

**FATCA/CRS SELF-CERTIFICATION
(LEGAL ENTITY – Corporation / Partnership / Institution)**

Partner no. (to be filled by the bank)

Residence address (street, house number, zip code, city, country)

Customer (company name – in the following »legal entity«)

If you do not provide the self-certification correctly or completely, or do not provide the notification of the newly applicable statements in the event of any change in circumstances or do not provide it correctly, completely or in a timely manner, this can be punished by a fine of up to ten thousand euros acc. to Sec. 28 (1), (1a) FKAustG.

We kindly ask you to provide us with **all countries** the legal entity is resident for tax purposes and the respective TINs (Tax Identification Numbers or equivalent numbers) for each country listed. However, if the legal entity is a tax resident in Germany, the provision of the German TIN is not mandatory. If you are unable to enter a foreign TIN, please enter the corresponding reason:

Country 1	TIN 1 It is not possible to enter a TIN: The country in which the legal entity is resident for tax purposes does not issue a TIN. Other reason:
Country 2	TIN 2 It is not possible to enter a TIN: The country in which the legal entity is resident for tax purposes does not issue a TIN. Other reason:
Country 3	TIN 3 It is not possible to enter a TIN: The country in which the legal entity is resident for tax purposes does not issue a TIN. Other reason:

If the legal entity is resident for tax purposes in more than three countries, you are obliged to inform us of these tax residences as well. Please submit this additional information on a separate sheet with this form.

1. For Non-Financial Entities

As a Non-Financial Entity, please only select **one FATCA/CRS-Status** that applies to you in this part.
The signatory hereby declares that the legal entity

is an **active NFE**¹ and acts as one of the following legal entities:

Publicly traded organization or a related entity

Governmental organization

International Organization

Central Bank

active NFE, which does not fall under one of the aforementioned legal entities

is a **passive NFE**². Please provide the controlling persons' data under item 3.

a **Direct Reporting NFFE**³ and

has the following Global Intermediary Identification Number (GIIN): GIIN _____ - _____ - ____ - ____ or hereby confirms that a GIIN has been applied for but is not available yet.

If applicable, also select a status according to CRS.

¹ NFE stands for Non-Financial Entity. This classification also includes the classification NFFE (Non-Financial Foreign Entity) according to FATCA.

² NFE stands for Non-Financial Entity. This classification also includes the classification NFFE (Non-Financial Foreign Entity) according to FATCA.

³ NFFE stands for Non-Financial Foreign Entity. »Foreign« means not resident in the USA.

2. For Financial Institutions (FI)

2.1 As a Financial Institution, please only select **one FATCA-Status**. The signatory hereby declares that the legal entity

is tax resident in a **FATCA partner country (Partner FFI)**

has the following Global Intermediary Identification Number (GIIN): GIIN ____ - ____ - ____ - ____ or hereby confirms that a GIIN has been applied for but is not available yet or has no GIIN, because _____

is **not** tax resident in a **FATCA partner country (Non-Partner FFI)** and

has the following Global Intermediary Identification Number (GIIN): GIIN ____ - ____ - ____ - ____ or hereby confirms that a GIIN has been applied for but is not available yet or has no GIIN, because _____

is a **Non-Participating Foreign Financial Institution (NPFFI)**

is a **U.S. Financial Institution**.

2.2 In addition please only select **one CRS-Status**. The signatory hereby declares that the legal entity

is a **FI** tax resident in a **CRS partner country**

is a **Custodial Institution**, a **Depository Institution** or a **Specified Insurance Company**, that is not tax resident in a **CRS partner country**.

is an **Investment Entity** that is **not** tax resident in a **CRS partner country** and

is **not** managed by another FI

is managed by another FI and has one or more controlling person/s. Please provide the controlling persons' data under item 3.

3. Controlling Persons (Individuals)

a) Information on the Controlling Persons

Please indicate the controlling person(s) (corresponding to the "beneficial owner(s)" within the meaning of the "GwG") if the legal entity is classified as a passive NFE or investment entity that is not resident for tax purposes in a CRS partner country and is held by an FI. Please enter the name and surname, the residence address, the date of birth as well as all countries in which the controlling person is resident for tax purposes and the associated TINs.

However, if the controlling person is tax resident in Germany, the provision of the German TIN is not mandatory.

If no foreign TIN(s) can be specified, please enter the corresponding reason.

Controlling Person 1 (Individual)

Partner no. (to be filled by the bank)

Name, Surname

Date of birth

Country 1

Country 2

Residence address (street, number, zip code, city, country)

TIN 1

It is **not possible** to enter a TIN:

The country in which the controlling person is resident for tax purposes does not issue a TIN.

Other reason:

TIN 2

It is **not possible** to enter a TIN:

The country in which the controlling person is resident for tax purposes does not issue a TIN.

Other reason:

Country 3

TIN 3
It is not possible to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

Controlling person type

Legal Person				
Control by Ownership		Control by other means		Senior Managing Official
Legal Arrangement – Trust				
Settlor	Trustee	Protector	Beneficiary	Other
Legal Arrangement – Other				
Settlor Equivalent	Trustee Equivalent	Protector Equivalent	Beneficiary Equivalent	Other Equivalent

Controlling Person 2 (Individual)

Partner no. (to be filled by the bank)

Name, Surname

Date of birth

Country 1

Residence address (street, number, zip code, city, country)

TIN 1
It is not possible to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

Country 2

TIN 2
It is not possible to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

Country 3

TIN 3
It is not possible to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

Controlling person type

Legal Person				
Control by Ownership		Control by other means		Senior Managing Official
Legal Arrangement – Trust				
Settlor	Trustee	Protector	Beneficiary	Other
Legal Arrangement – Other				
Settlor Equivalent	Trustee Equivalent	Protector Equivalent	Beneficiary Equivalent	Other Equivalent

Controlling Person 3 (Individual)

Partner no. (to be filled by the bank)

Name, Surname

Date of birth

Country 1

Country 2

Country 3

Residence address (street, number, zip code, city, country)

TIN 1

It is **not possible** to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

TIN 2

It is **not possible** to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

TIN 3

It is **not possible** to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

Controlling person type

Legal Person				
Control by Ownership		Control by other means		Senior Managing Official
Legal Arrangement – Trust				
Settlor	Trustee	Protector	Beneficiary	Other
Legal Arrangement – Other				
Settlor Equivalent	Trustee Equivalent	Protector Equivalent	Beneficiary Equivalent	Other Equivalent

Controlling Person 4 (Individual)

Partner no. (to be filled by the bank)

Name, Surname

Date of birth

Country 1

Residence address (street, number, zip code, city, country)

TIN 1

It is **not possible** to enter a TIN:
The country in which the controlling person is resident for tax purposes does not issue a TIN.
Other reason:

Country 2	TIN 2
	It is not possible to enter a TIN: The country in which the controlling person is resident for tax purposes does not issue a TIN. Other reason:
Country 3	TIN 3
	It is not possible to enter a TIN: The country in which the controlling person is resident for tax purposes does not issue a TIN. Other reason:

Controlling person type

Legal Person				
Control by Ownership	Control by other means		Senior Managing Official	
Legal Arrangement – Trust				
Settlor	Trustee	Protector	Beneficiary	Other
Legal Arrangement – Other				
Settlor Equivalent	Trustee Equivalent	Protector Equivalent	Beneficiary Equivalent	Other Equivalent

b) RBI/CBI Form

If the Controlling Person is tax resident in one of the following countries, please also submit the »RBI/CBI form«, which you can obtain on request:

Antigua and Barbuda, Bahamas, Bahrain, Barbados, Dominica, Grenada, Malta, St. Kitts and Nevis, Saint Lucia, Seychelles, Turks and Caicos Islands, United Arab Emirates, Vanuatu or Cyprus.

Please understand that as a financial institution, we are not allowed to provide tax advice for legal reasons. If you have any questions about your tax residency, please consult your tax advisor.

With your signature, you affirm that all information provided is true and complete, and you hereby undertake to notify UniCredit Bank GmbH of the change within 30 days in the event of a change to the above information.

Place, Date

Signature of individual/s authorized to sign for the legal entity

For internal bank use only

FATCA/CRS-relevant data has been checked for consistency and completeness and input in EuroSIG

Place, Date

Signature and name stamp of bank officer