





g. <input type="checkbox"/>	<b>Holding Group Service Company</b> • Substantially all of its activities consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, and • Does not operate as an investment fund, such as 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	Active NFE	
h. <input type="checkbox"/>	<b>Treasury / Financing Centre of Corporate Groups</b> • Primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and • The group of such Related Entities is primarily engaged in a business other than that of a Financial Institution, and • Does not provide financing or hedging services to any entity that is not a Related Entity	Active NFE	Active NFFE
i. <input type="checkbox"/>	<b>Start-up Company</b> • It is just starting and not yet in operations, and has no prior operating history; and • It is investing capital into assets with the intention to operate a business other than that of a Financial Institution; and • The date of its incorporation is not more than 24 months prior to the date of this Self-Certification Form	Active NFE	
<b>(B) Passive Non-Financial Entity</b>			
<input type="checkbox"/>	<b>Passive Investments</b> • Derives more than 50% of its gross income (for the previous calendar year) from passive income such as investments, dividends, interests, rents or royalties; or • Have more than 50% of its assets being used to produce passive income for the previous calendar year  Please complete Self Certification of Controlling Person (Entity Tax Residency) Form for each Controlling Person.	Passive NFE	Passive NFFE

Please list all jurisdictions where the Entity is a resident for tax purposes and the respective TIN for each jurisdiction.

	Country/Jurisdiction of Tax Residence	Tax Identification Number (TIN)	If TIN not available, indicate reason & explain as required	
			Reason A/B/C	Explain if Reason B is indicated
1.				
2.				
3.				

Reason A: The country where entity is liable to pay tax does not issue TINs to its residents.  
 Reason B: The Entity is otherwise unable to obtain a TIN or equivalent number.  
 Reason C: No TIN is required. This reason only applies if the authorities of the country of tax residence indicated do not require the TIN to be disclosed.

**Controlling Person(s) Declaration**

A controlling person refers to a natural person who exercises control over the entity (e.g. a holding of over 25% in the entity).

<b>Controlling Person 1</b>					
Name	Date of Birth	NRIC/Passport No			
Residential Address					
Country	Postal Code				
<b>Controlling Person Type</b> Please provide the Controlling Person's status by ticking the appropriate box. (Tick one only) <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top;"> <b>1. Legal Person</b>  <input type="checkbox"/> Ownership/Shareholder  <input type="checkbox"/> Senior Managing Official  <input type="checkbox"/> Other Means         </td> <td style="width: 33%; vertical-align: top;"> <b>2. Trust</b>  <input type="checkbox"/> Settlor  <input type="checkbox"/> Trustee  <input type="checkbox"/> Protector  <input type="checkbox"/> Beneficiary  <input type="checkbox"/> Other         </td> <td style="width: 33%; vertical-align: top;"> <b>3. Legal Arrangement (non-trust)</b>  <input type="checkbox"/> Settlor-Equivalent  <input type="checkbox"/> Trustee-Equivalent  <input type="checkbox"/> Protector-Equivalent  <input type="checkbox"/> Beneficiary-Equivalent  <input type="checkbox"/> Other-Equivalent         </td> </tr> </table>			<b>1. Legal Person</b> <input type="checkbox"/> Ownership/Shareholder <input type="checkbox"/> Senior Managing Official <input type="checkbox"/> Other Means	<b>2. Trust</b> <input type="checkbox"/> Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Protector <input type="checkbox"/> Beneficiary <input type="checkbox"/> Other	<b>3. Legal Arrangement (non-trust)</b> <input type="checkbox"/> Settlor-Equivalent <input type="checkbox"/> Trustee-Equivalent <input type="checkbox"/> Protector-Equivalent <input type="checkbox"/> Beneficiary-Equivalent <input type="checkbox"/> Other-Equivalent
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Controlling person 1 is tax resident of *(one or more)*

	Country/Jurisdiction of Tax Residence	Taxpayer Identification No. (TIN)	If TIN not available, indicate reason & explain as required	
			Reason A/B/C	Explain if Reason B is indicated
1				
2				
3				

Reason A: The country where entity is liable to pay tax does not issue TINs to its residents.  
 Reason B: The Entity is otherwise unable to obtain a TIN or equivalent number.  
 Reason C: No TIN is required. This reason only applies if the authorities of the country of tax residence indicated do not require the TIN to be disclosed.

**Controlling Person 2**

Name	Date of Birth	NRIC/Passport No
Residential Address		
Country	Postal Code	

**Controlling Person Type**  
 Please provide the Controlling Person's status by ticking the appropriate box. *(Tick one only)*

1. Legal Person	2. Trust	3. Legal Arrangement (non-trust)
<input type="checkbox"/> Ownership/Shareholder	<input type="checkbox"/> Settlor	<input type="checkbox"/> Settlor-Equivalent
<input type="checkbox"/> Senior Managing Official	<input type="checkbox"/> Trustee	<input type="checkbox"/> Trustee-Equivalent
<input type="checkbox"/> Other Means	<input type="checkbox"/> Protector	<input type="checkbox"/> Protector-Equivalent
	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Beneficiary-Equivalent
	<input type="checkbox"/> Other	<input type="checkbox"/> Other-Equivalent

Controlling person 2 is tax resident of *(one or more)*

	Country/Jurisdiction of Tax Residence	Taxpayer Identification No. (TIN)	If TIN not available, indicate reason & explain as required	
			Reason A/B/C	Explain if Reason B is indicated
1				
2				
3				

Reason A: The country where entity is liable to pay tax does not issue TINs to its residents.  
 Reason B: The Entity is otherwise unable to obtain a TIN or equivalent number.  
 Reason C: No TIN is required. This reason only applies if the authorities of the country of tax residence indicated do not require the TIN to be disclosed.

**Controlling Person 3**

Name	Date of Birth	NRIC/Passport No
Residential Address		
Country	Postal Code	

**Controlling Person Type**  
 Please provide the Controlling Person's status by ticking the appropriate box. *(Tick one only)*

1. Legal Person	2. Trust	3. Legal Arrangement (non-trust)
<input type="checkbox"/> Ownership/Shareholder	<input type="checkbox"/> Settlor	<input type="checkbox"/> Settlor-Equivalent
<input type="checkbox"/> Senior Managing Official	<input type="checkbox"/> Trustee	<input type="checkbox"/> Trustee-Equivalent
<input type="checkbox"/> Other Means	<input type="checkbox"/> Protector	<input type="checkbox"/> Protector-Equivalent
	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Beneficiary-Equivalent
	<input type="checkbox"/> Other	<input type="checkbox"/> Other-Equivalent



Controlling person 3 is tax resident of *(one or more)*

	Country/Jurisdiction of Tax Residence	Taxpayer Identification No. (TIN)	If TIN not available, indicate reason & explain as required	
			Reason A/B/C	Explain if Reason B is indicated
1				
2				
3				

Reason A: The country where entity is liable to pay tax does not issue TINs to its residents.

Reason B: The Entity is otherwise unable to obtain a TIN or equivalent number.

Reason C: No TIN is required. This reason only applies if the authorities of the country of tax residence indicated do not require the TIN to be disclosed.

**Declaration and Signature**

I/We undertake to notify Phillip Securities Pte Ltd within 30 days of any changes to the Account Holder's or a Controlling Person's country of residence for tax purposes or TIN (if any) and to complete, sign and submit to Phillip Securities the relevant particulars of the Account Holder or Controlling Person relating to such change, in order to fulfil its reporting obligations. I/we further undertake to provide Phillip Securities any documents and information that may be required in relation to the change of the Account Holder's or Controlling Person's country of residence for tax purpose.

I/We acknowledge that the information contained in this form and information regarding the Account Holder 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 where those countries/jurisdiction (or tax authorities in those countries/jurisdictions) have entered into Agreements to exchange financial account information with the country(ies)/jurisdiction(s) in which this account(s) is/are maintained.

I/We certify that I am/ we are authorized to sign on behalf of the Account Holder in respect of all the accounts to which this form relates and warrant that I have obtained the consent of any individual named in this form or have the right to consent on his/her behalf to such collection, use, disclosure and processing of his/her personal data by Phillip Securities for the purposes of this certification.

**I/We declare that all statements made in this declaration are to the best of my/our knowledge and belief correct and complete.**

\_\_\_\_\_  
 Authorised Signatory  
 Date (DD/MM/YYYY):

\_\_\_\_\_  
 Authorised Signatory  
 Date (DD/MM/YYYY):