

SELF-CERTIFICATION FORM FOR INDIVIDUALS ¹

International Investment Platform, o.c.p., a.s. with registered office at Einsteinova 24, 851 01 Bratislava („IIP“) is obliged under the Agreement between the Slovak Republic and USA on Automatic Exchange of Financial Account Information (Foreign Account Tax Compliance Act or “FATCA”), the Convention on Mutual Administration Assistance in Tax Matters setting up Common Reporting Standards (“CRS”) and the respective national legal regulation² to improve International Tax Compliance and to collect certain information about each Account holder’s tax arrangements.

Please, complete the sections below as directed and provide any additional information as requested. Please note, that in certain circumstances we may be obliged to share this information with relevant tax authorities.

If any of the information below about the Account holder’s Tax residency or FATCA classification changes in the future, please ensure that we are advised of these changes promptly.

Part I Identification of Beneficial Owner

1. Title: _____ Surname: _____

First name(s): _____

2. Country of citizenship: _____

3. Permanent residence address (street, apt. or suite no., or rural route) **Do not use a P.O. box or in-care-of address.**

Street, Number: _____

City: _____ Post code: _____ Country: _____

4. Mailing address (if different from above)

Street, Number: _____

City: _____ Post code: _____ Country: _____

5. U.S. taxpayer identification number (SSN or ITIN), if required: _____

6. Foreign tax identifying number: _____

7. Reference number(s): _____

8. Date of birth: _____ 9. Place of birth: _____

Part II Claim of Tax Treaty Benefits (for FATCA purposes)

10. I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

11. **Special rates and conditions** (if applicable): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article:

Part III Self certification for CRS purposes

Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent (“TIN”)

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder’s TIN for each country/Reportable Jurisdiction indicated. Countries/ Jurisdictions adopting the wider approach may require that self-certification include a tax identifying number for each jurisdiction of residence (rather than for each Reportable the Jurisdiction). If the Account Holder is not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or jurisdiction in which its principal office is located.

If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet

If a TIN is unavailable please provide the appropriate reason **A, B or C where appropriate:**

Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you

have selected this reason)

Reason C - No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1		
2		

Please explain in the following boxes why you are not able to obtain a TIN if you selected Reason B above.

1
2

Part IV Certification & Declaration for FATCA and CRS

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner’s share of a partnership’s effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with IIP setting out how IIP may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities 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 tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Account Holder (or authorised to sign for the Account Holder) of all the account(s) to which this form relates.

Signatory Details

Date: _____ Capacity in which acting (if form is not signed by beneficial owner): _____

Print name of signer: _____ Signature of beneficial owner (or individual authorized to sign for beneficial owner): _____

¹ Further details and definitions can be found within (i) the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information, (ii) Foreign Account Tax Compliance Act and (iii) www.iiplt.com website where selected defined Terms are published. If you have any questions then please contact your tax adviser or domestic tax authority.

² Act no. 359/2015 Coll. on Automatic Exchange of Financial Account Information for the purpose of tax administration as amended and the Ministry of Finance of the Slovak Republic Regulation no. 446/2015 Coll. setting up the details of reviewing the Financial Accounts by the Reporting Institutions.