

## INDIVIDUAL SELF-CERTIFICATION FORM

### Part 1. Identification of Account Holder

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

### 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, C or D)

**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)

**Reason D** - The Account Holder does not wish to disclose their TIN or Equivalent No. (Note: Only select this reason if the Country / Jurisdiction of Tax Residence is Malaysia)

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

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### Part 3. 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 Group 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 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.

*\*Delete whichever is not applicable*

I certify that I am the Account Holder or am authorized to sign for the Account Holder\*, of 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 Group of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

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Signature & Name

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Date

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Passport/ID No.

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Passport Expiry Date

*\* Authorisation on behalf of the Account Holder must be accompanied with Power of Attorney or equivalent recognized document of the country*

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## APPENDIX – Definitions

### **1. ACCOUNT HOLDER**

Means the person 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. 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.

### **3. ENTITY**

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

### **4. 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.

### **5. 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.

### **6. REPORTABLE PERSON**

A Reportable Person is defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction.

### **7. 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>