

# Self-Certification (CRS, FATCA)

## Entities and Legal Persons

To help protect the integrity of tax systems, governments around the world have introduced legislation and bilateral agreements to implement mandatory reporting standards for financial institutions. As a consequence, Anglo Austrian is obliged to request the following information from their clients. For further information, please visit the websites of the [OECD](#) and the [IRS](#) or ask your tax advisor.

### 1. Account Holder

Account or Client No. →

NAME AND REGISTERED OFFICES		
Legal name →		
Street address →		
Postal code →	Place →	Country of incorporation →
Website →	Generic E-Mail →	@
DOMICILE, IF DIFFERENT		
Street address →		
Postal code →	Place →	Country →

### 2. Country of Residence for Tax Purposes

DOMESTIC TAX RESIDENT IN AUSTRIA		
The above Entity is <b>sole resident for tax purposes in Austria</b> . <input type="checkbox"/> Yes <input type="checkbox"/> No		
FOREIGN TAX RESIDENT IN AUSTRIA		
If the Entity has one or more <b>fiscal residencies in countries other than Austria</b> , please provide a list of all countries where the entity is resident for tax purposes and provide its TINs (Taxpayer Identification Numbers). If you are unable to provide a TIN, please check one of the boxes A/B/C and submit the specific reason.		
TAX RESIDENCY	TIN	NO TIN, BECAUSE ..
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
<p><b>A</b> The country where the Entity is liable to pay taxes does not issue TINs to its residents.</p> <p><b>B</b> The account holder is otherwise unable to obtain a TIN or a functional equivalent, because →</p>		

### 3. FATCA and CRS Status

<input type="checkbox"/> <b>US - PERSONS</b>	
Is the Entity incorporated, organized or resident in the US? - If yes, please attach W-9 IRS form and indicate ...	<input type="checkbox"/> Yes <input type="checkbox"/> No
... whether the Entity is ...	<input type="checkbox"/> a FATCA Specified US Person <input type="checkbox"/> a FATCA Non- Specified US Person
<input type="checkbox"/> <b>FINANCIAL INSTITUTIONS</b>	
<input type="checkbox"/> Entity is a US financial institution (US FI) (If so, please attach an IRS W-series form)	
<input type="checkbox"/> Entity is a registered foreign financial institution (FFI)	<input type="checkbox"/> Participating FFI (Final Regulations environment)
Please provide GIIN →	<input type="checkbox"/> Reporting Model 1 FFI (IGA 1 environment)
	<input type="checkbox"/> Reporting Model 2 FFI (IGA 2 environment)
<input type="checkbox"/> Entity is a Non-Reporting IGA FFI (including IGA exempted pension funds)	
Please provide the Entity's status allowing for an IGA exemption →	
If you are an FFI treated as a registered deemed-compliant FFI under an Model 2 IGA, provide your GIIN →	
<input type="checkbox"/> Entity is a Non-Participating FFI (NPPFI)	
<input type="checkbox"/> Entity is Other FFI (certified deemed-compliant FFI, sponsored FFI, please submit additionally a W-8 series IRS Form)	
Is the Entity an Investment Entity and managed by another Financial Institution?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, is the Entity located in a Non-Participating Jurisdiction? (If Yes see section 4 below)	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> <b>ENTITY EXEMPTED UNDER FATCA AND CRS</b>	
<input type="checkbox"/> Corporation that is publicly traded or its affiliate. Name one exchange where its stock is traded →	
<input type="checkbox"/> Governmental entity (or their wholly owned Entities)	
<input type="checkbox"/> Central Bank (or their wholly owned Entities)	
<input type="checkbox"/> International Organisation (or their wholly owned Entities)	
<input type="checkbox"/> <b>ACTIVE NON-FINANCIAL ENTITY (ACTIVE NFFE)</b>	
<input type="checkbox"/> Active NFFE by reason of income and assets	
<input type="checkbox"/> Non-Profit Organisation	
<input type="checkbox"/> Other Active NFFE. Please provide exact status →	
<input type="checkbox"/> <b>PASSIVE NON-FINANCIAL ENTITY (PASSIVE NFFE)</b>	
If the Entity is exempt please complete the Appendix for each controlling person.	
If the Entity is a FATCA Direct reporting Passive NFFE, please provide its GIIN →	
(If the Direct Reporting Passive NFFE does not have any GIIN, please submit additionally a W-8BEN-E IRS Form)	

## 4. Controlling Persons

If any of the following criteria are met, please provide tax information on each Controlling Person on a separate form (Individual Tax Residency Self-Certification Form) or use the attached Appendix. This documentation is required if the Entity is a

- Passive Non-Financial Entity or
- An Investment Entity meeting all of the following criteria:
  - ◆ It is an investment entity whose gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets;
  - ◆ It is managed by a Financial Institution;
  - ◆ At least one of the countries of Tax Residence declare above is not an CRS Participating Jurisdiction

## 5. Privacy notice and confidentiality

In order to comply with its obligations under national laws and international tax information exchange agreements Anglo Austrian, the data controller, may be required to collect, process and disclose information contained in this form and information regarding the Entity's account(s) to the national tax authority or other competent authorities which may provide such information to the country or countries where the Entity and/or Controlling Persons is/are resident for tax purposes.

The requested information, except TINs of Controlling Persons issued by countries which are not Reportable Jurisdictions as of the date hereof, is compulsory and failure to complete this form could mean that Anglo Austrian may not be able to process your application.

## 6. Certification

[I or we] declare that [I or we] have examined the information on this form and that to the best of [my/our] knowledge and belief, it is true, correct and complete.

[I or we] undertake to notify Anglo Austrian promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide Anglo Austrian with a new self-certification within 30 days of such change in circumstances.

[I or we] acknowledge and agree to the collection, processing and disclosure of information contained in this form, including TINs of Controlling Persons issued by countries which are not considered as reportable as of the date hereof, and information regarding the Entity's account(s) for the purposes indicated in Section 5 above.

[I or we] certify that the Entity has obtained consent of each Controlling Person to the collection, processing and disclosure of his/her personal information indicated in the attached Individual Tax Residency Self-Certification Forms (if any) and undertake to inform each Controlling Person about his/her data protection rights as set out in Section 5 above.

Signature →

-----

Full Name →

Capacity →

-----

Date / Time →

Place →

-----

Signature →

-----

Full Name →

Capacity →

-----

Date / Time →

Place →

-----

Consultant Name →

Consultant's signature →

-----

## Appendix – Controlling Persons

Please provide the information required below for each Controlling-Person. For a definition of the term “Controlling Person”, please refer to the Definitions Appendix below. If one of the Controlling-Persons is a US Person please provide additionally the amount of the shares in percentage and submit a IRS Form W9 and a FATCA Consent to Report for each US Person. Please add additional sheets if required.

<b>CONTROLLING PERSON ①</b>		Share → %
<input type="checkbox"/> Ms <input type="checkbox"/> Mr    Name →	Acad. titles →	
First name(s) →	Date of birth →	
Place of birth →	Country of birth →	Nationality →
PERMANENT ADDRESS		
Street name →		Street no. →
ZIP →	Place →	Country →
TAX RESIDENCY	TIN	NO TIN, BECAUSE ..
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
<p><b>A</b> The country where the account holder is liable to pay taxes does not issue TINs to its residents.</p> <p><b>B</b> The account holder is otherwise unable to obtain a TIN or a functional equivalent, because →</p>		

<b>CONTROLLING PERSON ②</b>		Share → %
<input type="checkbox"/> Ms <input type="checkbox"/> Mr    Name →	Acad. titles →	
First name(s) →	Date of birth →	
Place of birth →	Country of birth →	Nationality →
PERMANENT ADDRESS		
Street name →		Street no. →
ZIP →	Place →	Country →
TAX RESIDENCY	TIN	NO TIN, BECAUSE ..
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]
<p><b>A</b> The country where the account holder is liable to pay taxes does not issue TINs to its residents.</p> <p><b>B</b> The account holder is otherwise unable to obtain a TIN or a functional equivalent, because →</p>		

CONTROLLING PERSON ③		Share →	%
<input type="checkbox"/> Ms <input type="checkbox"/> Mr Name →		Acad. titles →	
First name(s) →		Date of birth →	
Place of birth →	Country of birth →	Nationality →	
PERMANENT ADDRESS			
Street name →		Street no. →	
ZIP →	Place →	Country →	
TAX RESIDENCY	TIN	NO TIN, BECAUSE ..	
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]	
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]	
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]	
<p><b>A</b> The country where the account holder is liable to pay taxes does not issue TINs to its residents.</p> <p><b>B</b> The account holder is otherwise unable to obtain a TIN or a functional equivalent, because →</p>			

CONTROLLING PERSON ④		Share →	%
<input type="checkbox"/> Ms <input type="checkbox"/> Mr Name →		Acad. titles →	
First name(s) →		Date of birth →	
Place of birth →	Country of birth →	Nationality →	
PERMANENT ADDRESS			
Street name →		Street no. →	
ZIP →	Place →	Country →	
TAX RESIDENCY	TIN	NO TIN, BECAUSE ..	
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]	
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]	
		<input type="checkbox"/> A <input type="checkbox"/> B [see below]	
<p><b>A</b> The country where the account holder is liable to pay taxes does not issue TINs to its residents.</p> <p><b>B</b> The account holder is otherwise unable to obtain a TIN or a functional equivalent, because →</p>			

NOTE:

A default version of this form and a list of definitions are available at

[https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/CRS\\_ENTITIES\\_Self-Cert\\_Form.pdf](https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/CRS_ENTITIES_Self-Cert_Form.pdf)