

# FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") AND COMMON REPORTING STANDARD ("CRS") SELF-CERTIFICATION FORM INDIVIDUAL

## FATCA AND CRS SELF-CERTIFICATION FORM (INDIVIDUAL) INSTRUCTIONS

### Please read these instructions before completing the form.

- In compliance with relevant tax authorities requirement, Eastspring Investments Berhad is obliged to collect certain information about each investor's tax arrangement. Please complete the sections below as directed and provide any document that is requested. Please note that we may be legally obliged to share this information, and other financial information with respect to the financial accounts to which this form relates to Lembaga Hasil Dalam Negeri ("LHDN"), who in turn may share the information with relevant tax authorities of other jurisdictions where you are a tax resident.
- If you have any questions on how to define your tax residency status or US indicia, please consult your tax adviser or visit the OECD automatic exchange of information portal at (<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>) or IRS FATCA website (<https://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca>). Eastspring Investments Berhad does not provide tax advice.
- If any of the information provided changes or becomes incorrect due to change in circumstances, please advise of these changes promptly within 30 days from such changes with the supporting documents, as applicable.
- For joint account holders, each investor is required to complete this form.
- You may find summaries of key defined terms in the Appendix.
- **Please fill in this form if you are an individual account holder, sole trader or sole proprietor.**
- **If you are filling in this form on behalf of someone else:**
  - Please tell us in what capacity you are signing in Part 4.
  - For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.
  - A legal guardian should complete the form on behalf of an account holder who is a minor.

## APPENDIX – DEFINITIONS

**Note: These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found at the OECD automatic exchange of information portal or IRS FATCA website. If you have any questions then please contact your tax adviser or domestic tax authority.**

### Account Holder

The term "Account Holder" means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

### OECD

The Organisation for Economic Co-operation and Development (OECD) (French: Organisation de coopération et de développement économiques, OCDE) is an intergovernmental economic organisation with 35 member countries, founded in 1960 to stimulate economic progress and world trade.

### TIN

(including "functional equivalent") The term "TIN" means 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 identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

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.





A member of Prudential plc (UK)

Eastspring Investments Berhad (531241-U)
Level 12, Menara Prudential,
No. 10, Jalan Sultan Ismail, 50250 Kuala Lumpur
Client Services (603) 2332 1000
Client Services Fax (603) 2052 3366
Email cs.my@eastspring.com
Website www.eastspringinvestments.com.my

FATCA AND CRS
SELF-CERTIFICATION FORM
INDIVIDUAL

Please complete Part 1, 2, 3 and 4 in BLOCK CAPITALS.

PART 1 - IDENTIFICATION OF INDIVIDUAL ACCOUNT HOLDER

Account Holder Full Name
(as in NRIC/Passport/Business Registration Certificate)

Account Holder NRIC/Passport No./
Business Registration No.

PART 2 - FATCA DECLARATION OF U.S. CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES

Do you currently file a tax return in the United States?
Please tick (✓) the appropriate box.
Are you a US citizen or resident for tax purposes?

PART 3 - CRS DECLARATION OF TAX RESIDENCY

Note: You may indicate more than one country/jurisdiction.
Please indicate your/the investor's country of tax residence (if resident in more than one country, please detail all countries of tax residence and associated Tax Identification Numbers ("TINs")).
Account Holder with only tax-residency of Malaysia need not provide the TIN and reason.

Table with 3 columns: Country/Jurisdiction of tax residence, TIN, If no TIN available, please provide the appropriate reason. Rows 1-5.

PART 4 - DECLARATIONS AND UNDERTAKING

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 Eastspring Investments Berhad ("Eastspring") setting out how Eastspring may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided 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 am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, accurate and complete.

I undertake to advise Eastspring within 30 days of any change in circumstances which affects the US indicia/tax residency status of the Account Holder or causes the information contained herein to become incorrect or incomplete, and to provide Eastspring with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

Signature:
Name:
Date:

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity:

