

PART I
GENERAL INFORMATION

1	Individual Name	First Name		Last Name		
2	Place of birth					
	Country of Citizenship					
3	Date of Birth	DD/MM/YYYY				
4	Passport/ID card Number					
5	Passport/ID card issued by					
6	Passport / ID card valid until					
7	Permanent residential address	Home Street Address	City	State	Country	Postal Code
8	Phone Number					
9	E-mail					
10	Please mark those services you are applying for:	<input type="checkbox"/> Brokerage Services				

PART II

AML and risk PROFILE

1	Countries in which you have business activities/interests	
2	Employment status	Employment Type: <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Student </div> <div> <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed </div> </div>
2.1	Occupation/type of professional activity	
2.2	Name of the employer	
2.3	Employer's Business Activity / Sector	
3	1) Are you or have you been a Politically Exposed Person (PEP) during the last 12 months? 2) Please indicate if you are or have been an immediate family member of PEP? 3) Please indicate if you are or have been a close associate of PEP? **See Part III for definitions of PEP	
3.1	Country in which above-mentioned public function is held	
3.2	Public function (including name of organisation)	
4	Source of wealth	<input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Dividends and interest <input type="checkbox"/> Rental income <input type="checkbox"/> Savings <input type="checkbox"/> Inheritance <input type="checkbox"/> Sale of business/ property <input type="checkbox"/> Investment income

5	Personal size of wealth (USD)	<input type="checkbox"/> 0 – 50'000 \$ <input type="checkbox"/> 50'001–100'000 \$ <input type="checkbox"/> 100'001–500'000 \$ <input type="checkbox"/> 500'001–1'000'000 \$ <input type="checkbox"/> 1'000'000+ \$
6	Personal annual income (USD)	<input type="checkbox"/> 0 – 10'000 \$ <input type="checkbox"/> 10'001 – 50'000 \$ <input type="checkbox"/> 50'001 – 100'000 \$ <input type="checkbox"/> 100'001–500'000 \$ <input type="checkbox"/> 500'000+ \$
7	Please select your required investment term / horizon	<input type="checkbox"/> Short-term (up to 1 year) <input type="checkbox"/> Medium term (1 to 5 years) <input type="checkbox"/> Long term (over 5 years)
8	Anticipated average monthly turnover (USD)	<input type="checkbox"/> 0-1'000 \$ <input type="checkbox"/> 1'001 – 5'000 \$ <input type="checkbox"/> 5'001 – 10'000 \$ <input type="checkbox"/> 10'001 – 50'000 \$ <input type="checkbox"/> 50'000+ \$
9	Anticipated monthly frequency of trades	<input type="checkbox"/> 0-10 <input type="checkbox"/> 11 – 50 <input type="checkbox"/> 51 – 100 <input type="checkbox"/> 101 – 500 <input type="checkbox"/> 500+
10	Origin of incoming funds	
11	Expected destination of withdrawals	

PART III

Definitions:

“Politically Exposed Persons” are individuals who are or have been entrusted with prominent public functions, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials.

PEP includes the natural persons to whom or who have been entrusted with the following prominent public functions in the Republic or abroad:

- (a) heads of State, heads of government, ministers and deputy or assistant ministers,
- (b) members of parliaments or of similar legislative bodies,
- (c) members of governing bodies of political parties,
- (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances,
- (e) members of courts of auditors or of the boards of central banks,
- (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces,
- (g) members of administrative, management or supervisory bodies of governmental businesses or state owned enterprises,
- (h) directors, deputy directors and members of the board of directors or persons holding an equivalent position in an international organization,
- (i) mayors.

“Immediate family members” of a PEP includes the following persons:

- (a) the spouse, or a person treated as a spouse of a PEP,
- (b) the children of a PEP, the spouses of the children of a PEP or persons treated as a spouse of children of a PEP,
- (c) the parents of a PEP.

“Persons known to be close associates” of a PEP means a natural person:

- (a) who is known to be joint beneficial owner of a legal entity or legal arrangement, or is connected to any other close business relationship with a PEP,
- (b) who is the sole beneficial owner of a legal entity or legal arrangement which is known to have been set up for the benefit de facto of a PEP.

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

- **For use by individuals. Entities must use Form W-8BEN-E.**
- **Go to www.irs.gov/FormW8BEN for instructions and the latest information.**
- **Give this form to the withholding agent or payer. Do not send to the IRS.**

Do NOT use this form if:

- You are NOT an individual **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States **8233 or W-4**
- You are a person acting as an intermediary **W-8IMY**

Instead, use Form:

Note: If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
6a Foreign tax identifying number (see instructions)	6b Check if FTIN not legally required <input type="checkbox"/>
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

- 9** I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____.

Part III Certification

Under penalties of perjury, I declare 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 further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
 - (a) income not effectively connected with the conduct of a trade or business in the United States;
 - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
 - (c) the partner's share of a partnership's effectively connected taxable income; or
 - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here

☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Please read these instructions before completing the form.

Regulations based on the OECD Common Reporting Standard (“CRS”) require Financial Institutions (“FI”s) to collect and report certain information about an account holder’s tax residence. Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction at the OECD automatic exchange of information portal: <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm> In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). If you are a U.S. citizen or tax resident under U.S. law, you should indicate that you are a U.S. tax resident on this form and you may also need to fill in an IRS W-9 form. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal.

If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside the country/jurisdiction where the FI is maintaining the account is located, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where the FI is located and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

You can find summaries of defined terms such as an account holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to information, such as the account holder’s tax status or other mandatory field information, that makes this form incorrect or incomplete. In that case you must notify us and provide an updated self-certification.

This form is intended to request information consistent with local law requirements.

Please fill in this form if you are an individual account holder, sole trader or sole proprietor.

For joint or multiple account holders, use a separate form for each individual person.

Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, you will need an “*Entity tax residency self-certification*.” Similarly, if you are a controlling person of an entity, please fill in a “*Controlling person tax residency self-certification form*” instead of this form.

If you are filling in this form on behalf of someone else.

Please tell us in what capacity you are signing in Part 3.

For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.

A legal guardian should complete the form on behalf of an account holder who is a minor.

As a financial institution, we are not allowed to give tax advice.

Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.

You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the [OECD automatic exchange of information portal](http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm)

Individual tax residency self-certification FORM *-(please complete parts 1-3 in BLOCK CAPITALS)*

Part 1 – Identification of Individual Account Holder

A. Name of Account Holder:

Family Name or Surname(s): *

Title:

First or Given Name: *

Middle Name(s):

B. Current Residence Address:

Line 1 *(e.g. House/Apt/Suite Name, Number, Street, if any)**

Line 2 *(e.g. Town/City/Province/County/State)**

Country:*

Postal Code/ZIP Code (if any):*

C. Mailing Address: *(please only complete if different to the address shown in Section B)*

Line 1 *(e.g. House/Apt/Suite Name, Number, Street)*

Line 2 *(e.g. Town/City/Province/County/State)*

Country:

Postal Code/ZIP Code:

D. Date of Birth* *(dd/mm/yyyy)*

E. Place of Birth

Town or City of Birth *

Country of Birth*

Part 2 – Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number* (“TIN”) (See Appendix)

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder’s TIN for each country/jurisdiction indicated. Countries/Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each country/jurisdiction of residence (rather than for each Reportable Jurisdiction).

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

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

Reason A - The country/jurisdiction where the Account Holder is resident 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 domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

Country/Jurisdiction of tax residence		TIN	If no TIN available enter Reason A, B or C
1			
2			
3			

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	
2	
3	

Part 3 – 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 the Financial Institution setting out how that Financial Institution 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/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions 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 the Financial Institution 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 or incomplete, and to provide the Financial Institution that maintains the account with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

Signature: *

Print name: *

Date:*

Note: If you are not the Account Holder 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: *

Appendix – Summary Descriptions of Select Defined Terms

Note: These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the CRS), the associated Commentary to the CRS, and domestic guidance. This can be found at the [OECD automatic exchange of information portal](#).

If you have any questions then please contact your tax adviser or domestic tax authority.

“Account Holder” The term “Account Holder” means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

“Controlling Person” This is a natural person who exercises control over an entity. Where an entity Account Holder is treated as a Passive Non-Financial Entity (“NFE”) then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term “beneficial owner” as described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

If the account is maintained for an entity of which the individual is a Controlling Person, then the “Controlling Person tax residency self-certification” form should be completed instead of this form.

“Entity” The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

“Financial Account” A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

“Participating Jurisdiction” A Participating Jurisdiction means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

“Reportable Account” The term “Reportable Account” means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person

“Reportable Jurisdiction” A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

“Reportable Person” A Reportable Person is defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

“TIN” (including “functional equivalent”) The term “TIN” means 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. Further details of acceptable TINs can be found at the [OECD automatic exchange of information portal](#).

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.