

Individual self-certification

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

John Sample

Country of birth

Australia

Town of Birth

Sydney

Date of Birth

31/01/70

Resident / Permanent address

Street: 15 West St

City: Sydney

Post Code: 2000

Country: Australia

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: Australia

TIN: _____

or TIN unavailable*

Additional Jurisdiction: _____

TIN: _____

or TIN unavailable*

Additional Jurisdiction: _____

TIN: _____

or TIN unavailable*

* Please specify the reason for non-availability of TIN. There is no requirement to disclose our TFN under Australian legislation ←

Note: Your TIN (including TFN) is requested here to assist with satisfying FATCA and Common Reporting Standard reporting obligations. If you have a primary or secondary tax jurisdiction other than Australia, you must provide your TIN for that jurisdiction unless your TIN is unavailable. If you are an Australian tax resident (either primary or secondary), please note that you are not obliged to provide your Australian tax file number ("TFN"). If you choose not to provide your TFN, then in the relevant section specify the reason by inserting the following words "There is no requirement to disclose our TFN under Australian Legislation". If you do not provide your TFN, any transaction and identity information reportable to the ATO will be reported without your TFN.



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

31/01/17

Date

John Sample

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

You must provide a TIN unless you are not required to provide a TIN under the laws of the jurisdiction of your tax residence and you choose not to provide. For example, if you have a TFN and you choose not to provide it then please tick "TIN unavailable" and insert the following in the space provided: "There is no requirement to disclose our TFN under Australian legislation". For avoidance of doubt please note that provision of your ABN (if any) is able to be required under Australian laws.