

SELF CERTIFICATION ON TAX RESIDENCY STATUS (INDIVIDUAL)

- Please provide a copy of government-issued document to support your tax residence information (e.g. identity card, passport, employment pass/work permit or documents from tax authority showing recent filing of income tax). More than one supporting document may be required if you are declaring yourself as tax resident of more than one country/jurisdiction.
- If your country/jurisdiction of tax residence did not include the country of your residential address, please tick the following box as confirmation:
 - I am not a tax resident of the country(ies) where I am residing, citizen of or having an address. By checking this box, I also confirm that I am not a tax resident of any countries other than those I have declared above.
- In the absence of the above confirmation, Nikko Asset Management may have to disclose your account information to tax authority based on your information held in our records. In addition, you may not be able to open additional accounts or purchase investments with us.

4. DECLARATIONS AND UNDERTAKINGS

- I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.
- I undertake to advise Nikko Asset Management promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs, which causes any of the information contained in this form to be inaccurate or incomplete.
- I consent to Nikko Asset Management collecting, processing, using and disclosing information (including disclosing information to any Singapore or other government authority or agency) that I have provided in this form for the purpose of complying with applicable laws and regulations.

**Signature of
Account Holder / Controlling Person** _____

Capacity (if applicable) _____

Date (dd/mm/yyyy) _____

NOTES

¹ Definition of “US Person”

- a. A citizen or permanent resident of the United States (e.g. US Green Card Holder or someone who meets the requirements to be considered a resident under the 'substantial presence test');
- b. US corporations, partnerships, estates and trusts;
- c. Any other person that is not a foreign (i.e. non-US) person (as defined under US federal tax law).

² Definition of “Tax Resident”

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the following website:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal mentioned above.

³ TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual and is used to identify the individual for the purpose of administering tax laws of such jurisdiction.