

To

Axis Bank Limited
Hong Kong branch
1707-08 Central Plaza
18 Harbour Road Wanchai
Hong Kong

REF NO: Customer ID _____

TAX SELF-CERTIFICATION—UNDER FATCA AND CRS -AEOI –CONTROLLING PERSON

Important Note:

This is a Self Certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

A controlling person should report all changes in his /her tax residency status to the reporting financial

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient , continue on additional sheet(s). Information in fields /parts marked with an asterisk(*) are required to be reported by the reporting financial institution to the Inland Revenue Department .

The financial institution needs to understand your Tax residency / Tax status in order to meet its obligations under law , including FATCA / Inland Revenue Ordinance for AEOI.

PART I Identification of Controlling Person

1	Name of the Controlling Person	
2	Hong Kong Identity card / Passport Number	
3	Current Residence Address*	Floor/ Building
		Street
		District
		State
4	Mailing Address*	Country
		Floor / Building
		Street
		District
5	Date of birth*	State
		Country
		Place of birth

Part 2 : The Entity Account Holder(s) of which you are a controlling person

Enter the name of the entity account holder of which you are a controlling Person.

Entity	Name of the Entity Account Holder
1	
2	
3	
4	



Part 3: Jurisdiction of Residence and Tax Payer Identification or its Functional Equivalent("TIN")

Complete the following table indicating

(a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated.

If the account holder is a tax resident of Hong Kong , the TIN is the Hong Kong Identity Card number.

If TIN is not available, provide the appropriate reason A, B or C

Reasons A – The jurisdiction where the account holder is a resident for tax purpose does not issue TINs to its residents.

Reason B----- The account holder is not able to obtain TIN Number . Explain the reasons for the same.

Reason C-----TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

SI No.	Jurisdiction of Residence/ Place of Effective Management (No abbreviations)	TIN (If available)	Address in the respective Jurisdiction	Aor B or C (if no TIN)	Explain if the Reasons is B.
1					
2					
3					
4					
5					

Part 4 Type of Controlling Person

Type of controlling Person	Entity 1	Entity 2	Entity 3
Type of Entity Legal Person			
Individual who has a controlling ownership interest (i.e not less than 25% of issued capital)			
Individual who exercises control / is entitled to exercise control (i.e not less than 25% of voting rights)			
Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity			
Type of Entity Trust			
Settlor			
Trustee			
Protector			
Beneficiary of member of the class			
Other (e.g individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)			
Type of Entity Non-Trust			
Individual in a Position equivalent /similar to settlor			
Individual in a Position equivalent /similar to trustee			
Individual in a position equivalent /similar to protector			
Individual in a position equivalent /similar to beneficiary or member of class of the class of beneficiaries			
Other (e.g individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)			



Part 5 Declarations and Signature

I acknowledge and agree that

- (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of an automatic exchange of financial account information .
- (b) FATCA –Foreign Account Compliance Act .
- (c) Such information and information regarding the account holder and any reportable accounts May be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes , pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am the controlling person / I am authorized to sign for the controlling person of all the account(s) to which this form relates.

I undertake to advise Axis Bank Hong Kong of any change in the circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Axis bank Hong Kong with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are , to the best of my knowledge and belief , true, correct and complete.

Signature	
Name of the Signatory	
Capacity	Indicate the capacity if you are not the individual identified in 1. If signing under power of attorney , attach a certified copy of the power of attorney
Date : dd/mm/yyyy	

WARNING : It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self certification, make a statement that is misleading , false , or incorrect particular AND Knows , or is reckless as to whether , the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable for conviction to a fine at a level 3 . (HKD 10000)



