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**Foreign Account Tax Compliance Act (FATCA): Self-Certification Form for Corporate Customers**


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Particulars (Mandatory)	
Registered Name of Business ("the Entity")	
Country of Incorporation or Organisation	
Registered Address	
Business Registration Number	

**INSTRUCTIONS FOR COMPLETION:**

United Overseas Bank (China) Limited (UOB China) is obliged under an Inter-Governmental Agreement to be entered into between the Government of the People's Republic of China and the Government of the United States of America to collect certain information about each account holder's tax residency status and to verify the status of the account holder for U.S. FATCA purposes.

Please complete this Self-Certification Form and provide any additional information as may be required. To assist you in completing this form, a glossary of terms is attached to this form. UOB China does not provide tax advice. Please consult your tax, legal and/or other professional advisers if you have any question on or in relation to FATCA, any of the U.S. IRS Form or this Self-Certification Form.

**Do not use this Self-Certification form if you are a Financial Institution. Please instead submit an U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP / W-9.**

SECTION 1: ENTITIES WITH U.S. TIN	
<b>Are you incorporated, established, constituted or organised in the U.S.?</b>	
<input type="checkbox"/>	Yes. • Please state your U.S. Taxpayer Identification Number (TIN): _____ • Are you a Specified US Person? <b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/> (Please proceed to Section 4)
<input type="checkbox"/>	No. Please complete the following sections.

SECTION 2: CLASSIFICATION FOR FATCA PURPOSES	
<b>Please tick one of the following statements that best describes you.</b>	
<input type="checkbox"/>	<p><b>Active Non-Financial Foreign Entity</b>            You are not a Financial Institution, <u>AND</u></p> <ul style="list-style-type: none"> <li>• Your stock is regularly traded on one or more established securities markets; <u>OR</u></li> <li>• You are a Related Entity of an entity the stock of which is regularly traded on an established securities market; <u>OR</u></li> <li>• You derive at least 50% of your income from the business activities not producing passive income such as investments, dividends, interests, rents or royalties, etc.; <u>OR</u></li> <li>• You hold at least 50% of your assets from the assets not producing passive income such as investments, dividends, interests, rents or royalties, etc.; <u>OR</u></li> <li>• You are a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing; <u>OR</u></li> <li>• Substantially all your business activities consist of               <ul style="list-style-type: none"> <li>- holding (wholly or partially) the outstanding share of, OR</li> <li>- providing financing and services to,</li> </ul>               one or more subsidiaries that engage in non-FI trade/business. However, you do not operate as a private equity fund, venture capital fund, leveraged buyout fund, or             </li> </ul>
	Please provide your Non-US TIN: _____

	<p>any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; OR</p> <ul style="list-style-type: none"> <li>You are not yet operating and have not operated a business, but are investing capital into assets with the intent to operate a business other than that of a Financial Institution unless you have been incorporated for more than 24 months; OR</li> <li>You were not a Financial Institution in the past five years, and are in the process of liquidating your assets or are reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution; OR</li> <li>You primarily engage in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and do not provide financing or hedging services to any non-Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; OR</li> <li>You are an "excepted NFFE" as described in relevant U.S. Treasury Regulations; OR</li> <li>You are a qualified religious, charitable, scientific, artistic, cultural, athletic, or educational organization.</li> </ul>	
<input type="checkbox"/>	<p><b><u>Exempt Beneficial Owner</u></b>  You are any of the following:</p> <ul style="list-style-type: none"> <li>Governmental Entity</li> <li>International Organisation</li> <li>Central Bank</li> <li>Treaty-Qualified Retirement Fund</li> <li>Broad Participation Retirement Fund</li> <li>Narrow Participation Retirement Fund</li> <li>Pension Fund of an Exempt Beneficial Owner</li> <li>Investment Entity wholly owned by exempt beneficial owners</li> </ul>	
<input type="checkbox"/>	<p><b><u>Passive Non-Financial Foreign Entity (NFFE)</u></b></p> <ul style="list-style-type: none"> <li>You are not able to come within the definition of a Financial Institution, Active NFFE or Exempt Beneficial Owner.</li> </ul> <p>(Please proceed to Section 3)</p>	<p>Please provide your Non-US TIN:  _____</p>
<input type="checkbox"/>	<p><b><u>Others</u></b>  You do not fall under any of the above statuses.  Please provide an U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP</p>	

<b>SECTION 3: U.S. CONTROLLING PERSONS OF PASSIVE NFFE</b>																	
<b>Please tick one of the following statements if your FATCA Classification is Passive NFFE</b>																	
<input type="checkbox"/> None of the Controlling Persons (whose percentage of ownership is 25% or greater) of the Company is/are U.S. Person(s)																	
<input type="checkbox"/> One or more of the Controlling Persons (whose percentage of ownership is 25% or greater) of the Company <b><u>is/are</u></b> U.S. Person(s) details of whom are listed below.																	
<table border="1"> <thead> <tr> <th>Name</th> <th>Address</th> <th>U.S. TIN</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name	Address	U.S. TIN														
Name	Address	U.S. TIN															
We undertake to immediately notify UOB China in writing if any other person(s) become(s) a US Controlling Person(s).																	
We also undertake to provide such documents as UOB China may require for the opening/operating of this account and from time to time in its sole discretion for the purpose of UOB China satisfying itself that the Controlling Person(s) is/are not a US Person(s)																	

#### SECTION 4: ACCEPTANCE AND UNDERTAKINGS

We confirm and declare that all of the information we have provided on this form is complete, current and accurate. We undertake to notify UOB China in writing of any change in circumstances that causes any certification on this form to become incorrect and to provide an appropriately updated form within 30 days of such change.

Without prejudice to any other rights or remedies UOB China may otherwise have, we shall indemnify, keep indemnified and hold harmless UOB China against any and all liabilities, actions, claims, losses, damages, costs and expenses (including but not limited to legal costs on a full indemnity basis) suffered or incurred by UOB China as a result of, or in connection with any of the Beneficial Owners' US Person(s) Declaration being inaccurate, outdated or untrue.

Signature** Name NRIC/ Passport Date	Official Stamp
<i>** To be signed by Legal Representative / Person in Charge / Approved Person</i>	

#### GLOSSARY

**Controlling Person**, in PRC, is generally considered an individual who:

- a) Owns an interest of more than 25% of the capital in a company directly or indirectly;
- b) Owns an interest of more than 25% of the shares in a partnership directly or indirectly; or
- c) Owns an interest of more than 25% of the beneficiary rights in a trust directly or indirectly.

**Entity** refers to a legal person or a legal arrangement. A Trust is also considered to be an entity.

**Established securities market** refers generally to an exchange that is officially recognized and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.

**FATCA** is an abbreviation of Foreign Account Tax Compliance Act. This United States tax legislation is aimed at identifying U.S. Persons that have an account or financial assets outside of the United States.

**Financial Institution (FI)** means: a custodial institution; a depository institution; an investment entity; or a specified insurance company.

**Non- Financial Foreign Entity (NFFE)** refers to any non-US incorporated entity that is not a Foreign Financial Institution ("FFI").

**Passive income** refers generally to the portion of gross income that consists of:

- a) Dividends and dividend substitute payments (income equivalent to dividend);
- b) Interest and income equivalent to interest;
- c) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE;
- d) Annuities;
- e) Net gains from the sale or exchange of property that gives rise to passive income described under (a) to (d) above;
- f) Income from swap-contracts;
- g) Foreign currency gains;
- h) Rental income of real estate property provided that this income can be obtained by performing little to no activity.

The list above is not exhaustive. A complete overview of passive income can be found on [www.irs.gov](http://www.irs.gov). If you are uncertain whether income is passive income, please consult a tax adviser.

#### Related Entity

An entity is a "Related Entity" of another Entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity.

Notwithstanding the foregoing, PRC may treat an entity as not a Related Entity of another entity if the two entities are not members of the same Expanded Affiliated Group ("EAG").

**Specified US Person** means any US Person other than those specifically excluded. The United States tax authorities (IRS) have excluded certain U.S. Persons from the requirement to be reported by financial institutions pursuant to FATCA. An entity will usually know whether it can be excluded according to specific requirements of the IRS and United States tax legislation (U.S. Internal Revenue Code). If you are uncertain whether the entity has this specific status, please visit [www.irs.gov](http://www.irs.gov) for more

**GLOSSARY**

information or consult a tax adviser. The following are not Specified US Persons: -

- a) A publicly traded corporation or member of its expanded affiliated group;
- b) The U.S, any states of the U.S., U.S. Territory, political subdivision of any of foregoing or any wholly owned agency or instrumentality thereof;
- c) Organisation exempt from tax under Section 501(a) or an individual retirement plan;
- d) Banks;
- e) Real estate investment trusts;
- f) Regulated investment company or entity registered with the U.S. Securities and Exchange Commission;
- g) Common trust fund or trust exempt from tax;
- h) A U.S. registered dealer in securities, commodities or derivatives;
- i) A broker; or
- j) Tax-exempt trust under a plan.

**Taxpayer Identification Number (TIN)**

A TIN or tax reference number is a unique number used by the tax authorities to identify a person or business in the tax system for the purpose of tax administration, like the number of tax registration certificate in PRC.

**US Person means**

- a) A US citizen or resident individual,
- b) A partnership or corporation organized in the US or under the laws of the US or any state of the US,
- c) A trust if (i) a court within the US would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of trust, and (ii) one or more US Persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the US;

As interpreted in accordance with the US Internal Revenue Code.

**U.S. TIN (U.S. Taxpayer Identification Number)**

The 'Taxpayer Identification Number' (TIN), which is also known as 'U.S. federal taxpayer identification number', is used by the IRS as an identification number for tax administration. This number can be requested via [www.irs.gov](http://www.irs.gov).

- a) For residents and citizens of the United States this number is the 'Social Security Number' (SSN). You can request a social security number via IRS form SS-5 or [www.irs.gov](http://www.irs.gov).
- b) Non-U.S. individuals who are United States taxpayers can request an 'Individual Tax Identification Number' (ITIN) via IRS form W-7 or [www.irs.gov](http://www.irs.gov).
- c) For organizations and employers the U.S. TIN is the Employer Identification Number (EIN). This number may be requested via IRS form SS-4 or [www.irs.gov](http://www.irs.gov).

More information is available about identification numbers and the process to request these numbers on [www.irs.gov](http://www.irs.gov).

**For Bank Use Only****FOR BRANCHES USE ONLY**

FATCA cure documents enclosed:-

- Business License or equivalent documents       State and Local Tax Registration Certificate

FATCA Identification Status :  Complete       Pending

Attended by

Name:

\_\_\_\_\_

Signature/Date

Checked by

Name:

\_\_\_\_\_

Signature/Date

**FOR COC USE ONLY**

Processed By

\_\_\_\_\_

Signature and Name

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Date

Approved By

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