

ENTITIES SELF-CERTIFICATION

I – IDENTIFICATION

Legal Name of entity

Country of incorporation or organisation

Permanent address

Number, Street

Postal Code

City/Province/State

Country

Mailing address
(Please complete if different to the address shown in section "Permanent Address" above, other than a P.O. Box address [unless this is your registered address] or a "Care of" address)

Number, Street

Postal Code

City/Province/State

Country

II – TAX RESIDENCY

Tax regulations require BNP Paribas SA and Subsidiaries to collect certain information on their client's tax status. Please provide in the table below the list of ALL the Countries where the entity is resident for tax purposes and indicate its TIN (Taxpayer Identification Numbers).

COUNTRY/COUNTRIES OF TAX RESIDENCE	TAXPAYER IDENTIFICATION NUMBER(S) (TIN)*

** Please indicate N/A if the Country of Tax Residence does not issue a TIN*

If you were unable to obtain a TIN from your Tax authority, although your Tax Residence(s) issue(s) TINs, please state the reason below:

Is the Entity incorporated, organized or resident in the US ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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If Yes, please:

- Additionally fill a W-9 IRS Form, **and**
- Indicate whether the entity is a:
 - a FATCA Specified US person
Please see User Guide for additional guidance and complete the FATCA Annex 1 if needed.
 - a FATCA Non-specified US person

III – FATCA AND AEOI STATUSES

Please indicate the status of the entity by ticking one single type of entity below (A, B, C or D) and provide the additional information required (where applicable) for the selected type.

(A) Financial Institution

FATCA TYPE OF FINANCIAL INSTITUTION (PLEASE TICK ONLY ONE BOX)

- US Financial Institution (US FI) (Please submit additionally an IRS W9 form)
- Foreign Financial Institution (FFI)
 - Registered FFI:
 - Participating FFI (Final Regulations environment)
 - Reporting Model 1 FFI (IGA 1 environment)
 - Reporting Model 2 FFI (IGA 2 environment)
 For any of the three types of Registered FFI above, please provide it's the Global Intermediary Identification Number ("GIIN") below :

 - - -
 - Non-Reporting IGA FFI (including IGA exempted pension funds)

Please provide the entity status allowing for an IGA exemption : _____

If you are an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA, provide your GIIN:

 - - -
- Non-Participating FFI (NPFFI)
- Other FFI (certified deemed-compliant FFI, sponsored FFI, FI with a Local Client Base...): Please submit additionally a W-8 series IRS Form

Is the Entity An Investment Entity and managed by another Financial Institution ? YES NO

If Yes, is the Entity located in a Non-Participating Jurisdiction? (see list in form guidance): YES NO

- If Yes, then the Entity is considered as a Passive NFE under the AEOI and the Section IV and the Table in "Appendix A" must be completed.

(B) Entity exempted under FATCA and AEOI

TYPE OF EXEMPTED ENTITY

- Corporation that is publicly traded or an affiliate of a publicly traded corporation

Please specify below one of the securities exchange upon which the stock is regularly traded : _____
- Governmental entity (or their wholly owned Entities)
- Central Bank (or their wholly owned Entities)
- International Organisation (or their wholly owned Entities)

(C) Active Non-Financial Entity (Active NFE)

TYPE OF ACTIVE NFE (OTHER THAN (B))

- Active NFE by reason of income and assets
- Non-Profit Organisation
- Holding NFEs that are members of a nonfinancial group;
- Start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy; or
- Treasury Centres that are members of a nonfinancial group;

(D) Passive Non-Financial Entity (Passive NFE) (other than (A) and (B))

- Please complete Section IV below and Appendix A (List of Entity's Controlling Persons).
- If the Entity is a FATCA Direct reporting Passive NFFE, please provide its GIIN below :

- - -

IV – INFORMATION ON CONTROLLING PERSONS

Using the table presented in **Appendix A**, please indicate the Controlling Persons of the Entity if it is any of the following:

- **Passive Non-Financial Entity (Status D of Section III)**
For Passive NFFE with US Controlling Person, please see User Guide for additional guidance and complete the FATCA Annex 2
- **Investment Entity (A) meeting all the following criteria:**
 - It is an Investment entity whose gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets, **AND**
 - It is managed by a Financial Institution, **AND**
 - At least one of the countries of Tax Residence declared in section II is not an AEOI Participating Jurisdiction (see list in form guidance)

V – PRIVACY NOTICE AND CONFIDENTIALITY

In order to comply with its obligations under national laws and regulations and international tax information exchange agreements BNP Paribas SA and Subsidiaries, the data controller, may be required to collect, process and disclose information contained in this form and information regarding the entity's account(s) to the national tax authority or other competent authorities which may provide such information to the country or countries where the entity and/or Controlling Persons is/are resident for tax purposes.

The requested information is compulsory and failure to complete this form could mean that BNP Paribas SA may not be able to process your application.

Personal data provided herein will be collected, processed and disclosed in accordance with Data Protection Notice available at [Data Protection Notice - BNP Paribas CIB](#). In accordance with [relevant legislation], Controlling Persons may have a right of access, rectification and objection that may be exercised by writing to/contacting [address].

Appendix B: Reporting Back Contact

Please complete your Entity’s Contact Person details to which all future Tax Compliance Information and requests should be addressed. The contact details are **mandatory** for statuses Active NFE, Passive NFE and Investment Entities considered as Passive NFE.

Legal Name of entity	
Entity Registration Number	

Contact Details

First Name	
Last Name	
Department	
Address	
Postal Code	
City/Province/State	
Country	
Email	

FATCA Annex 1 - Form of letter to be executed by a U.S. Specified Person within the meaning of the FATCA legislation

For the attention of BNPP group (SA head office, including all of its branches and its existing subsidiaries¹), the Group

We, undersigned [**company name, legal form, registered head office, registration references**]

Confirm that we are informed that the United States (US) tax authorities have enacted tax regulations which aim at fighting against tax evasion and apply to US legal entities outside the USA. In particular, a tax legislation² commonly named FATCA has been adopted on the 18th of March 2010 and imposes certain obligations on non US financial institutions, including [The Group], in relation to all accounts held by and transactions entered into with US persons.

Pursuant to these requirements, (i) due diligence and control processes need to be implemented for the purpose of identifying US legal entities subject to the US tax legislation ("US Client"), and (ii) a reporting mechanism on an ongoing basis in respect of these US Clients to the US tax authorities needs as well to be performed.

Such reporting will include information relating to the US Client (data such as name, address, TIN) and the relevant account(s) (account number, balances of cash and securities accounts, all transactions related to such account, etc.) and/or value of financial contracts.

In the absence of a valid banking secrecy/confidentiality waiver from any US Client or the remittance of any information required under US tax law, The Group may be compelled to (i) close the relevant account(s) and/or (ii) terminate the contractual relationship with the Client. In the meantime, the US tax authorities require The Group to withhold a tax on their behalf and for their account (at a rate of up to 30% operated by debit of the client's account or transaction flows).

As regards our account(s) or any transaction we may enter (or have entered) into with The Group, we hereby represent that we are fully aware of the tax and other regulatory requirements pertaining to the US Client status within the meaning of the FATCA legislation, and in particular, we are informed of the reporting and other updated information to be provided to the US tax authorities by The Group as above mentioned. We shall fully abide by, and comply with, such requirements. In particular, we undertake to provide The Group with updated information in case of any change of our status and with any document that may be relevant for FATCA purposes.

We hereby authorise The Group to debit the abovementioned withholding amounts in case of our non-compliance with the FATCA requirements.

We hereby accordingly waive our right to banking secrecy and confidentiality and authorize the Group to disclose and transfer within the group, or to the US tax authorities or any immediate payor, as long as required by the US statute of limitations, all information relating to our data and our accounts (account number, cash balances, securities accounts and detailed debit and credit, etc.); our transactions with [The Group] and/or our FATCA classification

This letter is governed by [French] law and any dispute in connection therewith shall be submitted to the exclusive jurisdiction of the [commercial court of Paris].

Yours sincerely

Place: _____ Date: _____

Company name: _____

Represented by _____

Name, First name _____

Title _____

X _____

Signature

¹ listed in the User Guide

² Cf. the Foreign Account Tax Compliance Act (FATCA) provisions which are inserted in the Hiring Incentives to Restore Employment Act.

FATCA Annex 2 - Confidentiality Waiver for Passive NFFE with Substantial U.S. Owners or U.S. Controlling Person

Form of letter to be executed by a US Owned foreign Legal entity within the meaning of the FATCA legislation

For the attention of BNPP group (SA head office, including all of its branches and its existing subsidiaries³), the Group

We, undersigned

Company name: _____

Legal form: _____

Registered head office: _____

Registration references: _____

GIIN, LEI or other registration number

Confirm that we are informed that the United States (US) tax authorities have enacted tax regulations which aim at fighting against tax evasion and apply to US legal entities outside the USA as well as to US owned foreign entities (non-US entities which have one or more substantial US owners). For the purpose of this waiver, a substantial US owner is any person which, directly or indirectly, owns either (i) with respect to any corporation, more than 10 percent of the stock of such corporation (by vote or value), or (ii) with respect to any partnership, more than 10 percent of the profits interests or capital interests in such partnership.

In particular, a tax legislation⁴ commonly named FATCA has been adopted on the 18th of March 2010 and imposes certain obligations on non US financial institutions, including the Group, in relation to all accounts held by and transactions entered into with US persons and/or US owned foreign legal entities.

Pursuant to these requirements, (i) due diligence and control processes need to be implemented for the purpose of identifying US owned foreign entities ("Client") together with the relevant substantial US owner(s), and (ii) a reporting mechanism on an ongoing basis in respect of these Clients or the relevant substantial US owner(s) to the US tax authorities needs as well to be performed.

Such reporting will include information relating to the substantial US owner(s) (data such as name, address, TIN) and the relevant account(s) of the Client (account number, balances of cash and securities accounts, all transactions related to such account, etc.) and/or value of financial contracts.

In the absence of a valid banking secrecy/confidentiality waiver from the Client (including the confirmation by the client that the substantial US owner(s) has/have given their express consent to the reporting to the US tax authorities) or the remittance of any updated information required under US tax law, the Group may be compelled to (i) close the relevant account(s) and/or (ii) terminate the contractual relationship with the Client. In the meantime, the US tax authorities may require the Group to withhold a tax on their behalf and for their account (at a rate of up to 30% operated by debit of the Client's account or transaction flows).

As regards our account(s) or any transaction we may enter (or have entered) into with the Group, we hereby represent that we are fully aware of the tax and other regulatory requirements pertaining to the US Client status within the meaning of the FATCA legislation, and in particular, we are informed of the reporting and other updated information to be provided to the US tax authorities by the Group as above mentioned. We shall fully abide by, and comply with, such requirements.

³ listed in User Guide to Confidentiality Waivers

⁴ Cf. the Foreign Account Tax Compliance Act (FATCA) provisions which are inserted in the Hiring Incentives to Restore Employment Act and the related tax instructions.

In particular, we undertake to provide the Group with updated information in case of any change of our status and with any document that may be relevant for FATCA purposes including with regard to the substantial US owner(s). We hereby authorise the Group to debit the abovementioned withholding amounts in case of our non-compliance with the FATCA requirements.

We hereby accordingly waive our right to banking secrecy and confidentiality and authorize the Group to disclose and transfer within the Group, or to the US tax authorities or any immediate payer, as long as required by the US statute of limitations, all information relating to our data and our accounts (account number, cash balances, securities accounts and detailed debit and credit, etc.); our transactions with the Group and/or our FATCA classification, and all the information relating to the substantial US owner(s).

We hereby declare and warrant that our substantial US owner(s):

- 1- is (are) duly informed of the FATCA legislation, and,
- 2- has (have) given us its (their) express consent, if relevant and in accordance with the relevant applicable data protection and/or professional secrecy legislation, for its (their) data (e.g. name, address, TIN) and relevant documentation and/or information to be collected and reported to the IRS for FATCA purposes.

Furthermore, we undertake to provide the Group upon request with the original or duly certified copy (ies) of the aforementioned documentation and/or information, including the aforementioned consent(s) with respect to our current and future substantial US owner(s).

The undertakings referred to in this waiver apply with regard to any current and subsequent substantial US owners.

This letter is governed by banking secrecy/confidentiality law(s) applicable to any contractual transaction impacted by a FATCA obligation and any dispute in connection therewith shall be submitted to the exclusive jurisdiction of the competent court as determined by such relevant banking secrecy/confidentiality law.

Yours sincerely,

Place: _____ Date _____
Company name: _____
Represented by _____
Name, First name _____
Title _____

X _____
Signature

Template 1 - Letter to be executed by Passive NFEs

[Letterhead of the Entity]

For the attention of: [Reporting Financial Institution A]

[Place/Date]

We, [name of the company, legal form, address, registration number] (the "Entity"), have been informed that laws and regulations implementing the FATCA Intergovernmental agreement, the Common Reporting Standard which is a part of the Standard on automatic exchange of financial information in tax matters approved by the OECD Council on 15 July 2014 and, where applicable, the Council Directive 2011/16/EU on administrative cooperation in the field of taxation (the "Regulations")

- require, among other things, the Reporting financial institution (the "RFI") to apply due diligence procedures aiming at identifying Reportable accounts and to report certain information to the relevant competent authorities; and
- allow the RFI to use service providers to fulfil some or all of their due diligence and reporting obligations (the obligations remain however the responsibility of the RFI).

We hereby waive our right to banking/professional secrecy and confidentiality and expressly agree that, for the due diligence and/or reporting purposes related to the automatic exchange of information in the field of taxation, personal data and information on the Entity, its Controlling persons and Entity's accounts, which is required to be collected and reported in accordance with Regulations, may be processed by and shared with any entity within the BNP Paribas Group and/or any third party services provider acting under the control of BNP Paribas Group.

We acknowledge that:

- the data controller is [name and legal form of the Reporting Financial Institution A];
- Controlling persons have a right of access and rectification that may be exercised by writing to/contacting [address of the Reporting Financial Institution A]; and
- personal information related to Controlling persons may be transferred in connection with the above purposes to a destination outside the [European Economic Area].

We certify that the Entity has obtained appropriate consent of each Controlling person, where necessary and in accordance with the relevant professional secrecy and/or data protection legislation, for information to be processed by and shared with any entity within the BNP Paribas Group and any third party services provider acting under the control of BNP Paribas Group for the purposes set out above.

This letter is governed by [country A] law.

The courts of [country A] have exclusive jurisdiction to settle any dispute arising out of or in connection with this letter.

Yours faithfully,

For and on behalf of the Entity

By

By

Title

Title

Signature

Signature

Template 2 - Letter to be executed by legal entities, except Passive NFEs

[Letterhead of the Entity]

For the attention of: [Reporting Financial Institution A]

[Place/Date]

We, [name of the company, legal form, address, registration number] (the "Entity"), have been informed that laws and regulations implementing the FATCA Intergovernmental agreement, the Common Reporting Standard which is a part of the Standard on automatic exchange of financial information in tax matters approved by the OECD Council on 15 July 2014 and, where applicable, the Council Directive 2011/16/EU on administrative cooperation in the field of taxation (the "Regulations")

- require, among other things, the Reporting financial institution (the "RFI") to apply due diligence procedures aiming at identifying Reportable accounts and to report certain information to the relevant competent authorities; and
- allow the RFI to use service providers to fulfil some or all of their due diligence and reporting obligations (the obligations remain however the responsibility of the RFI).

We hereby waive our right to banking/professional secrecy and confidentiality and expressly agree that, for the due diligence and/or reporting purposes related to the automatic exchange of information in the field of taxation, information on the Entity and its accounts, which is required to be collected and reported in accordance with Regulations, may be processed by and shared with any entity within the BNP Paribas Group and/or any third party services provider acting under the control of BNP Paribas Group.

This letter is governed by [country A] law.

The courts of [country A] have exclusive jurisdiction to settle any dispute arising out of or in connection with this letter.

Yours faithfully,

For and on behalf of the Entity

By

By

Title

Title

Signature

Signature

Template 3 - Letter to be executed by Individual Account Holders

For the attention of: [Reporting Financial Institution A]

[Place/Date]

I, [first name and last name of the account holder], have been informed that laws and regulations implementing the FATCA Intergovernmental agreement, the Common Reporting Standard which is a part of the Standard on automatic exchange of financial information in tax matters approved by the OECD Council on 15 July 2014 and, where applicable, the Council Directive 2011/16/EU on administrative cooperation in the field of taxation (the "Regulations")

- require, among other things, the Reporting financial institution (the "RFI") to apply due diligence procedures aiming at identifying Reportable accounts and to report certain information to the relevant competent authorities; and
- allow the RFI to use service providers to fulfil some or all of their due diligence and reporting obligations (the obligations remain however the responsibility of the RFI).

I hereby waive my right to banking/professional secrecy and confidentiality and expressly agree that, for the due diligence and/or reporting purposes related to the automatic exchange of information in the field of taxation, my personal data and information on my accounts, which is required to be collected and reported in accordance with Regulations, may be processed by and shared with any entity within the BNP Paribas Group and/or any third party services provider acting under the control of BNP Paribas Group.

I acknowledge that:

- the data controller is [name and legal form of the Reporting Financial Institution A];
- I have a right of access and rectification that may be exercised by writing to/contacting [address of the Reporting Financial Institution A]; and
- my personal information may be transferred in connection with the above purposes to a destination outside the [European Economic Area].

This letter is governed by [country A] law.

The courts of [country A] have exclusive jurisdiction to settle any dispute arising out of or in connection with this letter.

Yours faithfully,

[First name and last name of the account holder]

[Signature]