



Identification of the Controlling Person for the AEOI purposes of a Passive NFE or FI (Financial Institution) in non-participating countries

The entity hereby meets the obligations according to form "AEOI Self-Certification of an Entity" regarding naming and classifying all controlling person and the declaration of their tax domicile. For this purpose, a separate form must be provided for each Controlling Person (CP).

This form is to be used for the following business relationship:

.....
 Account holder (company name of the entity)

.....
 Client number

1. Confirmation of the countries in which the Controlling Person have a residence for tax purposes:

(All mandatory fields are marked with an *)

.....
 Given name, surname of the Controlling Person*

.....
 Date of Birth*

.....
 Current Residential Address*

.....
 Postcode*

.....
 City*

.....
 P.O. Box

.....
 Country of domicile*

The Controlling Person herewith confirm that they have a residence for tax purposes (tax domicile) in the following countries only, in compliance with the applicable laws and regulations therein, in terms of an unlimited tax liability¹.

No.	Country of tax residence	Tax Identification Number (TIN) ²	Reason why no TIN is specified		
			Country of residence does not issue TINs	No TIN Required (Country of Residence does not require TIN collection)	Other reasons
1			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

No. Explanation of the other reasons why a TIN cannot be provided

1

2

3

¹ The Account Holder acknowledges that a limited tax liability (for example, as a result of owning real estate in a country and the corresponding rental income) does not constitute a tax residency in this context.

² The TIN is the identification number issued by the individual country for tax purposes and for the purpose of international data exchange. Provision of the TIN is only required if the respective country of residence issues these numbers for their citizens (e.g. Social Security Number in the US; for Account Holders with a domicile/tax domicile in the EU, the EU website provides information about TINs: https://ec.europa.eu/taxation_customs/tin/tinByCountry.html?locale=en).

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The Controlling Person understands that a residency for tax purposes/tax domicile can/could result from one or more of the following criteria and confirms that he took all these circumstances into consideration before signing this Self-Certification and before determining his residency for tax purposes/tax domicile:

- Permanent residence
- Centre of vital interests or economic interests
- Place of habitual residence
- Nationality (e.g. US citizenship)
- Place of birth (e.g. in the USA or in a US territory)
- Physical presence (e.g. Substantial Presence Test for the USA)
- Permanent residence/work permissions (e.g. US Green Card irrespective of expiration date)
- Any other reason that could result in tax liability for the Controlling Person

The Controlling Persons herewith confirm that in the event that they are unsure in respect of their tax status, they have taken advice from a respective expert and that such corresponding advice has been taken into consideration before providing this confirmation.

Type of Controlling Person

Please indicate the type of controlling person relationship that you have established with the Account Holder that you have filled in at the beginning of the form.

Please provide the Controlling Person's Status by ticking the appropriate box

a. Controlling Person of a legal person – control by ownership	<input type="checkbox"/>
b. Controlling Person of a legal person – control by other means	<input type="checkbox"/>
c. Controlling Person of a legal person – senior managing official	<input type="checkbox"/>
d. Controlling Person of a trust – settlor	<input type="checkbox"/>
e. Controlling Person of a trust – trustee	<input type="checkbox"/>
f. Controlling Person of a trust – protector	<input type="checkbox"/>
g. Controlling Person of a trust – beneficiary	<input type="checkbox"/>
h. Controlling Person of a trust – other	<input type="checkbox"/>
i. Controlling Person of a legal arrangement (non-trust) – settlor equivalent	<input type="checkbox"/>
j. Controlling Person of a legal arrangement (non-trust) – trustee equivalent	<input type="checkbox"/>
k. Controlling Person of a legal arrangement (non-trust) – protector equivalent	<input type="checkbox"/>
l. Controlling Person of a legal arrangement (non-trust) – beneficiary equivalent	<input type="checkbox"/>
m. Controlling Person of a legal arrangement (non-trust) – other equivalent	<input type="checkbox"/>

2. Commitment/change in circumstances

The Controlling person hereby undertakes to provide the Bank with all additional information and signed documents/forms which the Bank needs to receive due to current and future relevant laws, legal provisions/regulations, court or governmental orders and/or intergovernmental agreements within the time period set by the Bank.

Should an account be opened without the Controlling Person having submitted the necessary information or documents, and should these documents not be submitted within 90 days of the opening of a new account, then the Bank is entitled to freeze (in and outflow) the account/securities account until the Bank has received said information or documents. The Bank may decide at its own discretion to extend the deadline of 90 days up to a maximum period of one year, provided that there are special reasons that explain why the information has not been submitted.

The Controlling Person further undertakes to notify the Bank immediately in writing and on his own initiative, at the latest within 30 calendar days of any change in circumstances, if this change effects any of the information or confirmations provided by him in this document or if any of the content in the submitted forms (e.g. IRS form W-9) have changed, resulting in the information provided in these forms being either incorrect or incomplete.

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Should a change in circumstances occur, the Controlling Person hereby also undertakes to provide the Bank with a new Self-Certification within 90 days following notice of the change in circumstances that lists the countries in which the Controlling Person has a tax residence/tax domicile, as well as to submit any additional documents as proof of this tax status. The Controlling Person must provide these documents within the time period set by the Bank. If and as long as the Bank is aware of any changes in circumstances which is considered relevant within the context of FATCA or AEOI, and if the Controlling Person does not provide such new information, documentation and/or Self-Certification to the Bank on time after the Bank becomes aware of these changes in circumstances, the Controlling Person herewith irrevocably agrees that the Bank shall treat the account as a US reportable account with all the corresponding reporting obligations.

3. Confirmation

The Controlling Person acknowledges that in the event that his country/countries of residence for tax purposes and the country in which the Bank is domiciled have entered into an agreement for the automatic exchange of information, that the Bank could in certain cases be obliged to report information contained in this form as well as information about this banking relationship to the local tax authority at the domicile of the Bank to be forwarded to the relevant tax authorities of the country or countries in which the Controlling Person specified in this form is a resident for tax purposes. The Controlling Person hereby declares and confirms that, to the best of his knowledge and belief, all of the information in this Self-Certification is complete, accurate and true, and that neither the Bank nor its management personnel, employees, representatives or intermediaries have received any information, directly or indirectly, to the contrary. In the event that the Controlling Person has provided incomplete, incorrect or misleading information, the Bank cannot be held liable for providing an incorrect report.

.....
Place/date

.....
Signature of the Controlling Person/Representative

.....
Position of the signatory (only if the form is being signed by a representative,
if the form is not signed by the Controlling Person himself)

.....
Name of the signatory (printed)
(only if the form is being signed by a representative)

Confirmation of the reasonableness of this Self-Certification of the Controlling Person

Based on the information obtained from the Controlling Person in connection with the account opening process and including the information collected pursuant to anti-money-laundering/know-your-customer procedures, I, as the responsible client advisor, herewith confirm that this Self-Certification is reasonable.

.....
Place/date

.....
Signature of the client advisor