

SELF-CERTIFICATION FATCA AND CRS (LEGAL ENTITIES)

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«)	Country of registration

We kindly ask you to provide us with all countries the entity is resident in for tax purposes and the respective TINs (Tax Identification Numbers or equivalent numbers) for each country listed. If a TIN is not available, please provide the appropriate reason A or B like indicated here:

Reason A: The country/jurisdiction where the legal entity is resident does not issue TINs to its residents.

Reason B: It is otherwise not possible to obtain a TIN (Please explain why it is not possible to obtain a TIN in the below table if you have selected this reason).

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

We kindly ask you to carefully read **part 1 (for Non-Financial Institutions) or 2 (for Financial Institutions)**, depending on which one is applicable to you, and answer the questions to the best of your knowledge. Please sign the form on page 3 and also state the place and date.

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

<input type="checkbox"/> is an active NFE ¹ .	
<input type="checkbox"/> is a passive NFE ¹ and has no controlling person/s (>25% ownership, held either directly or indirectly).	
<input type="checkbox"/> is a passive NFE ¹ and has one or more controlling person/s (>25% ownership, held either directly or indirectly). If applicable, please provide the controlling persons' data under point 3 .	
<input type="checkbox"/> falls under one of the exemptions according to FATCA and CRS as listed below. Please specify, which of the following exemptions from US tax relevance applies to the legal entity:	
<input type="checkbox"/> Governmental organization	<input type="checkbox"/> International organization
<input type="checkbox"/> Publicly traded organization	<input type="checkbox"/> Other: _____
The signatory hereby additionally declares – if applicable – that the legal entity for FATCA purposes is	
<input type="checkbox"/> a Direct Reporting NFFE ² and	
<input type="checkbox"/> has the following Global Intermediary Identification Number (GIIN): GIIN _____ - _____ - ____ - _____ or	
<input type="checkbox"/> hereby confirms that a GIIN has been applied for but is not available yet.	

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

² 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

<input type="checkbox"/> is resident in a FATCA partner country (Partner FFI with or without a GIIN).
<input type="checkbox"/> is not resident in a FATCA partner country (Non-Partner FFI) and <input type="checkbox"/> has the following Global Intermediary Identification Number (GIIN): GIIN _____ - _____ - ____ - _____ or <input type="checkbox"/> hereby confirms that a GIIN has been applied for but is not available yet or <input type="checkbox"/> has no GIIN as it is a Certified Deemed-compliant FI or a central bank.
<input type="checkbox"/> is a Non-Participating Foreign Financial Institution (NPFPI)
<input type="checkbox"/> is a US Financial Institution .

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

<input type="checkbox"/> is a FI resident in a CRS partner country for tax purposes.
<input type="checkbox"/> is a Custodial Institution, a Depository Institution or a Specified Insurance Company , that is not resident in a CRS partner country for tax purposes.
<input type="checkbox"/> is an Investment Entity that is not resident in a CRS partner country for tax purposes and <input type="checkbox"/> is not managed by another FI <input type="checkbox"/> is managed by another FI and <input type="checkbox"/> has no controlling person/s (>25% ownership, held either directly or indirectly) or <input type="checkbox"/> has one or more controlling person/s (>25% ownership, held either directly or indirectly). If applicable, please provide the controlling persons' data under point 3 .

3. Controlling Persons (Individual persons)

Please provide us with the controlling persons' (>25% ownership, held either directly or indirectly) data, if the classification **passive NFE or Investment Entity** (that is not resident in a CRS partner country and is managed by another FI) applies to the legal entity. If applicable, please provide us with the name, surname, residence address, tax residency/-ies and TINs (Tax Identification Numbers or equivalent numbers) of the controlling person/s. If a TIN is not available, please provide the appropriate reason A or B like indicated here:

Reason A: The country/jurisdiction where the controlling person is resident does not issue TINs to its residents.

Reason B: It is otherwise not possible to obtain a TIN (Please explain why it is not possible to obtain a TIN in the below table if you have selected this reason).

Controlling Person 1 (Individual)

Partner no. (to be filled by the bank)	Residence address (street, number, zip code, city, country)
Name, surname	
Country of tax residence 1	TIN 1 / If no TIN available enter Reason A or B
Country of tax residence 2	TIN 2 / If no TIN available enter Reason A or B
Country of tax residence 3	TIN 3 / If no TIN available enter Reason A or B

Controlling Person 2 (Individual)

Partner no. (to be filled by the bank)	Residence address (street, number, zip code, city, country)
Name, surname	
Country of tax residence 1	TIN 1 / If no TIN available enter Reason A or B
Country of tax residence 2	TIN 2 / If no TIN available enter Reason A or B
Country of tax residence 3	TIN 3 / If no TIN available enter Reason A or B

Controlling Person 3 (Individual)

Partner no. (to be filled by the bank)	Residence address (street, number, zip code, city, country)
Name, surname	
Country of tax residence 1	TIN 1 / If no TIN available enter Reason A or B
Country of tax residence 2	TIN 2 / If no TIN available enter Reason A or B
Country of tax residence 3	TIN 3 / If no TIN available enter Reason A or B

Should you be unsure whether one of the above mentioned categories applies to the legal entity or should you be unsure where the legal entity is resident for tax purposes, please consult a tax advisor. The bank may not act as a tax advisor. The legal entity confirms to disclose all information, if the account is held for a third party.

Furthermore, the undersigned declares, that all statements made in this declaration are, to the best of his/her knowledge and belief, correct and complete. The undersigned undertakes to advise UCB AG within 30 days of any change in circumstances which causes the information contained herein to become incorrect.

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