

ENTITY SELF-CERTIFICATION FORM
Part 1. Identification of Account Holder

Name of Legal Entity : _____

Country of Incorporation : _____

Business Registration No. : _____

Current Residence Address : _____

Postal Code/Zip Code & Country : _____

Mailing Address (if different) : _____

Postal Code/Zip Code & Country : _____

Part 2. Tax Residence Information

Country/Jurisdiction of Tax Residence	Tax Identification Number (TIN) or equivalent	If TIN or equivalent is unavailable, please state reason (A, B or C)

Reason A – The country/jurisdiction where Account Holder is liable to pay tax does not issue TIN to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number

Reason C – No TIN is required (note : only select this reason if the authorities of the country of residence for tax purposes entered below do not require the TIN to be disclosed)

For Reason B, please explain reason of Account Holder unable to obtain TIN or equivalent number

1	
2	
3	

Part 3. Entity Type

Please tick the applicable type of entity

Financial Institution (FI)
<input type="checkbox"/> 1A) Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (complete the Controlling Person of Entity' section below)
<input type="checkbox"/> 1B) Other Financial Institution
Non-Financial Entity (NFE)
<input type="checkbox"/> 1C) Active NFE – A corporation that is publicly traded or a related entity of such corporation <ul style="list-style-type: none"> <input type="checkbox"/> The Account Holder is a corporation, the stock of which is regularly traded on _____, which is an established securities market. <input type="checkbox"/> The Account Holder is a related entity of _____, a corporation, the stock of which is regularly traded on _____, which is an established securities market.
<input type="checkbox"/> 1D) Active NFE – A Governmental Entity

<input type="checkbox"/> 1E) Active NFE – A Central Bank
<input type="checkbox"/> 1F) Active NFE – An International Organisation
<input type="checkbox"/> 1G) Active NFE (e.g. active business, start-up company, charity or non-profit organization and an entity other than Entity 1C or 1F)
<input type="checkbox"/> 1H) Passive NFE – Not an Active NFE

Part 4. Controlling Person¹

No.	Name	Current Address	Residence	Tax Residency	Tax Identification No. (TIN) or equivalent
1.					
2.					
3.					

Part 5. Declaration

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with CGS-CIMB Securities Sdn. Bhd. (“CGS-CIMB”) / CGS-CIMB Futures Sdn. Bhd. (“CGS-CIMBF”) and its related and associated corporations (collectively “CGS-CIMB Group”) setting out how CGS-CIMB may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported directly or indirectly to any relevant tax authority, including of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be resident for tax purposes pursuant to agreements between competent authorities to exchange financial account information.

I certify that I am authorized to sign on behalf of the Account Holder in respect of all the account(s) to which this form relates and I declare that all statements made in this declaration are to the best of my knowledge and belief, correct and complete.

If there is a change in circumstances that affects the tax residence of the Account Holder or causes the information contained herein to become incorrect or incomplete, I understand that I am obligated to inform CGS-CIMB of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

For and on behalf of the Account Holder,

Signature & Name

Designation

Date [DD/MM/YYYY]

¹ Controlling Person to fill the table above and Annex form
* Delete whichever is not applicable

CONTROLLING PERSON SELF-CERTIFICATION FORM

ANNEX

*Note: To be completed by each Controlling Person(s), if applicable***Part 1. Identification of Controlling Person(s)**

Controlling Person 1	Controlling Person 2
Full Name:	Full Name:
Current Residence Address:	Current Residence Address:
Postal Code/Zip Code & Country:	Postal Code/Zip Code & Country:
Mailing Address (if different):	Mailing Address (if different):
Postal Code/Zip Code & Country:	Postal Code/Zip Code & Country:
Date of Birth:	Date of Birth:
Place & Country of Birth:	Place & Country of Birth:

Part 2. Tax Residence information

	Controlling Person 1	Controlling Person 2
Country/Jurisdiction of Tax Residence		
Tax Identification Number (TIN) or equivalent		
If TIN or equivalent is unavailable, please state reason (A, B or C)		

Reason A – The country/jurisdiction where Account Holder is liable to pay tax does not issue TIN to its residents**Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number**Reason C** – No TIN is required (note : only select this reason if the authorities of the country of residence for tax purposes entered below do not require the TIN to be disclosed)

For Reason B, please explain reason of Account Holder unable to obtain TIN or equivalent number

	Reasons	Controlling Person 1	Controlling Person 2
1			
2			
3			

Part 3. Type of Controlling Person

Controlling Person of a Legal Person	Controlling Person 1	Controlling Person 2
<input type="checkbox"/> Control by ownership (direct or indirect)		
<input type="checkbox"/> Control by other means		
<input type="checkbox"/> Senior managing official		

Controlling Person of a Trust		Controlling Person 1	Controlling Person 2
<input type="checkbox"/>	Settlor		
<input type="checkbox"/>	Trustee		
<input type="checkbox"/>	Protector		
<input type="checkbox"/>	Beneficiary		
	Other: Please specify type		
Controlling Person of a Legal Arrangement (Non-Trust)		Controlling Person 1	Controlling Person 2
<input type="checkbox"/>	Settlor-equivalent		
<input type="checkbox"/>	Trustee-equivalent		
<input type="checkbox"/>	Protector-equivalent		
<input type="checkbox"/>	Beneficiary-equivalent		
<input type="checkbox"/>	Other-equivalent: Please specify type		

Part 4. Declaration

I understand that the information supplied by me is subject to the terms and conditions governing the Account Holder's relationship with CGS-CIMB Securities Sdn. Bhd. ("CGS-CIMB") / CGS-CIMB Futures Sdn. Bhd. ("CGS-CIMBF") and its related and associated corporations (collectively "CGS-CIMB Group") setting out how CGS-CIMB may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be provided directly or indirectly to any relevant tax authority, including of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be resident for tax purposes pursuant to agreements between competent authorities to exchange financial account information.

I certify that I am the Controlling Person or am authorized to sign for the Controlling Person**, of the account(s) held by the entity Account Holder to which this form relates and I declare that all statements made in this declaration are to the best of my knowledge and belief, correct and complete.

If there is a change in circumstances that affects the tax residence of the Account Holder or causes the information contained herein to become incorrect or incomplete, I understand that I am obligated to inform CGS-CIMB of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

Controlling Person 1

Controlling Person 2

Signature, Name & Date

Signature, Name & Date

Passport/ID No.

Passport/ID No.

Passport Expiry Date

Passport Expiry Date

**Delete whichever is not applicable*

*** Authorisation on behalf of the Controlling Person must be accompanied with Power of Attorney or equivalent recognized document of the country*

APPENDIX – Definitions

1. ACCOUNT HOLDER

Means the person or legal entity listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

2. ACTIVE NFE

Means any Non- Financial Entity that meets any of the following criteria:

- a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- e) the NFE is not yet operating a business and has no prior operating history, (a "start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial institutions;
- h) the NFE meets all of the following requirements:
 - i. it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
 - ii. it is exempt from income tax in its jurisdiction of residence;
 - iii. it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

- v. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

3. CONTROLLING PERSON

Means the natural persons who exercise control over an entity or any shareholder with interest of more than 25% shares or threshold set by the local authority. In the case of a trust, such term means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term 'Controlling Persons' must be interpreted in a manner consistent with the FATF recommendations or by the local regulations governing non-individual entities. If the account is maintained for an entity of which the individual is a Controlling Person, then the 'Controlling Person tax residency Self-Certification' form should be completed instead of this form.

4. ENTITY

Means a legal person or a legal arrangement, such as a corporation, partnership, trust or foundation.

5. FINANCIAL INSTITUTION

Means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.

6. FINANCIAL ACCOUNT

Means an account maintained by a Financial Institution, and includes Depository Accounts, Custodial Accounts, Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts and Annuity Contracts.

7. INVESTMENT ENTITY

Includes 2 types of entities:

- a) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - i. Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.), foreign exchange, exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - ii. Individual and collective portfolio management; or
 - iii. Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.
- b) an Entity where the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

8. PARTICIPATING JURISDICTION

Means a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS.

9. PASSIVE NFE

Means any:

- i. NFE that is not an Active NFE; and
- ii. Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

10. 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 and value in an Entity.

11. REPORTABLE ACCOUNT

Means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

12. REPORTABLE PERSON

Means reportable person other than:

- i. a corporation the stock of which is regularly traded on one or more established securities markets;
- ii. any corporation that is a Related Entity of a corporation
- iii. a Governmental Entity;
- iv. an International Organisation;
- v. a Central Bank; or
- vi. a Financial Institution

13. TIN

Means Taxpayer Identification Number or functional equivalent in the absence of a Taxpayer Identification Number. Further details of acceptable TINs can be found at: <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

DISCLAIMER:

The above are selected definitions to assist you with the completion of this Form. Should you have any questions, please contact your tax, legal and/or other professional advisor or visit the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the 'CRS') website at: <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>