name _____ Date _____		Signature Verified by (For Thumbprint-Witnessed by): For Branch Use Only Lan ID : _____ Staff ID : _____ Signature and Name _____ Date _____	
FOR CMOC USE ONLY			
Processed by Signature and Name _____ Date _____		Approved by Signature and Name _____ Date _____	

FATCA and CRS Glossary

These are selected summaries of defined terms that are intended as a guide to assist you in completing the FATCA & CRS Self-Certification Form. Should you have any questions, please contact your tax adviser.

Account Holder:

The term "Account Holder" means the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account. For a jointly held account, each joint holder is treated as an Account Holder.

Active Non-Financial Entity (NFE)/ Active Non-Financial Foreign Entity (NFFE):

Any NFE/NFFE (being an entity that is not a Financial Institution (FI)) that meets any of the following criteria:

1. Less than 50 percent of the NFE/NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE/NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
2. The stock of the NFE/NFFE is regularly traded on an established securities market or the NFE/NFFE is a Related Entity of an Entity the stock of which is traded on an established securities market;
3. The NFE/NFFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
4. Substantially all of the activities of the NFE/NFFE 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, except that an entity does not qualify for this status if the Entity 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;
5. The NFE/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 NFE/NFFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE/NFFE;
6. The NFE/NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
7. The NFE/NFFE primarily engages in financing and hedging transactions with or for Related Entities 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; or
8. The NFE/NFFE meets all of the following requirements:
 - (a) It 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, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
 - (b) It is exempt from income tax in its jurisdiction of residence;
 - (c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - (d) The applicable laws of the NFE/NFFE's jurisdiction of residence or the NFE/NFFE's formation documents do not permit any income or assets of the NFE/NFFE 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 NFE/NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
 - (e) The applicable laws of the NFE/NFFE's jurisdiction of residence or the NFE/NFFE's formation documents require that, upon the NFE/NFFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE/NFFE's jurisdiction of residence or any political subdivision thereof.

Central Bank:

An institution that is by law or government sanction the principal authority, other than the government of the jurisdiction itself, issuing instruments intended to circulate as currency. Such an institution may include an instrumentality that is separate from the government of the jurisdiction, whether or not owned in whole or in part by the jurisdiction.

Controlling Person:

The natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies), or class(es) of beneficiaries, and any other natural person(s) 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. The term 'Controlling Person' shall be interpreted in a manner consistent with the Recommendations of the Financial Action Task Force.

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the entity (which may be based on a threshold e.g. any person owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the

Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

CRS:

means the Common Reporting Standard.

Custodial Institution:

Any Entity that holds, as a substantial portion of its business, financial assets for the account of others. An Entity holds financial assets for the account of others as a substantial portion of its business if the Entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the Entity's gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

Depository Institution:

Any Entity that accepts deposits in the ordinary course of a banking or similar business.

Entity:

A legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

Established Securities Market:

An exchange that is officially recognised and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.

FATCA:

is an abbreviation of Foreign Account Tax Compliance Act. This United States tax legislation is aimed at identifying U.S. Persons that have an account or financial assets outside of the United States. The government of the Malaysia has concluded an agreement with the government of the United States with respect to the exchange of information regarding U.S. Persons in Malaysia.

Financial Institution:

Any of the following:

1. A Depository Institution
2. A Custodial Institution
3. An Investment Entity
4. A Specified Insurance Company

Global Intermediary Identification Number (GIIN):

Institutions and entities assigned a GIIN can use it to identify themselves to withholding agents and tax administrators for FATCA reporting purposes. The GIIN, formatted as XXXXXX.XXXXX.XX.XXX, is a 19-character identification number. These characters will never contain the letter "O".

Governmental Entity:

The government of a jurisdiction, any political subdivision of a jurisdiction (which, for the avoidance of doubt, includes a state, province, county, or municipality), or any wholly owned agency or instrumentality of a jurisdiction or any one or more of the foregoing (each, 'Governmental Entity'). This category is comprised of the integral parts, controlled entities, and political subdivisions of a jurisdiction.

1. An integral part of a jurisdiction means any person, organisation, agency, bureau, fund, instrumentality, or other body, however designated, that constitutes a governing authority of a jurisdiction, with no portion inuring to the benefit of any private person. An integral part does not include any individual who is a sovereign, official, or administrator acting in a private or personal capacity.

2. A controlled entity means an Entity that is separate in Form from the jurisdiction or that otherwise constitutes a separate juridical entity, provided that: (a) The Entity is wholly owned and controlled by one or more Governmental Entities directly or through one or more controlled entities; (b) The Entity's net earnings are credited to its own account or to the accounts of one or more Governmental Entities, with no portion of its income inuring to the benefit of any private person; and (c) The Entity's assets vest in one or more Governmental Entities upon dissolution.

3. Income does not inure to the benefit of private persons if such persons are the intended beneficiaries of a governmental program, and the program activities are performed for the general public with respect to the common welfare or relate to the administration of some phase of government. Notwithstanding the foregoing; however, income is considered to inure to the benefit of private persons if the income is derived from the use of a governmental entity to conduct a commercial business, such as a commercial banking business, that provides financial services to private persons.

International Organisation:

Any international organisation or wholly owned agency or instrumentality thereof. This category includes any intergovernmental organisation (including a supranational organisation) (1) that is comprised primarily of governments; (2) that has in effect a headquarters or substantially similar agreement with the jurisdiction; and (3) the income of which does not inure to the benefit of private persons.

Investment Entity:

Any entity will be treated as an Investment Entity if meets conditions below:

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1. Entity that primarily conducts as a business (or is managed by an Entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:
 2. trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 3. Individual and collective portfolio management; or
 4. otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
 5. Satisfies the Financial Asset Test (FAT). If 50 percent or more of the Entity's gross income is attributable to the activities mentioned above during the shorter of:
 - (a) The three-year period ending on 31 December of the year preceding the year in which the determination is made; or
 - (b) The period during which the entity has been in existence.

The second type of 'Investment Entity' ('Investment Entity managed by another FI') is any entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

Non- Financial Foreign Entity (NFFE):

refers to any non-US incorporated entity that is not a Foreign Financial Institution ("FFI").

Participating Jurisdiction:

A jurisdiction – (i) with which an agreement is in place pursuant to which it will provide the specified information under CRS, and (ii) which is identified in a published list.

Passive income:

refers generally to the portion of gross income that consists of:

1. Dividends;
2. Interest;
3. Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amount received depends in whole or part upon the performance of the pool;
4. Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE;
5. Annuities;
6. Net gains from the sale or exchange of property that given rise to passive income described under the above items; and
7. Foreign currency gains.

The list above is not exhaustive. If you are uncertain whether income is passive income, please consult a tax adviser.

Passive NFE/Passive NFFE:

Any NFE/NFFE (being an entity that is not a FI) that is not an Active NFE/NFFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of CRS.

Related Entity:

An Entity is regarded as being related to another Entity if: (i) One controls the other; or (ii) The two Entities are under common control. For this purpose, control includes direct.

Specified Insurance Company:

Any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Specified US Person:

means any US Person other than those specifically excluded. The United States tax authorities (IRS) have excluded certain U.S. Persons from the requirement to be reported by financial institutions pursuant to FATCA. An entity will usually know whether it can be excluded according to specific requirements of the IRS and United States tax legislation (U.S. Internal Revenue Code). If you are uncertain whether the entity has this specific status, please visit www.irs.gov for more information or consult a tax adviser. The following is a non-exhaustive list of exclusions for Specified U.S. Persons. A publicly traded corporation or member of its expanded affiliated group;

1. The U.S., any states of the U.S., U.S. Territory, political subdivision of any of foregoing or any wholly owned agency or instrumentality thereof;
2. Organization exempt from tax under Section 501(a) or an individual retirement plan;
3. Banks;
4. Real estate investment trusts;
5. Regulated investment company or entity registered with the U.S. Securities and Exchange Commission;
6. Common trust fund or trust exempt from tax;
7. A U.S. registered dealer in securities, commodities or derivatives;

8. A broker; or
9. Tax-exempt trust under a plan.

Taxpayer Identification Number (TIN):

Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a 'functional equivalent'). Examples of that type of number include, for individuals, a social security/ insurance number, citizen/personal identification/service code/number, and resident registration number; and for Entities, a business/company registration code/number.

US Person:

means

1. A US citizen or resident individual,
2. A partnership or corporation organized in the US or under the laws of the US or any state of the US,
3. A trust if (i) a court within the US would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of trust, and (ii) one or more US Persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the US;

As interpreted in accordance with the US Internal Revenue Code.