

## Account Opening for Non-Individual Customers

Thank you for choosing UOB for your business needs.

We are pleased to attach herewith an account-opening pack to assist you in opening an account with us. It includes a document checklist, a non-individual account application form and other forms. The documents in the checklist must be provided to the Bank to facilitate the opening of the account.

If you have any enquiry, please contact your Relationship Manager or visit our branch in Mumbai or call **022-42472800** to speak with our customer service officers.

We look forward to being of service to you.



## **India Incorporated Company** Please bring the following documents to the branch for account opening: □ Non-individual Account Application Form and Supplement (if applicable) Please complete the form with the required details. The completed form must be signed in the presence of an authorised UOB officer. **FATCA-Self-Certification** Please complete Section 3.0 of the Application Form or U.S. IRS Form W-8BEN-E/W-8IMY/W-8ECI/W-9 (if applicable) (U.S. IRS forms can be found under 'Forms & Pubs' tab located at U.S. IRS website (https://www.irs.gov/)) **Supplement- Application Form For Callback Nomination (Non-Individual)** ☐ Account and Services Board Resolution The Accounts and Services Board Resolution is to be certified by two Directors or one Director and the Company Secretary or such persons in acordance with the company's constitutive document. ☐ Original identification documents of: All persons who certified the Accounts and Services Resolution All approved persons All approved signatories The above individuals must be present at the branch with their original identification documents (such as Aadhar and PAN card or passport) to open the account. ☐ Certificate of Incorporation or equivalent document The equivalent document may be the Certificate of Registration from the Registrar/ Registry of Companies in the country in which the company is incorporated. Please provide a certified true copy signed by any one Director or the Company Secretary. ☐ Memorandum & Articles of Association or equivalent document Please provide a certified true copy signed by any one Director or the Company Secretary. Also please provide PAN Card alongwith following documents: Registration certificate and partnership deed, in case of partnership. Registration certificate and trust deed, in case of trust and society. If applicable, please also provide:

□ **Identification documents of at least 2 Directors** and shareholders with a holding of 25% or more of the issued shares in the company who are not present at the point of account opening. Please provide company certified declaration of shareholding pattern in case of unlisted company.

A copy of the identification document (such as PAN / Aadhar / Passport) of such shareholders must be certified by any one Director or the Company Secretary.

#### □ Proof of residential address

If the residential address is not stated in an identification document, please provide original bank statements or utility bills issued to a residential address as a proof which should not be more than 2 months old.



#### **Important Note:**

The Bank's receipt of the application form and supporting documents does not bind the Bank to open an account. The Bank reserves the right to reject the application without disclosing any reason.

- 1. The Bank reserves the right to conduct a search on the Company and any cost incurred will be payable by the Company. Search fees paid by the Company are non-refundable in the event that the Bank rejects the application to open the account.
- 2. A service charge will be levied on accounts with an average daily balance that is below the amount set by the Bank. Please visit https://www.uobgroup.com/in/index.page for the prevailing account fees and service charges 3. The Bank may request additional supporting documents as it deems necessary.

#### **Certified True Extract of Board Resolutions**

#### Note

Where Applicant is a Corporation/LLP/ Partnership/Society/Association/Club of a Building.

#### Resolved:

#### **Appointment of Banker**

1. That United Overseas Bank Limited ("the Bank") be and is hereby appointed as banker of

(the <u>"Applicant"</u>)

#### **Accounts and Services**

- 2. That the Applicant be authorised to open any number of accounts of any type and in any currency (each an "Account" and collectively "Accounts") with the Bank and to use any of the banking services offered by the Bank from time to time including but not limited to business internet banking, phone banking, self-service machines, cash management, trade services or such other types of services which may be available from the Bank from time to time (each a "Service" and collectively "Services").
- 3. That for the purpose of these Board Resolutions, the definitions "Accounts" and "Services" shall mean all Accounts and Services of the Applicant with the Bank including Accounts and Services existing as at the date hereof ("Existing Accounts and Existing Services").

## Appointment and Authority of Approved Persons, Approved Signatories and Approved Users

- 4. <u>Approved Persons:</u> That the persons whose names are set out in the Schedule hereto be and are hereby appointed as <u>"Approved Persons"</u> with authority to take the following actions in accordance with the signing conditions set out in the Schedule hereto, for and on behalf of and in the name of the Applicant:
- (a) to open and close any Account with the Bank;
- (b) to apply for and terminate the use of any of the Services including business internet banking, phone banking, self-service machines, cash management and trade services, with the Bank:
- (c) to agree to abide by the terms and conditions governing the Accounts and Services of the Bank and to accept and agree to all such specific terms and conditions as the Bank may prescribe from time to time in respect of a specific Account or Service;
- (d) to appoint, add, remove and/or replace any person or persons (including themselves) as signatories of the Accounts ("Approved Signatories") and to set and determine the mandate or authority of the Approved Signatories and to confirm their appointment and certify their specimen signatures and such other particulars as the Bank may require:

- (e) to appoint, add, remove and/or replace any person or persons (including themselves and the Approved Signatories) as signatories or users of the Services ("Approved Users") and to set and determine the mandate or authority of the Approved Users and to confirm their appointment and certify their specimen signatures and such other particulars as the Bank may require;
- (f) to provide such security as may be required by the Bank in connection with the Accounts and/or Services, and to sign the security documents required by the Bank;
- (g) to give the Bank written instructions, consents or indemnities in connection with the Accounts and the Services; and
- (h) to sign any other document as may be required or appropriate or which is incidental to the matters authorised by these Board Resolutions generally.
- 5. <u>Approved Signatories:</u> That the Approved Signatories be and are hereby authorised to perform the following acts and things for and on behalf of the Applicant, according to the signatory requirements and limits (if any) set by the Approved Persons:
- (a) to operate the Accounts and to close any Account of which they are the Approved Signatories;
- (b) to apply for, obtain, use and avail of any temporary overdraft or ad hoc trade or other facility or banking accommodation (including without limitation bankers' guarantees, letters of credit, bills of exchange purchased, bills discounting) and in connection therewith: (i) to pledge, charge, assign, endorse and deliver such goods, moneys, bills of lading, warehouse receipts, rights, title and interests as the Bank may require as security for the facility or banking accommodation; (ii) to sign letters of pledge, charge, indemnity, guarantee, deposit, or hypothecation and any other document as the Bank may require; (iii) to give valid receipts and full discharges to the Bank for moneys, documents, securities or other property released by the Bank to the Applicant;
- (c) to enter into foreign exchange trades and transactions with the Bank and to sign all documents in connection therewith;
- (d) to authorise and request the Bank to purchase or sell for account of the Applicant, currencies, stocks, bonds and other securities and to sign all documents in connection therewith; and
- (e) to deal and agree with the Bank on any of the matters set out in this Board Resolution 5 generally.
- 6. <u>Approved Users</u>: That the Approved Users shall use the Services according to the authority specified by the Approved Persons for each of them and each Approved User may terminate his own use of the Services at any time. The Approved Users shall include the persons (by whatever name called in the documents for the Services) who have been appointed to use the Services by the Approved Persons.

7. That the Bank be and is hereby authorised to act on any instruction from the Approved Persons, Approved Signatories or Approved Users and honour any instrument, document, or instruction given by them within the limits and scope of their authority.

#### Change of Approved persons. Approved Signatories and Approved Users

- 8. Change of Approved Persons: That any amendment to the list of Approved Persons, Their authority and/or their signing conditions shall only be made by amending Board resolutions duly passed by the Applicant, and communicated to the Bank who shall be given a reasonable period of time to effect the amendment.
- 9. Change of Approved Signatories and Approved Users: That any amendment to the list of Approved Signatories and Approved Users and their authority shall only be made by written notice given by the Approved Persons signing according to the signing conditions set out in the Schedule hereto and communicated to the Bank who shall be given a reasonable period of time to effect the amendment.

#### Board Resolutions in Force and Reasonable Time for Amendment

10. That the Bank may rely on these Board Resolutions and the instructions given by the Approved Persons, Approved Signatories and Approved Users under their respective authority until the Bank has received and accepted to be in order, written notice of amendment or revocation of their authority or of these Board resolutions and has had a reasonable period of time to give effect to the notice. The Bank shall be entitled to a reasonable period of not less than seven (7) business days from receipt of notice to process the notice. Before the Bank has updated its record, the Bank may act in reliance on the mandates in force prior to receipt of the notice.

## Amending Board Resolutions for Existing Accounts and Existing Services - Authority for Approved Persons

11. That the authority conferred on the Approved Persons by these Board Resolutions may be exercised by the Approved Persons in respect of all Existing Accounts and Existing Services including the authority to amend and revoke the mandate for any such Existing Accounts and Existing Services and until they are amended or revoked, the mandates for the Existing Accounts and Existing Services will remain in force.

#### **Authority to Pay**

- 12. That the Bank may debit the Accounts with any cheque, bill or note drawn on the Accounts or based on instructions, directions or orders given in respect of the Accounts whether the Accounts are in credit or overdrawn or may become overdrawn in consequence of such debit provided that such cheques, bills, notes, instructions, directions or orders are given or signed by the Approved Sgnatories acting within the limits and scope of their authority.
- 13. That the Bank be and is hereby authorised to honour all cheques, bills and notes without inquiry as to the circumstances of issue or the disposition of the proceeds even if drawn to the individual order of the person(s) signing, or payable to the Bank or others for his/their account or tendered in payment of his/their obligations.

#### **Provision of Constitutive Documents**

14. That the Bank be given a certified true copy of such constitutive documents in respect of the Applicant as the Bank may require, certified by any director/company secretary/office bearer (see Note 1)/two partners (see Note 2) of the Applicant.

## Certification of Approved Persons, Specimen Signatures, and Copies/Extracts of Board Resolutions

- 15. That as between the Applicant and the Bank:
- (a) where the Applicant is a corporation, any one director and company secretary or any two directors or such person(s) authorised under its constitutive documents,
- (b) where the Applicant is a LLP or a partnership, all its partners (see Note 2) or such person(s) authorised under its LLP agreement, or partnership agreement.
- (c) where the Applicant is a society, association, club or a management corporation, any two of its office bearers (see Note1),

be and are hereby authorised to certify to the Bank:

- (i) the list of Approved Persons, their designation or title and their specimen signatures; and
- (ii) a true copy or extract of any Board Resolution passed by the Applicant (including these Board Resolutions) in connection with the Accounts and Services and such certification may be relied upon by the Bank as conclusive evidence of the passing of the Board Resolutions so certified.

#### Notes:

- 1. A reference to an "office bearer" shall be read as reference to a person who is the president, the secretary, the treasurer, of the committee or other governing body (or persons holding similar or equivalent positions) of an Applicant which is a society, an association, a club or a management corporation.
- 2. A reference to a "partner" shall be read to include by person who is an authorised representative of such partner.

## **Schedule of Approved Persons**

Applicant name		
Signing Conditions of Approved Person(s)  Singly Any two jointly Oth One	ers Please specify, e.g. "One A and One B OR One A and C OR Two Bs"	
Particulars of Approved Person(s)		
Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)	Assign signing group	
<b>Designation</b>		
Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)	Assign signing group  A B C Others	
Designation		
Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)	Assign signing group  A B C Others	
Designation		
Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)	Assign signing group  A B C Others	
Designation		

Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)  Designation	Assign signing group  A B C Others	
	Certified on/ (Did behalf of the Applicant:	D/MM/YYYY) by the following persons for and on
	Signature	Signature
	Name (As per ID document)	Name (As per ID document)
	ID number (PAN / Aadhar / Passport)	ID number (PAN / Aadhar / Passport)
	Designation	Designation
	Signature	Signature
	Name (As per ID document)	Name (As per ID document)
	ID number (PAN / Aadhar / Passport)	ID number (PAN / Aadhar / Passport)
	Designation	Designation

**Business Contact Information**For all setup related enquiries and notifications.



# Corporate Account Opening

**Application for Non-Individual Accounts and Services** 

Registered business name		Business contact person name
Corporate Identity Number	Annual turnover	
-	INR	
<b>Nature of business</b> Maximum 70 characters	Primary Country of Operation and Country of Incorporation	Business contact number _+
		Business email address
Registered address		L
		Business fax number
		- <u>+</u>
For Bank Use		
Application number:	CTO code:	MAS industry code:
Remarks:		銀大
Attended by:	Signature verified and approved by:	RIGHT BY YOU



## **1.0 Account Setup**

Complete this section to request for accounts and specify the services enabled for each account.

Use Supplement - Additional Accounts and Services to request for more than 3 accounts.

Account Name 1			
		ess name if left blank. 70 characters maximum.	Number of chequebooks Defaulted to one chequebook per account if left blank.
Type of account (Select	t one)	Purpose of account	
Current account		Transactional	
Fixed deposit		Loan repayment	
Others		Investment	
		Others	
Currency of account			
		Source of funds	
		Business proceeds	
		Return on investments	
		Others	
		Country of fund origin	
		Main country	
			For Bank Use
		Additional countries If applicable	Account number

## 1.0 Account Setup



Account Name 2		
Defaulted to registered busin	ess name if left blank. 70 characters maximum.	<b>Number of chequebooks</b> Defaulted to one chequebook per account if left blank.
Type of account (Select one)	Purpose of account	
Current account	Transactional	
Fixed deposit	Loan repayment	
Others	Investment	
	Others	
Currency of account		
	Source of funds	
	Business proceeds	
	Return on investments	
	Others	
	Country of fund origin	
	Main country	
		For Bank Use  Account number
	Additional countries If applicable	Account number
Account Name 3		
	ess name if left blank. 70 characters maximum.	<b>Number of chequebooks</b> Defaulted to one chequebook per account if left blank.
Type of account (Select one)	Purpose of account	
Current account	Transactional	
Fixed deposit	Loan repayment	
Others	Investment	
	Others	
Currency of account		
	Source of funds	
	Business proceeds	
	Return on investments	
	Others	
	Country of fund origin	
	Main country	
	L	For Bank Use
	Additional countries If applicable	Account number

## 2.0 Operating Mandate

2.1 Mandate Scope



This section allows you to describe how the accounts in Section 1.0 Account Setup are to be operated on and who can operate them. This Operating Mandate will apply to account(s) and where applicable.

Accounts and Services (if any) Default	is Application including Supplement – Additional option if left blank.
For specified accounts only Specify and use Supplement - Additional Op Operating Mandate for the remaining new a	
elect to define new Operating Mandate	or use existing Operating Mandate
<ul><li>New Operating Mandate</li></ul>	Complete Section 2.2 to define Authorisation Limits and Signing Requirement/Approval Mandate and Section 2.3 to set out Approved Signatories.
	Proceed to complete Section 2.2 Authorisation Limits and Signing Requirement/ Approval Mandate.
As per existing UOB Corporate account  Not applicable for new Business Internet Banking Setup.	Enter UOB Account number  Must state account of the same currency.  Authorisation Limits, Signing Requirement and Approved Signatories of the accounts in Section 2.1 Mandate Scope will follow that of the account stated below.
	Proceed to complete Section 3.0 Tax Self-Declarations.
_	ning Requirement/Approval Mandate
.2 Authorisation Limits and Sign uthorisation Limits (Select one) oth currency and amounts need to e specified.	ning Requirement/Approval Mandate  Signing Requirement/Approval  Mandate (Select one)
uthorisation Limits (Select one) oth currency and amounts need to	Signing Requirement/Approval
uthorisation Limits (Select one) oth currency and amounts need to e specified.	Signing Requirement/Approval Mandate (Select one)
cuthorisation Limits (Select one) oth currency and amounts need to e specified.  Any amount	Signing Requirement/Approval Mandate (Select one)
uthorisation Limits (Select one) oth currency and amounts need to e specified.  Any amount  Tiered amount	Signing Requirement/Approval Mandate (Select one)  Any one Any two Others
uthorisation Limits (Select one) oth currency and amounts need to e specified.  Any amount  Tiered amount  Up to	Signing Requirement/Approval Mandate (Select one)  Any one Any two Others  Any one Any two Others

## 2.0 Operating Mandate



#### 2.3 Approved Signatories and Approved Users

Complete this section with person details and specify their roles as Approved Signatories.

Use Supplement- Additional Approved Signatories and Approved Users to appoint more than 4 Approved Signatories.

Use Supplement - Additional Call Back Nominees to appoint additional Call Back Nominees.

Name (As per ID docu	ment)	Designation	Set as Approved Signatory  Additional call back Nominee
Date of Birth	Gender	Assign signing group For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.	Additional call back nominee
Citizenship Country	Resident Country		
Address		Specimen signature	
ID number (PAN / Aad	har / Passport)		
ID issuing country			
Office number			
Mobile number For transand to receive SMS notification	saction related enquiries ations.		
Email address To receiv	re email notifications.		
Name (As per ID docu	iment)	Designation	Set as Approved Signatory
	Gender	Assign signing group For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.	Additional call back Nominee
Citizenship Country	Resident Country	Others Others	
Address		Specimen signature	
ID number (PAN / Aad	lhar / Passport)		
ID issuing country	Country of birth		
Office number			
Mobile number For tran and to receive SMS notifica	ations.		
Email address To receiv	re email notifications.		

Enquirer—View account details only.

Administrator—Create/maintain all user and access profiles. Maintain user(s) passwords and assign tokens to all user(s) except Administrators and Authorisers.

**Maker**—Create all types of transactions (except Payroll) and view account details.

**Payroll Maker**—Create Payroll transactions, upload Payroll files and view Payroll details.

**Authoriser**—Create/approve transactions (except Payroll) and view account details.

Payroll Authoriser—Create/approve Payroll transactions and view Payroll details.

## 2.0 Operating Mandate



Name (As per ID docu	ment)	Designation	Set as Approved Signatory  Additional call back Nominee
Date of Birth	Gender	Assign signing group For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.	
Citizenship Country	Resident Country	○ A ○ B ○ C ○ Others	
Address		Specimen signature	
ID number (PAN / Aad	har / Passport)		
ID issuing country			
Office number			
Mobile number For trans			
and to receive SMS notifica			
+ Email address To receive	e email notifications.		
Email address To receive	ment)	Designation	Set as Approved Signatory
Email address To receive	ment)	Designation	Set as Approved Signatory Additional call back Nominee
Email address To receive  Name (As per ID documents)  Date of Birth	ment)	Designation  Assign signing group For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.	
Email address To receive	ment)	Assign signing group For Approved Signatories, Authorisers or Payroll	Additional call back Nominee
Email address To receive  Name (As per ID documents)  Date of Birth	ment) Gender	Assign signing group For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.	Additional call back Nominee
Email address To receive  Name (As per ID documents)  Date of Birth  Citizenship Country	Gender Resident Country	Assign signing group  For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  ABBCCOthers	Additional call back Nominee
Part of Birth  Citizenship Country  Address	Gender Resident Country	Assign signing group  For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  ABBCCOthers	Additional call back Nominee
Pare of Birth  Citizenship Country  Address  ID number (PAN / Aadd  ID issuing country  Office number	ment)  Gender  Resident Country  har / Passport)  Country of birth	Assign signing group  For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  ABBCCOthers	Additional call back Nominee
Pare of Birth  Citizenship Country  Address  ID number (PAN / Aadd  ID issuing country  Office number	ment)  Gender  Resident Country  har / Passport)  Country of birth	Assign signing group  For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  ABBCCOthers	Additional call back Nominee

Enquirer—View account details only.

Administrator—Create/maintain all user and access profiles. Maintain user(s) passwords and assign tokens to all user(s) except Administrators and Authorisers.

**Maker**—Create all types of transactions (except Payroll) and view account details.

**Payroll Maker**—Create Payroll transactions, upload Payroll files and view Payroll details.

**Authoriser**—Create/approve transactions (except Payroll) and view account details.

**Payroll Authoriser**—Create/approve Payroll transactions and view Payroll details.



Important information regarding tax reporting requirements for US Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

In order to comply with the regulatory requirements of FATCA and CRS, we are obliged to collect your tax self-declaration. Please complete the sections below as directed and provide any additional information that is requested. Refer to FATCA and CRS Glossary.

If you have any questions about this tax self-declaration form, please speak to your tax adviser.

#### Complete the following section based on your Entity type. Ticked sections are mandatory.

Section	3.1	3.2	3.3	3.4
Sole Proprietorship Individual Owners	<b>✓</b>	✓	N/A	N/A
Other Entity Type	N/A	<b>✓</b>	<b>✓</b>	Conditional

Select declaration (Select one)
New declaration Proceed to complete Sections 3.1, 3.2, 3.3 and 3.4 as required.
Refer to attached declarations Choose this option if you have declared your tax status separately. Proceed to Section 4.0 Confirmation and Agreement.
I have an existing declaration  No changes to the previous US withholding certificate or FATCA/CRS self-certification(s)

submitted to UOB. Proceed to Section	4.0 Confirmation and Agreement.		
3.1 Sole Proprietorship Owne	r's Information		
This section is required only if you are (Individual) Owner's information and r			
Name/Registered business name	Country of birth For Individual Owners	s only.	Date of birth (DD/MM/YYYY)  For Individual Owners only.
Mailing address If different from Reside	ntial/Registered address.		
The following information is as Skip Owner information below.	set out in the MCA Master Data	ı	_
ID number/Corporate Identification N (PAN / Aadhar / Passport)	umber (CIN) Nationality/Count	ry of incorporation	Residential address/Registered address
L			
jurisdiction (e.g. because it is fiscally to r jurisdiction in which its principal offi  India TIN number  This purple of the control of the	ce is located.		
United States TIN numbe	r (United States)		Specified US Person ( ) Yes ( ) No
Others			
Country 1	TIN number	Country 2	TIN number
If no TIN in country/jurisdiction		If no TIN in countr	y/jurisdiction
Country where the Entity/Ind issue TINs.	ividual is resident does not	Country where issue TINs.	the Entity/Individual is resident does not
No TIN is required. Only select this reason if the authoriseidence entered do not require			red. eason if the authorities of the country of tax d do not require the TIN to be disclosed.
Entity/Individual is otherwise equivalent number. Provide of			ıl is otherwise unable to obtain a TIN or ıber. Provide details.



#### 3.3 FATCA and CRS Status

Select one of the following statements that best describes the Entity. If you are a Sole Proprietorship, provide the Sole Proprietorship (Non-Individual) owner's FATCA and CRS status.

	Instructions	FATCA status if non-US tax resident	CRS status
Passive Business  More than 50% of your gross income from Passive Income in the previous year  or  More than 50% of your assets were used to produce Passive Income in the previous year.	Proceed to complete Section 3.4 Controlling Person(s).	Passive Non-Financial Foreign Entity	Passive Non-Financial Entity
Active Business Less than 50% of your gross income from Passive Income in the previous year and Less than 50% of your assets were used to produce Passive Income in the previous year.	Proceed to complete Section 4.0 Confirmation and Agreement.		
Publicly Listed Company or its Related Entity Stock is regularly traded on one or more established securities markets or A Related Entity of an entity whose stock is regularly traded on an established securities market.	1. Name of established securities market  2. Name of Related Entity (if any)  3. Proceed to complete Section 4.0 Confirmation and Agreement.	Active	Active
Charities Charities registered under the applicable laws.	Proceed to complete Section 4.0 Confirmation and Agreement.	Non-Financial Foreign Entity	Non-Financial Entity
Holding Company or Group Services Company Substantially all your business activities consist of: Holding (wholly or partially) the outstanding share of, or Providing financing and services to one or more subsidiaries that engage in non-Fl trade/ business. However, you do not operate 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.	Proceed to complete Section 4.0 Confirmation and Agreement.		
Financial Institution Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.	1. Provide GIIN  2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP.  3. Proceed to Complete Section 3.4 Controlling Person(s).	Financial Institution	Financial Institution



	Instructions	FATCA status if non-US tax resident	CRS status
Financial Institution Other Investment Entity.	1. Provide GIIN  2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP.  3. Proceed to complete Section 4.0 Confirmation and Agreement.	Financial Institution	Financial Institution
Financial Institution  Depository Institution, Custodial Institution or Specified Insurance Company.	2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP.  3. Proceed to complete Section 4.0 Confirmation and Agreement.		
Government Entity or Central Bank Government and government-linked entities (including Indian Ministries, Statutory Boards, Town Councils). Central Bank.	Proceed to complete Section 4.0 Confirmation and Agreement.	Exempt	Active Non-Financ Entity A Governmen Entity or Central Bank
International Organisations Any international organisation or wholly owned agency or instrumentality thereof.	Proceed to complete Section 4.0 Confirmation and Agreement.	Exempt Beneficial Owner	Active Non-Financi Entity An Internation Organisation
Other Status  If you do not fall under any of the above statuses, please specify your FATCA and CRS status.	1. FATCA Status  Provide U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP		
	2. CRS Status	As specified	As specified
	<ol><li>Proceed to complete Section 4.0 Confirmation and Agreement.</li></ol>		



### 3.4 Controlling Person(s)

Complete below section only if your FATCA or CRS status is any of the following: Passive Non-Financial Foreign Entity/Passive Non-Financial Entity/Financial Institution-Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

#### Important

You represent that the controlling person/s have confirmed that the information in this section is accurate and up to date.

Name	Nationality		Date of birth (DD/MM/YYYY)
Percentage of ownership	Country of birth		Residential address
ID number (PAN / Aadhar / Passport)	ID issuing country		
Select your controlling person tax residency	r(ies)		
United States TIN number (United States	States)		
Others			
Country 1 TIN numb	per	Country 2	TIN number
If no TIN in country/jurisdiction		If no TIN in count	ry/jurisdiction
Country where the Individual is reside	nt does not issue TINs.	Oountry where	the Individual is resident does not issue TINs.
No TIN is required.     Only select this reason if the authorities of t residence entered do not require the TIN to		No TIN is requ Only select this residence entere	nired. reason if the authorities of the country of tax and do not require the TIN to be disclosed.
Individual is otherwise unable to obtain number. Provide details.	n a TIN or equivalent	Individual is ot number. Provid	herwise unable to obtain a TIN or equivalent de details.
Name	Nationality		Date of birth (DD/MM/YYYY)
Percentage of ownership	Country of birth		Residential address
ID number (PAN / Aadhar / Passport)	ID issuing country		
Select your controlling person tax residency	r(ies)		
United States TIN number (United States	States)		
Others			
Country 1 TIN numb	per	Country 2	TIN number
If no TIN in country/jurisdiction		If no TIN in count	ry/jurisdiction
Country where the Individual is residen	nt does not issue TINs.	Oountry where	the Individual is resident does not issue TINs.
No TIN is required.     Only select this reason if the authorities of t residence entered do not require the TIN to			ired. reason if the authorities of the country of tax ed do not require the TIN to be disclosed.
Individual is otherwise unable to obtain number. Provide details.	n a TIN or equivalent	Individual is ot number. Provid	herwise unable to obtain a TIN or equivalent de details.



	Nationality 		Date of birth (DD/MM/YYYY)
Percentage of ownership	Country of birth		Residential address
ID number (PAN / Aadhar / Passport)	ID issuing country		
Select your controlling person tax residence	y(ies)		
United States TIN number (United	States)		
Others			
Country 1 TIN num	ber	Country 2	TIN number
If no TIN in country/jurisdiction		If no TIN in count	ry/jurisdiction
Country where the Individual is reside	ent does not issue TINs.	Ountry where	e the Individual is resident does not issue TINs.
No TIN is required. Only select this reason if the authorities of residence entered do not require the TIN to	the country of tax b be disclosed.	No TIN is requ Only select this residence enter	uired. reason if the authorities of the country of tax ed do not require the TIN to be disclosed.
Individual is otherwise unable to obtain number. Provide details.		Individual is o number. Provi	therwise unable to obtain a TIN or equivalent de details.
Name	Nationality		Date of birth (DD/MM/YYYY)
L	1		
Percentage of ownership	Country of birth		Residential address
Percentage of ownership			
ID number (PAN / Aadhar / Passport)	Country of birth  ID issuing country		
	Country of birth  ID issuing country  y(ies)		
ID number (PAN / Aadhar / Passport)  Select your controlling person tax residence	Country of birth  ID issuing country  y(ies)		
ID number (PAN / Aadhar / Passport)  Select your controlling person tax residence United States TIN number (United	Country of birth  ID issuing country  y(ies)  States)		
ID number (PAN / Aadhar / Passport)  Select your controlling person tax residence United States TIN number (United Others	Country of birth  ID issuing country  y(ies)  States)		Residential address  TIN number
ID number (PAN / Aadhar / Passport)  Select your controlling person tax residence United States TIN number (United Others Country 1 TIN num	Country of birth  ID issuing country  y(ies)  States)	Country 2  If no TIN in count	Residential address  TIN number
ID number (PAN / Aadhar / Passport)  Select your controlling person tax residence United States TIN number (United Others Country 1 TIN num If no TIN in country/jurisdiction	Country of birth  ID issuing country  y(ies)  States)  ber  ent does not issue TINs.	Country 2  If no TIN in count  Country where  No TIN is requously select this	Residential address  TIN number  ry/jurisdiction  e the Individual is resident does not issue TINs.

## 4.0 Confirmation and Agreement



We, the aforesaid Applicant named in this Application (all references to "Application" shall include the Supplements selected in 14. below), through our approved persons(s) named below:

#### **Accounts and Services**

- 1. hereby request United Overseas Bank Limited ("Bank") to open the Account(s) and provide the Services specified by us in this Application and confirm that we have obtained and agree to be bound by the Bank's prevailing Terms and Conditions Governing Accounts & Services, Additional Terms and Conditions Governing accounts and Services, Privacy Notice (Corporate) and other specific terms and conditions applying to Accounts and Services that the Applicant makes use of from time to time (all as amended or supplemented from time to time and made available at http://www.uobgroup.com/in or the Bank's branches);
- 2. represent and warrant to the Bank that when we provide the Bank with the personal data of the Relevant individual(s) from time to time, we would have obtained the consent of the Relevant Individual(s) for the collection, use and disclosure of the personal data for Basic Banking Purposes, Co-branding Purpose, Research Purpose and Marketing Purpose as described in the Bank's Privacy Notice (Corporate);
- 3. agree that the Bank will not be liable to us for any actions the Bank considers appropriate in order to meet any obligation or requirement, either in India or elsewhere in the world, in connection with the prevention of any unlawful activity including fraud, money laundering, terrorist activity, bribery, corruption, or tax evasion or the enforcement of any economic or trade sanction;
- 4. authorise the Bank to obtain and verify any information about us as the Bank deems fit from any person or source and retain all such information and documents collected;
- 5. confirm that all information including any document given or to be given to the Bank in connection with this Application is true, accurate and complete, can be relied on for the purpose of assessing this Application as well as the continued operation of the Account(s) and use of the Service(s) and we have not withheld any fact or information which will render any of the foregoing untrue, inaccurate or incomplete;
- 6. acknowledge that the Bank may reject this application without providing reasons;
- 7. in consideration of the Bank accepting this Application, represent and warrant to the Bank that the signature(s) on this Application constitutes the specimen signature(s) of all our Approved Signatory(ies) for the time being for the purpose of operating the Account(s) unless and until we give written notice to the Bank of any change;
- 8. confirm that the representations, warranties and confirmations in this Application can be relied upon bythe Bank for the purpose of assessing the Application and for the continued operation of the Account(s) and use of the Service(s);

#### Tax Self-Declarations

- 9. confirm that the information provided in Section 3.0 above is true and accurate and complete. No information has been withheld. We, hereby undertake to notify the Bank in writing of any change in circumstances that the causes any information in Section 3.0 to become incorrect and to provide an appropriately updated Tax Self Declaration to the Bank within 30 days of such change;
- 10. agree that without prejudice to any other rights or remedies that the Bank may otherwise have, we shall indemnify, keep indemnified and hold the Bank harmless 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 the Bank as a result of, or in connection with, the information in Section 3 above being inaccurate, outdated or untrue;

#### Call Bank Nominees

- 11. acknowledge that:
- (a) the Authorised Call back Person(s) are authorised by us to (whether alone or jointly) act for and on our behalf, to confirm any instruction or transaction in respect of our Account(s);
- (b) the Bank may implement security procedures and features as it deems appropriate and/or necessary from time to time to verify: (i) the identity of the Authorised Callback Person(s); (ii) the confirmation(s) given by the Authorised Call back Person(s); and or (iii) the instruction or transaction in respect of our account(s) has been authorised by us; and
- (c) the Bank shall be entitled in its absolute discretion, but shall not be obliged to act on the confirmation(s) given by the Authorised Call back person(s);
- 12. authorise the Bank to disclose all information relating to us or our Account(s) and Service(s) with the Bank to any Authorised Call back Person and for any purpose whatsoever and to indemnify, keep indemnified and hold the Bank harmless from and against all actions, proceedings, liabilities, losses, damages, claims, demands, costs and expenses (including but not limited to legal costs on a full indemnity basis) which the Bank may incur or sustain by reason of or in connection with honouring any instrument; or acting or relying on any instruction or confirmation given by the Authorised Call back Persons.

## 4.0 Confirmation and Agreement

15. hereby also submit the following Supplements and confirm by signing below



#### Supplements

that we have obtained and agree to be bound by the Bank's prevailing terms and conditions including any specific terms and conditions applying to these Account(s) and Service(s) including but not limited to the terms and conditions, statements, Applicant's instructions, declarations and acknowledgements of risk contained in the Supplements: Supplement – Additional Accounts and Services Number of pages added. \_\_\_\_ Supplement - Additional eAlerts! Setup Number of pages added. \_\_\_\_\_\_ Supplement - Additional Approved Signatories and Approved Users Number of pages added. \_\_\_ Supplement - Additional Operating Mandate Number of pages added. \_ Supplement - Additional Call Back Nominees Number of pages added. \_\_\_ Supplement - Tax Self-Declarations Number of pages added. \_\_\_\_ **Constitutive Documents** 16. confirm that there has been no amendment made to our constitutive documents since the last time we provided a certified true copy to the Bank. For existing customers only. Tick if applicable. Signature Signature

Name

Date (DD/MM/YYYY)

Date (DD/MM/YYYY)

Name

### **FATCA and CRS Glossary**



Active Non-Financial Entity (NFE)/Active Non-Financial Foreign Entity (NFFE): Any NFE/NFFE (being an entity that is not a Financial Institution (FI)) that meets any of the following criteria:

- 1. Less that 50percent of the NFE/NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less that 50 percent of the assets held by the NFE/NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income:
- 2. The stock of the NFE/NFFE is regularly traded on an established securities market or the NFE/NFFE is a Related Entity of an Entity the stock of which is traded on an established securities market:
- 3. The NFE/NFFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- 4. Substantially all of the activities of the NFE/NFFE 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:
- 5. The NFE/NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFE/NFFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE/NFFE:
- 6. The NFE/NFFE 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;
- 7. The NFE/NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or headging 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 Institution: or

recommence operations in a business other than that of a Financial Institution;

- 8. The NFE/NFFE meets all of the following requirements:
- (a) 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;
- (b) it is exempt from income tax in its jurisdiction of residence;
- (c) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- (d) The applicable laws of the NFE/NFFE's jurisdiction of residence or the NFE/NFFE's formation documents do not permit any income or assets of the NFE/NFFE to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the NFE/NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- (e) The applicable laws of the NFE/NFFE's jurisidiction of residence or the NFE/NFFE's formation documents require that, upon the NFE/NFFE's liquidation or dissolution, all of the assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE/NFFE's jurisdiction of residence or any political subdivision thereof.

#### Central Bank:

An institution that is by law or government sanction the principal authority, other than the government of the jurisdiction itself, issuing instruments intended to circulate as currency. Such an institution may include an instrumentality that is separate from the government of the jurisdiction, whether or not owned in whole or in part by the jurisdiction.

#### Controlling Person:

The natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies), or class(es) of beneficiaries, and any other natural person(s) 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 Person' shall be interpreted in a manner consistent with the Recommendations of the Financial Action Task Force, in India, is considered an individual who:

- 1. Owns an interest of more than 25% of the capital in the entity
- 2. Can exercise more than 25% of the voting power at the shareholders meeting of the entity:
- 3. Has direct or indirect control or power of decision in the entity;
- 4. Is a beneficiary of 25% or more of the capital of the entity; or
- 5. Has particular control over 25% or more of the capital of the entity

#### CRS:

means the Common Reporting Standard.

#### **Custodial Institution:**

Any Entity that holds, as a substantial portion of its business, financial assets for the account of others. An Entity holds financial assets for the account of others as a substantial portion of its business if the Entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the Entity's gross income during the shorter of: (i) the three-year period prior to the year in which the determination is being made; or (ii) the period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

#### **Depository Institution:**

Any Entity that accepts deposits in the ordinary course of a banking or similar business.

#### Entity

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

#### **Established Securities Market:**

An exchange that is officially recognised 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. The government of the India has concluded an agreement with the government of the United States with respect to the exchange of information regarding U.S. Persons in India.

#### Financial Institution:

Any of the following:

- 1. ADepository Institution
- 2. ACustodial Institution
- 3. An Investment Entity
- 4. A Speficied Insurance Company

#### Fiscally Transparent entities:

Entities that are considered fiscally transparent are:

- 1. Sole proprietorships the business income derived by a sole proprietorship is part of the total personal income of the sole proprietor which is taxed at individual income tax rates; and
- 2. Partnerships each partner of a partnership will be taxed based on his share of the business income of the partnership at individual income tax rates.

Global Intermediary Identification Number (GIIN):

Institutions and entities assigned a GIIN can use it to identify themselves to withholding agents and tax administrators for FATCA reporting purposes. The GIIN, formatted as XXXXXXXXXXXXXXXX, is a 19-character identification number. These characters will never contain the letter "O".

#### Governmental Entity:

The government of a jurisdiction, any political subdivision of a jurisdiction (which, for the avoidance of doubt, includes a state, province, county, or municipality), or any wholly owned agency or instrumentality of a jurisdiction or any one or more of the foregoing (each, Governmental Entity'). This category is comprised of the integral parts, controlled entities, and political subdivisions of a jurisdiction.

- An integral part of a jurisdiction means any person, organisation, agency, bureau, fund, instrumentality, or other body, however designated, that constitutes a jurisdiction, with no portion inuring to the benefit of any private person. An integral part does not include any individual who is a sovereign, official, or administrator acting in a private or personal capacity.
- 2. A controlled entity means an Entity that is separate in Form from the jurisdiction or that otherwise constitutes a separate juridical entity, provided that: (a) The Entity is wholly owned and controlled by one or more Governmental Entities directly or through one or more controlled entities; (b) The Entity's net earnings are credited to its own account or to the accounts of one or more Governmental Entities, with no portion of its income incurring to the benefit of any private person; and (c) The Entity's assets vest in one or more Governmental Entities upon dissolution.
- 3. Income does not inure to the benefit of private persons if such persons are the intended beneficiaries of a governmental program, and the program activities are performed for the general public with respect to the common welfare or relate to the administration of some phase of government. Notwithstanding the foregoing; however, income is considered to inure to the benefit of private persons if the income is derived from the use of a governmental entity to conduct a commercial.

#### International Organisation:

Any international organisation or wholly owned agency or instrumentality thereof. This category includes any intergovernmental organisation (including a supranational organisation) (1) that is comprised primarily of governments; (2) that has in effect a headquarters or substantially similar agreement with the jurisdiction; and (3) the income of which does not inure to the benefit of private persons.

#### Investment Entity:

Any entity will be treated as an Investment Entity if meets conditions below:

1. Entity that primarily conducts as a business (or is managed by an Entity that conducts as a business) one or more of the following activities or operations for or on half of a customer:

### **FATCA and CRS Glossary**



- 2. trading in money market instruments (cheques, bills, certificates of deposits, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
- 3. Individual and collective portfolio management; or
- 4. otherwise investing, administering, or managing funds or money on behalf of other persons; or
- 5. Satisfies the Financial Asset Test (FAT). If 50 percent or more of the Entity's gros income is attributable to the activities mentioned above during the shorter of: (a) The three-year period ending on 31 December of the year preceding the year in which the determination is made; or (b) The period during which the entity has been in existence.

The second type of "Investment Entity" ('Investment Entity managed by another FI') is any entity 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.

#### Listed on a stock exchange:

An entity is considered to be listed on a stock exchange if at least 50% of the securities of the entity are regularly traded on an established securities market.

#### Non-Financial Foreign Entity (NFFE):

refers to any non-US incorporated entity that is not a Foreign Financial Institution ("FFI".

#### Participating Jurisdiction:

A jurisdiction - (i) with which an agreement is in place pursuant to which it will provide the specified information under CRS, and (ii) which is identified in a published list.

#### Passive income:

refers generaly to the portion of gross income that consists of:

- 1. Dividends and dividend substitute payments (income equivalent to dividend);
- 2. Interest and income equivalent to interest;
- 3. 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:
- 4. Annuities;
- 5 Income from swap-contracts;
- 6. 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. If you are uncertain whether income is passive income, please consult a tax adviser.

#### Passive NFE/Passive NFFE:

Any NFE/NFFE (being an entity that is not a FI) that is not an Active NFE/NFFE. (Note: Similar treatment will be applied to an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution).

#### **Related Entity**

An Entity is regarded as being related to another Entity if: (i) One controls the other; or (ii) The two Entities are under common control. Control means: Direct or indirect ownership of more than 50 percent of the vote and value in an Entity.

#### Reportable Account:

An account that, pursuant to due diligence procedures consistent with CRS, has been identified as an account that is held by one or more persons that are Reportable Persons or by a Passive NFE with one or more Controlling Persons that are Reportable Persons with respect to another Jurisdiction.

#### Reportable Person:

A Reportable Jurisdiction 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 described in clause (i); (iii) a Governmental Entity; (iv) an International Organisation; (v) a Central Bank; or (vi) a Financial Institution. Notwithstanding the foregoing, India 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").

#### Reportable Jurisdiction Person:

An individual or Entity that is resident in a Reportable Jurisdiction under the tax laws of such jurisdiction, or an estate of a decedent that was a resident of a Reportable Jurisdiction. For this purpose, an Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated.

#### Reportable Jurisdiction:

A jurisdiction - (i) with which an agreement is in place pursuant to which there is an obligation in place to provide the specified information under CRS; (ii) which is identified in a published list.

#### **Specified Insurance Company:**

Any Entry that is an insurance company (for the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

#### 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 for more information or consult a tax adviser. The following are not Specified US Persons:

- 1. A publicly traded corporation or member of its expanded affiliated group;
- 2. 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;
- 3. Organization exempt from tax under Section 501(a) or an individual retirement plan;
- 4. Banks:
- 5. Real estate investment trusts;
- 6. Regulated investment company or entity registered with the U.S. Securities and Exchange Commission;
- 7. Common trust fund or trust exempt from tax;
- 8. AU.S. registered dealer in securities, commodities or derivatives;
- 9. Abroker; or
- 10. Tax-exempt trust under a plan.

#### Taxpayer Identification Number (TIN):

Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identity the individual or Entity for the purposes of administering the tax laws of such jurisdiction. For example, PAN number is used by India entities to file tax returns with Indian Tax Authority of India. Further details of acceptable TINs can be found at:

http://www.oecd.org/tax/automatic-exchange/tinsandtaxresidency/.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a 'functional equivalent'). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

#### US Person:

means

- 1. AUS citizen or resident individual,
- 2. A partnership or corporation organized in the US or under the laws of the US or any state of the US,  $\,$
- 3. 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.

- 1. 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 from SS-5 or www.irs.gov.
- 2. 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.
- 3. 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. More information is available about identification numbers and the process to request these numbers on www.irs-gov.





## **Supplements Section**

Use and attach the following pages if required

- · Additional Accounts and Services
- Additional eAlerts! Setup
- Additional Approved Signatories and Approved Users
- Additional Operating Mandate
- Additional Call Back Nominees
- Tax Self-Declarations

## **Additional Accounts and Services**



Complete this section to request for additional accounts and specify the services enabled for each account.

Account Name  Sequence number  Defaulted to registe 70 characters maxin	red business name if left blank.	Account Services
Type of account (Select one)  Current account  Fixed deposit  Others  Currency of account	Purpose of account  Transactional  Loan repayment  Investment  Others	Mobile number  +  Email address  Number of chequebooks Defaulted to one chequebook per account if left blank.
	Source of funds  Business proceeds Return on investments Others Country of fund origin	
	Main country  Additional countries If applicable	For Bank Use  Account number

'B - 80 / F(R6.19)

## Additional Approved Signatories and Approved Users



This section allows you to appoint additional Approved Signatories and Business Internet Banking Users. You may use multiples of this Supplement if required.

Additional call back Nomine
Set as Approved Signatory
Additional call back Nomine

Enquirer—View account details only.

Administrator—Create/maintain all user and access profiles. Maintain user(s) passwords and assign tokens to all user(s) except Administrators and Authorisers.

**Maker**—Create all types of transactions (except Payroll) and view account details.

**Payroll Maker**—Create Payroll transactions, upload Payroll files and view Payroll details.

**Authoriser**—Create/approve transactions (except Payroll) and view account details.

Payroll Authoriser—Create/approve Payroll transactions and view Payroll details.

#### Supplement

## **Additional Operating Mandate**



This section allows you to define the Operating Mandate for the remaining new account(s) if you did not opt for the Mandate Scope in Section 2.1 to apply to all your new accounts requested in this Application including Supplement – Additional Accounts and Services (if any).

You may use multiples of this section if required.

perating Mandate for new accounts not specific rovide account number and proceed to following Secti		landate Scope		
elect to define new Operating Mandate or us	se existing Opera	ting Mandate		
<ul><li>New Operating Mandate</li></ul>	Requirement a	and Section C to	uthorisation Limits and Signing set out Approved Signatories.  orisation Limits and Signing Requirement.	
As per existing UOB Corporate account  Not applicable for new Business Internet Banking Setup.	Authorisation Lir the accounts in S stated below.	unt of the same curi mits, Signing Requir Section A Mandate	ement and Approved Signatories of Scope will follow that of the account	
. Authorisation Limits and Signing R  uthorisation Limits (Select one) oth currency and amounts need to be specified.	•	lirement (Select	one)	
Any amount	Any one	O Any two	Others	
Up to	O Any one	O Any two	Others	
Up to	Any one	O Any two	Others	
Up to	Any one	O Any two	Others	
AboveAuthorisation Limits are cumulative, e.g. these Approved Signatories may also approve lower amounts.	Any one	Any two	Others	

'B - 80 / F(R6.19)

## Supplement Additional Operating Mandate



### C. Approved Signatories

Name (As per ID document)		Cassimon signature
ID number (PAN / Aadhar / Passport)	Designation	Specimen signature
Office number	Set as Approved Signatory	
<del>, +</del>	Assign signing group  For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  ABBCCOthers	
Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)	Designation	Specimen signature
Office number	☐ Set as Approved Signatory ☐ Assign signing group	
	For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  A B C Others	
Name (As per ID document)		
ID number (PAN / Aadhar / Passport)	Designation	Specimen signature
Office number	Set as Approved Signatory	
<u>+</u>	Assign signing group For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.	
	A B C Others	
Name (As per ID document)		Specimen signature
ID number (PAN / Aadhar / Passport)	Designation	
Office number	☐ Set as Approved Signatory ☐ Assign signing group	
	For Approved Signatories, Authorisers or Payroll Authorisers. Defaulted to 'A' if left blank.  A B C Others.	



## **Additional Call Back Nominees**

Enter details of individuals appointed as your Authorised Call Back Persons for UOB to contact for all matters relating to the Entity and its account(s) and service(s) with UOB. Note that Approved Signatories are default call back contact for the designated account(s).

Name	ı	ID number (PAN / Aadhar / Passport)	Office number
	ı	Mobile number	Date of birth (DD/MM/YYYY)
Name		ID number (PAN / Aadhar / Passport)	Office number
	1	Mobile number	Date of birth (DD/MM/YYYY)
Name	1	ID number (PAN / Aadhar / Passport)	Office number
	1	Mobile number	Date of birth (DD/MM/YYYY)
Name	1	ID number (PAN / Aadhar / Passport)	Office number
	1	Mobile number	Date of birth (DD/MM/YYYY)

B - 80 / F(R6.19)



Important information regarding tax reporting requirements for US Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

In order to comply with the regulatory requirements of FATCA and CRS, we are obliged to collect your tax self-declaration. Please complete the sections below as directed and provide any additional information that is requested. Refer to FATCA and CRS Glossary.

If you have any questions about this tax self-declaration form, please speak to your tax adviser

Entity/Individual is otherwise unable to obtain a TIN or

equivalent number. Provide details.

Section 3.1 3.2 3.4 Sole Proprietorship N/A Individual Owners Other Entity Type Conditional

Complete the following section based on your

Entity type. Ticked sections are mandatory.

tax adviser.		
Select declaration (Select one)		
New declaration Proceed to complete Sections A, B, C and D	as required.	
I have an existing declaration  No changes to the previous US withholding of self-certification(s) submitted to UOB.	pertificate or FATCA/CRS	
A. Sole Proprietorship Owner's In	formation	
This section is required only if you are a Sol (Individual) Owner's information and not the	le Proprietorship. Provide the Sole Proprietorship particulars of the Sole Proprietorship.	
Name/Registered business name	Country of birth For Individual Owners only.	Date of birth (DD/MM/YYYY) For Individual Owners only.
The following information is as set o	out in the MCA Master Data	
Skip Owner information below.  ID number/Corporate Identification N (PAN / Aadhar / Passport)	Number Nationality/Country of incorporation	Residential address/Registered address
B. Tax Residency		
Select your tax residency(ies). If you are a \$ (Individual) owner's tax residency(ies). If the	arent), please provide its place of effective management	
Singapore TIN number (Sing	gapore)	

B. Tax Residency			
(Individual) owner's ta jurisdiction (e.g. becau	ncy(ies). If you are a Sole Proprietorship, provide ix residency(ies). If the Entity is not tax resident in use it is fiscally transparent), please provide its pla its principal office is located.	any country/	
Singapore	TIN number (Singapore)		
United States	TIN number (United States)		Specified US Person Yes No
Others			
Country 1	TIN number	Country 2	TIN number
If no TIN in cour	ntry/jurisdiction	If no TIN in country/	/jurisdiction
Ocuntry whe issue TINs.	re the Entity/Individual is resident does not	Country where the issue TINs.	ne Entity/Individual is resident does not
	quired. s reason if the authorities of the country of tax ered do not require the TIN to be disclosed.		ed. ason if the authorities of the country of tax do not require the TIN to be disclosed.

equivalent number. Provide details.

Entity/Individual is otherwise unable to obtain a TIN or

## Supplement Tax Self-Declarations



#### C. FATCA and CRS Status

Select one of the following statements that best describes the Entity. If you are a Sole Proprietorship, provide the Sole Proprietorship (Non-Individual) owner's FATCA and CRS status.

	Instructions	FATCA status if non-US tax resident	CRS status
Passive Business  More than 50% of your gross income from Passive Income in the previous year  or  More than 50% of your assets were used to produce Passive Income in the previous year.	Proceed to complete Section D Controlling Person(s).	Passive Non-Financial Foreign Entity	Passive Non-Financial Entity
Active Business Less than 50% of your gross income from Passive Income in the previous year and Less than 50% of your assets were used to produce Passive Income in the previous year.	Proceed to sign the Tax Self-Declaration.		
Publicly Listed Company or its Related Entity Stock is regularly traded on one or more established securities markets	Name of established securities market		
or	2. Name of Related Entity (if any)		
A Related Entity of an entity whose stock is regularly traded on an established securities market.			
	3. Proceed to sign the Tax Self-Declaration.	Active Non-Financial Foreign Entity	Active Non-Financial Entity
Charities Charities registered under the applicable laws.	Proceed to sign the Tax Self-Declaration.	,	
Holding Company or Group Services Company Substantially all your business activities consist of: Holding (wholly or partially) the outstanding share of, or Providing financing and services to 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 any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.	Proceed to sign the Tax Self-Declaration.		
Financial Institution Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.	1. Provide GIIN  2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP  3. Proceed to complete Section D Controlling Person(s).	Financial Institution	Financial Institution

## Supplement Tax Self-Declarations



	Instructions	FATCA status if non-US tax resident	CRS status
Financial Institution Other Investment Entity.  Financial Institution Depository Institution, Custodial Institution or Specified Insurance Company.	1. Provide GIIN  2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP  3. Proceed to sign the Tax Self-Declaration.  1. Provide GIIN  2. Provide U.S. withholding certificate U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP	Financial Institution	Financial Institution
Government Entity or Central Bank Government and government-linked entities (including Indian Ministries, Statutory Boards, Town Councils). Central Bank.	Proceed to sign the Tax Self-Declaration.  Proceed to sign the Tax Self-Declaration.	Exempt Beneficial	Active Non-Financial Entity A Government Entity or Central Bank
International Organisations  Any international organisation or wholly owned agency or instrumentality thereof.	Proceed to sign the Tax Self-Declaration.	Owner	Active Non-Financial Entity An International Organisation
Other Status  If you do not fall under any of the above statuses, please specify your FATCA and CRS status.	1. FATCA Status  Provide U.S. IRS Form W-8BEN-E / W-8IMY / W-8ECI / W-8EXP  2. CRS Status	As specified	As specified
	3. Proceed to sign the Tax Self-Declaration.		



### D. Controlling Person(s)

Complete below section only if your FATCA or CRS status is any of the following: Passive Non-Financial Foreign Entity/Passive Non-Financial Entity/Financial Institution-Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

#### Important

You represent that the controlling person/s have confirmed that the information in this section are accurate and up to date.

Name	Nationality Country of birth		Date of birth (DD/MM/YYYY)	
Percentage of ownership			Residential address	
%				
ID number (PAN / Aadhar / Passport) ID issuing countril				
Select your controlling person tax residency				
United States TIN number (United	States)			
Others				
Country 1 TIN number	per	Country 2	TIN number	
If no TIN in country/jurisdiction		If no TIN in country/jurisdiction		
Ountry where the Individual is reside	nt does not issue TINs.	Country where the Individual is resident does not issue TINs.		
<ul> <li>No TIN is required.</li> <li>Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.</li> </ul>		No TIN is required. Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.		
Individual is otherwise unable to obtainumber. Provide details.	n a TIN or equivalent	Individual is oth number. Provid	nerwise unable to obtain a TIN or equivalent e details.	
Name	Nationality		Date of birth (DD/MM/YYYY)	
Percentage of ownership	Country of birth		Residential address	
ID number (PAN / Aadhar / Passport) ID issuing country				
Select your controlling person tax residency	/(ies)		_	
United States TIN number (United	States)			
Others				
Country 1 TIN num	per	Country 2	TIN number	
If no TIN in country/jurisdiction		If no TIN in country	y/jurisdiction	
Country where the Individual is resident does not issue TINs.		Country where the Individual is resident does not issue TINs.		
<ul> <li>No TIN is required.</li> <li>Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.</li> </ul>		No TIN is required. Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.  Individual is otherwise unable to obtain a TIN or equivalent		
Individual is otherwise unable to obtain				

## Supplement Tax Self-Declarations



Percentage of ownership		Nationality		Date of birth (DD/MM/YYYY)  Residential address
		Country of birth		
		ID issuing country		
_	your controlling person tax reside			
Un 	nited States TIN number (United	ed States)		
	hers			
Co	ountry 1 TIN nu	ımber	Country 2	TIN number
If no TIN in country/jurisdiction		If no TIN in country/jurisdiction		
Ocuntry where the Individual is resident does not issue TINs.		Ocuntry where the Individual is resident does not issue TINs.		
C	No TIN is required. Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.		No TIN is required. Only select this reason if the authorities of the country of tax residence entered do not require the TIN to be disclosed.	
С	Individual is otherwise unable to obnumber. Provide details.			rwise unable to obtain a TIN or equivalent
		Signature		Signature
		Name		Name
		IVALLIC		1441116
				<u> </u>

Date (DD/MM/YYYY)

Date (DD/MM/YYYY)