

Individual self-certification

For individual clients with a UBS banking relationship in Switzerland

Please Note

For the avoidance of doubt, the supporting notes and guidance provided are for reference purposes only and do not constitute tax advice. If you require assistance in completing this Self-Certification then you should seek qualified professional assistance.

Part 1 - Basic Information

Name of individual _____

Country of birth _____	Town of Birth _____	Date of Birth _____
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Resident / Permanent address

Street: _____

City: _____ Post Code: _____ Country: _____

Mailing address (if different to permanent address)

Street: _____

City: _____ Post Code: _____ Country: _____

Part 2 - Tax Residency

Residency for tax purposes

Please specify the jurisdiction in which you are resident for tax purposes:

Primary Jurisdiction : _____	TIN: _____	or TIN unavailable*	<input type="checkbox"/>
Additional Jurisdiction: _____	TIN: _____	or TIN unavailable*	<input type="checkbox"/>
Additional Jurisdiction: _____	TIN: _____	or TIN unavailable*	<input type="checkbox"/>

* Please specify the reason for non-availability of TIN _____

Please tick this box to confirm you have specified all jurisdictions in which you are resident for tax purposes.

Is the individual a US person¹? Yes No

If the individual named in Part 1 is contracting with a UBS entity which is not currently in an AEI Participating Jurisdiction, we request that you complete the whole of Part 2 (including tax residence and, where available, TIN) and that you consent to UBS retaining such information in relation to future reporting obligations of the UBS entity under AEI or similar information reporting regimes.

Part 3 - Certification

I certify that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

I agree that I will inform you within 30 days if any change in circumstances renders this certification incorrect.

I certify that the individual signing this form is either the beneficial owner as named in Part 1 of this form, or has the capacity to sign on behalf of the beneficial owner. I confirm that, where this form is being completed by someone other than the beneficial owner, the beneficial owner has given any required consents to allow the processing and disclosure of information as set out in this form.

I acknowledge and agree that for the purpose of any Automatic Exchange of Information (AEoI) and FATCA:

- (a) the information contained in this form (including the appendices); and
- (b) any information regarding my Account(s) (including the account balance or value, the total amount of any payments of dividends, interest, other income and gross proceeds made or credited to the Account(s));

is collected using the "wider approach" under AEoI, and may be kept by the contracting UBS entity ("UBS") or any UBS Affiliate and such information may be reported by UBS (whether by itself or through any UBS Affiliate) under its obligations as a reporting financial institution (under applicable FATCA or AEoI laws and regulations) to the relevant tax authorities and disclosed to UBS Affiliates or third party service providers to perform services for UBS and for the purposes stated above. These tax authorities may exchange such information with the tax authorities of the jurisdiction(s) which are listed as my tax residence(s) in this form if the respective tax authorities have entered into an agreement to exchange financial account information. A list of such agreements to exchange financial account information may be found on the UBS FATCA and AEoI Tax Regulatory Compliance webpage (www.ubs.com/aei). For the purposes of this form, "UBS Affiliates" means any entity (i) that controls UBS; (ii) that is controlled by UBS; or (iii) that is controlled by an entity that also controls UBS, where "control" includes direct or indirect control and means possession of the power to direct or cause the direction of the management or policies of an entity, whether through the ownership of voting securities, by contract or otherwise. My consent to the collection of data using the "wider approach" under AEoI, the transfer of that data by UBS and its affiliates and (where required) to the reporting of the data under FATCA and/or AEoI to the relevant tax authorities is in addition to and does not restrict the scope of any other consent I may have otherwise provided under my account agreement with UBS. No other agreement with UBS, whether dated on, before or after this consent, may revoke or limit the effect of this consent.

Sign Here

Signature Date

Print name of individual signing form Capacity in which acting (if not signed by account holder)

¹ US person for FATCA purpose means a US citizen (even if residing outside the US) or a resident alien of the US. Please see Part 2 of the Supporting Notes for further information.

Appendix 1

Information Notification on the International Automatic Exchange of Information in Tax Matters (AEI)

UBS AG is a reporting Swiss financial institution in accordance with the Federal Act on the International Automatic Exchange of Information in Tax Matters (AEI Act). The AEI Act is the legal basis for implementing the AEI Standard in Switzerland.

This mailing is intended to inform you as required by Article 14 of the AEI Act.

a. What is AEI?

AEI requires reporting Swiss financial institutions to identify reportable accounts and report them to the Federal Tax Administration (FTA). Reportable accounts are accounts held by natural persons as well as accounts held by entities. If an account is held in a fiduciary capacity by a natural person or an entity that is not a financial institution on behalf of or for the account of a third party, that third party or the beneficial owner is deemed to be the account holder for the purposes of AEI. In the case of accounts held by entities, the requirement to identify and report may concern under certain circumstances also the controlling person(s). For more detailed information on the terms “account holder” or “controlling person” please consult the OECD Common Reporting Standard and the implementing legal provisions.

Only accounts where the holder or controlling person is a reportable person are reportable accounts. A reportable person is a natural person or an entity resident for tax purposes in a country with which Switzerland has agreed AEI (partner state(s)).

Reporting Swiss financial institutions are required to report information on reportable accounts held by reportable persons annually to the FTA. After receiving this information, the FTA exchanges it with the reportable person’s country of residence. Information is only exchanged with partner jurisdictions. The list of partner jurisdictions can be found at <https://www.sif.admin.ch/sif/en/home/themen/internationale-steuerpolitik/automatischer-informationsaustausch.html> and is kept up to date at all times.

b. What information will be exchanged?

The reportable information includes personal data and information concerning the reportable account. Personal data include the name, address, country of residence for tax purposes, tax identification number and date of birth of the account holder or of the beneficial owner or the controlling person. In addition, the account number, the total gross amount of dividends, interest and other income, the total gross proceeds from the sale or redemption of financial assets, and the aggregate balance or value of the account at the end of each calendar year are reported. Moreover, the name and identification number (where available) of UBS AG are also reported.

c. For what purposes will this information be used?

Generally, the information exchanged may only be made available to tax authorities of a partner jurisdiction in which the reportable person is resident and may only be used for tax purposes. In principle, it is prohibited for the receiving partner jurisdiction to forward the received information to another jurisdiction, and it must treat the information as confidential. Generally, the receiving partner jurisdiction may only make the information exchanged available to persons and authorities responsible for handling or supervising taxation in that country.

Appendix 1 (Continued)

d. What rights do you have?

You have the following rights under the AEI Act and the Federal Act on Data Protection (FADP):

1. Vis-à-vis UBS AG

You are entitled to the full extent of legal protection offered by the FADP vis-à-vis UBS AG. In particular, you have the right to request what information has been collected about you and will be reported to the FTA.

UBS AG must provide you with a copy of its report to the FTA on request. In this regard, it must be noted that the information about you that is collected and reported may differ from your tax-relevant information.

Moreover, you are also entitled to request that incorrect data in UBS AG systems be corrected.

2. Vis-à-vis the FTA

Your only right vis-à-vis the FTA is the right to access information. You are entitled to request that incorrect data resulting from errors in the exchange process be corrected.

If the exchange of information would result in disadvantages for you that are not permissible due to a lack of constitutional guarantees, your rights are set out in Article 25a of the Federal Act on Administrative Procedure.

You do not have the right to access FTA records. This means that you do not have the right to block the disclosure of personal details vis-à-vis the FTA. In addition, you are not entitled to have the legality of forwarding information outside Switzerland reviewed or to block any illegal forwarding and/or to demand the destruction of data processed without a sufficient legal basis.

If, in your capacity as a contracting partner of UBS AG, you are not the account holder for the purposes of AEI (see above), or if you are an entity for which UBS AG is required to identify and report one or more controlling persons, we ask you to forward copies of this mailing to all of the relevant persons.