

**FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) ASSESSMENT FORM - INDIVIDUAL**

**SECTION A: INDICIA OF US PERSON**

Customer Name (1): ..... CIF: .....  
 Customer Name (2): ..... CIF: .....

|   | Please tick (✓) as appropriate: | Customer 1 |    | Customer 2 |    |
|---|---------------------------------|------------|----|------------|----|
|   |                                 | Yes        | No | Yes        | No |
| 1 Are you a US citizen?   |                                 |            |    |            |    |
| 2 Do you have a US Green Card?*   |                                 |            |    |            |    |
| 3 Are you taxable in the US?*   |                                 |            |    |            |    |
| 4 Were you born in the US?  |                                 |            |    |            |    |
| 5 Do you have a US passport?*   |                                 |            |    |            |    |
| 6 Is your country of residence US?  |                                 |            |    |            |    |
| 7 Do you have a current US residence or mailing address?*   |                                 |            |    |            |    |
| 8 Do you have a current US landline phone number?*  |                                 |            |    |            |    |
| 9 Do you maintain an "in care of" or a "hold mail" US address?*   |                                 |            |    |            |    |
| 10 Have you lived or worked in US during the past 3 years?*   |                                 |            |    |            |    |
| 11 Do you have any income from US source?* (See Note 1)   |                                 |            |    |            |    |
| 12 Do you have standing instructions to transfer funds to an account maintained in the US, or instructions regularly received from a U.S. address?* |                                 |            |    |            |    |
| 13 Have you granted signatory authority to a person with US address?*   |                                 |            |    |            |    |
| 14 Do you have 10% or more interest by vote or value in a US company?*  |                                 |            |    |            |    |

If more than 2 individuals, please annex a separate FATCA assessment form.

\* If you have answered "Yes" to any of the above, please complete section B.

Note 1: Income can be interest, dividend, rent, salary, wage, premium, annuities, compensations, remuneration, emoluments and other fixes or determinable annual or periodic gains, profits and income from US sources. Also include gross proceeds from sale or other disposition of any property of a type which can produce interest or dividend from US sources.

**SECTION B: ADDITIONAL INFORMATION**

|   | Customer 1 |    |              | Customer 2 |    |              |
|---|------------|----|--------------|------------|----|--------------|
|   | From       | To | Stay Purpose | From       | To | Stay Purpose |
| 1 US Green Card No  |            |    |              |            |    |              |
| 2 US Tax Identification Number (TIN)  |            |    |              |            |    |              |
| 3 US Passport No  |            |    |              |            |    |              |
| 4 US mailing address  |            |    |              |            |    |              |
| 5 US landline phone number  |            |    |              |            |    |              |
| 6 US "in care of" / "hold mail" address   |            |    |              |            |    |              |
| 7 Dates you have been in US during the past 3 years and reasons for stay        |            |    |              |            |    |              |
|   |            |    |              |            |    |              |
|   |            |    |              |            |    |              |
|   |            |    |              |            |    |              |
| 8 Expected annual income from US (in \$)  |            |    |              |            |    |              |
| 9 Type of fund transferred to the US  |            |    |              |            |    |              |
| 10 Name/s of US authorised signatory  |            |    |              |            |    |              |
| 11 Name/s of US company in which you have 10% or more interest by vote or value |            |    |              |            |    |              |

**Important Note:**  
 SBM Securities Ltd hereby informs you that if you are connected to the US (for example if you are a US citizen or resident or receive any fixed or determinable, annual or periodic income from the US), SBM Securities Ltd may be obliged to report information related to your account to its competent local tax authority which will in turn pass on the information to the competent tax authority in the United States.

**SECTION C: DECLARATION**  
 Customer 1: I am/ am not a US citizen or US resident or taxable under the US laws.  
 Customer 2: I am/ am not a US citizen or US resident or taxable under the US laws.  
 I/We confirm that all the information provided above is/ are true and correct.  
 I/We understand it is my/our responsibility to inform SBM Securities Ltd of any changes regarding my/our personal and tax status.  
 I/We am/are aware that SBM Securities Ltd shall be required to disclose and report to its competent local tax authority any personal tax information, financial account information or any additional due diligence information obtained from me/us in compliance with the FATCA regulations.

Customer 1 Name: ..... Signature: ..... Date: .....  
 Customer 2 Name: ..... Signature: ..... Date: .....

**OFFICE USE**

FATCA classification: Customer 1 is : Reportable  Non-Reportable

FATCA classification: Customer 2 is : Reportable  Non-Reportable

Staff Name: ..... Signature: ..... Date: .....  
 Supervisor Approval: ..... Signature: ..... Date: .....  
 Verified by OPC: ..... Signature: ..... Date: .....