



**Form for determining the ultimate beneficial owner of the entities in accordance with art. 3 sect. 1 letter a of the Due Diligence Ordinance (form C) incl. tax-relevant details**



Client designation

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RM

Initials RM

Client no.

Entity or account holder<sup>1</sup>

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Mandate or account number

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As beneficial owner in accordance with art. 3 sect. 1 letter a of the Due Diligence Ordinance, the following was determined:

- a natural person who ultimately owns or controls, either directly or indirectly, shares, voting rights or ownership interests of 25% or more in this entity or who is entitled to 25% or more of the entity's profits
- a natural person who ultimately owns or controls an entity through some other means
- a natural person who is a member of the executive body if – after having exhausted all possible means and provided that there are no grounds for suspicion – none of the abovementioned persons has been determined

Surname (official last name(s)) \_\_\_\_\_

First name (official first name(s)) \_\_\_\_\_

Street \_\_\_\_\_

Postal code \_\_\_\_\_

Place \_\_\_\_\_

Country of domicile \_\_\_\_\_

Nationality \_\_\_\_\_

Date of birth \_\_\_\_\_

In the event of determining a member of the executive body as the beneficial owner, confirmation is provided by way of signature that the clarifications made have not given rise to any circumstances that would have to lead one to conclude that beneficial owners exist holding – notably indirectly – shares, voting rights, ownership interests or profit rights or having control in some other way.

<sup>1</sup> In the case of other designations, the name of the account holder must be stated as a mandatory requirement.

## 1 Declaration of tax-relevant details

By way of the signing of this form, the entity/account holder confirms that the country of domicile stated above is the country of residence for tax purposes of the abovementioned natural person insofar as no deviating country of residence for tax purposes was stated under 1.1 Country of residence for tax purposes.

*The following sections (numbers 1.1 to 1.3) must only be completed if the country of residence indicated above does not correspond to the country of residence for tax purposes of the abovementioned natural person or if indication of the tax residence and tax identification number (TIN) is required in connection with the national implementation law for the automatic exchange of information on the basis of the international OECD common reporting standard (CRS). This will be the case if the entity qualifies either as a passive non-financial entity ("passive NFE"), or as an investment entity in a non-participating jurisdiction whose controlling person(s) is/are resident in a reportable jurisdiction, for the purpose of the common reporting standard for the automatic exchange of information. The determination as to whether, for the purpose of the automatic exchange of information, the entity concerned is a passive NFE or an investment entity, is to be made by the entity/account holder via the separate form "Classification of an entity in connection with the application of the automatic exchange of information in tax matters".*

### 1.1 Country of residence for tax purposes

Should the country of domicile stated above of the abovementioned natural person *deviate* from their tax residence, the entity/account holder has to indicate their country of residence for tax purposes as follows:

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### 1.2 Tax identification number («TIN»)

TIN of the above-mentioned person: \_\_\_\_\_

If no TIN is available, this has to be justified as follows (please tick as appropriate):

- The country of residence does not issue TINs.  
 It is impossible for the abovementioned person to obtain a TIN for the following reason:

Explanation: \_\_\_\_\_

### 1.3 Additional countries of residence for tax purposes and tax identification numbers

The entity/account holder hereby confirms that, in addition to the country of residence stated above, the abovementioned natural person is also resident in the following countries for tax purposes:

Country of residence for tax purposes: _____	TIN of the above- mentioned person _____
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If no TIN is available, this has to be justified as follows (please tick as appropriate):

- The country of residence does not issue TINs.  
 It is impossible for the abovementioned person to obtain a TIN for the following reason:

Explanation: \_\_\_\_\_

Country of residence for tax purposes: _____	TIN of the above- mentioned person _____
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If no TIN is available, this has to be justified as follows (please tick as appropriate):

- The country of residence does not issue TINs.  
 It is impossible for the abovementioned person to obtain a TIN for the following reason:

Explanation: \_\_\_\_\_

Country of residence  
for tax purposes: \_\_\_\_\_

TIN of the above-  
mentioned person: \_\_\_\_\_

If no TIN is available, this has to be justified as follows (please tick as appropriate):

- The country of residence does not issue TINs.
- It is impossible for the abovementioned person to obtain a TIN for the following reason:

Explanation: \_\_\_\_\_

## 2 Declaration

The entity/account holder confirms herewith that the information contained herein has been provided to the best of their knowledge and belief. The reporting financial institution cannot be held responsible for incorrect reporting based on incomplete, incorrect or misleading details provided by the entity/account holder. The entity/account holder confirms that their sole responsibility is to inform the bank, without delay and on its own initiative, at the latest within 30 days after the occurrence of a change in the circumstances impacting on the details and information provided in this form. In the case of such change in circumstances, the entity/account holder must provide the bank with a new form for identifying the ultimate beneficial owner of entities in accordance with art. 3 sect. 1 letter a SPV (form C) including the declaration of tax-relevant details concerning controlling persons in connection with the application of the automatic exchange of information.

The entity/account holder acknowledges that in cases where the relevant tax jurisdictions and the Principality of Liechtenstein have signed corresponding agreements on implementing the automatic exchange of information, the bank may be obliged to disclose information contained on this form and details of this banking relationship to the Liechtenstein tax authorities, to be passed on to the tax authorities in the abovementioned natural person's tax residences.

The wilful stating of incorrect information in this form is a criminal act in accordance with the Liechtenstein Criminal Code.

\_\_\_\_\_  
Name(s) of the person(s) signing in block letters

\_\_\_\_\_  
Place/Date

\_\_\_\_\_  
For the entity/account holder