

OCTA MARKETS CYPRUS LTD
FATCA / CRS SELF-CERTIFICATION FORM

Pursuant to the Agreements for the Automatic Exchange of Information which were concluded and/or will be concluded between the Republic of Cyprus and other countries for tax matters and the relevant legislation (including those relating to the Foreign Account Tax Compliance Act - **FATCA** and the Common Reporting Standard - **CRS**), OCTA MARKETS CYPRUS LTD (**Company**) is required to identify entities (as account holders) and/or their controlling persons that are tax residents in foreign jurisdictions (for purposes of CRS) and are US Persons (for purposes of FATCA) and report all related information to the Tax Department in Cyprus which in turn will report this information to Tax Departments of the foreign jurisdictions and/or to the IRS of the United States.

We therefore request you to complete this Self-Certification Form (with reference to the Glossary in Parts 5 and 6), in cooperation with your tax/legal/accounting advisor (if so required). Further information on FATCA and CRS can be found on the websites of the U.S. IRS at www.irs.gov/fatca and the OECD at <http://www.oecd.org/tax/automatic-exchange/>.

PART 1 - GENERAL INFORMATION

SECTION 1 A – GENERAL INFORMATION (INDIVIDUAL)			
1.1	Name		
1.2	Date of Birth	1.3	Place of Birth
1.4	Taxpayer Identification Number (TIN)		
1.5	Tax Domicile	Country	
1.6	Current Residence Address:		
	Street and Number	City	Postal Code
		Country	

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**SECTION 1 B – GENERAL INFORMATION
(LEGAL ENTITIES)**

1.1	Name		
1.2	Registration Number	1.3	Country of Registration / Incorporation
1.4	Registered Address:		
	Street and Number	City	Postal Code
		Country	

PART 2 – FATCA

(applicable if this form is completed by an entity_ to be completed only from US Reportable Person)

SECTION 2 – U.S. PERSONS

If the entity is as U.S. Person, please tick one of the below categories and complete as appropriate, and then proceed to **Part 3 – CRS**.

☐

The entity is a **Specified U.S. Person** and the entity's U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

☐

The entity is a U.S. Person that is **not a Specified U.S. Person**.

If the entity is not a U.S. person, please complete Section 3.

SECTION 3 – US FATCA CLASSIFICATION FOR ALL NON-U.S. ENTITIES

If the entity is a **Registered Financial Institution**, please tick one of the below categories, and provide the entity's FATCA GIIN.

☐ **Registered Deemed-Compliant FFI**

☐

Participating FFI

Please provide your **Global Intermediary Identification Number (GIIN)**:

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If the entity is a **Financial Institution** but unable to provide a GIIN, please tick one of the below reasons:

☐

The Entity is a **Certified Deemed Compliant, or otherwise Non-Reporting Foreign Financial Institution** (including a Foreign Financial Institution deemed compliant under Annex II of an IGA, except for a Trustee Documented Trust or Sponsored Financial Institution).

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The Entity is a **Trustee Documented Trust**. Please provide your Trustee's name and GIIN.

Trustee's Name:

Trustee's GIIN:

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The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN.

Sponsoring Entity's Name:

Sponsoring Entity's GIIN:

☐

The Entity is a **Non-Participating FFI**

If the entity is **NOT a Foreign Financial Institution**, please confirm the Entity's FATCA status below

☐

The Entity is an **Exempt Beneficial Owner**

☐

The Entity is a **Passive Non-Financial Foreign Entity**. *(If you ticked this please report all US controlling persons as per Section 4 below)*

☐

The Entity is an **Active Non-Financial Foreign Entity** (including an Excepted NFFE)

SECTION 4 – US CONTROLLING PERSONS OF PASSIVE NFFE

If the Entity is a Passive Non-Financial Foreign Entity as marked in 3.3 above, please fill in the following table with the details of any *Controlling Person(s)* that are US Persons:

Name and Address	Position	US TIN

PART 3 – COMMON REPORTING STANDARD (CRS)
(applicable if this form is completed by an entity_ to be completed from all)

SECTION 5: DECLARATION OF ALL TAX RESIDENCIES

Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries and associated Taxpayer Identification Number). If no TIN is available please indicate one of the reasons below.

If you are resident in more than three jurisdictions, please use a separate sheet.

Country of Tax Residence	Taxpayer Identification Number (TIN)	If no TIN available enter Reason A, B or C*

* If a TIN is not available please provide the appropriate **reason A, B or C**

Reason A – The country where the entity is tax resident does not issue TINs to its residents

Reason B – The entity is otherwise unable to obtain a TIN or functional equivalent (Please explain)

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Reason C – No TIN is required (Note: only select this reason where the authorities of the country of tax residence entered above, do not require the TIN to be disclosed).

SECTION 6: CRS CLASSIFICATION

Please provide your CRS classification by ticking the corresponding box(es). Note that CRS classification does not necessarily coincide with your classification for US FATCA purposes.

If the entity is a **Financial Institution (FI)**, specify the type of Financial Institution below:

A. Participating Jurisdiction Financial Institution

Specify the type of Financial Institution below:

1. ☐ Reporting Financial Institution
2. ☐ **Other Financial Institution** including Non-Reporting FIs

B. Non-Participating Jurisdiction Financial Institution

Specify the type of Financial Institution below:

1. ☐ Reporting Financial Institution Investment Entity managed by another Financial Institution
(If you have ticked this box please **provide the details of the Controlling Person(s) in Section 7**. Please refer to the definition of Controlling Person in Part 6).
2. ☐ **Other Financial Institution**, (including a Depositary Institution, Custodial Institution, or Specified Insurance Company or Investment Entity other than (a) above).

If the entity is a **Non-Financial Entity ("NFE")** please specify the type of NFE below:

- ☐ The Entity is an **Active Non-Financial Entity ("NFE")**
- ☐ The Entity is a **Passive Non-Financial Entity**. (If you have ticked this box please **provide the details of the Controlling Person(s) in Section 7**. Please refer to the definition of Controlling Person in Part 6).

SECTION 7 – CONTROLLING PERSONS

If you have ticked **Investment Entity managed by another Financial Institution in 6.1 above** or **Passive Non-Financial Entity in 6.2 above**, please fill in the following table with the respective details of all *Controlling Persons*. Please report all countries in which each Controlling Person is tax resident.

Full Name	Address	Date of Birth	Country of Tax Residence	TIN	If no TIN available enter Reason A, B or C *	Further explanation only if selected Reason B

Information for Section 7

* Does not apply to US Persons – If a TIN is not available please provide the appropriate **reason A, B or C**

Reason A – The Country where the account Holder is a tax resident does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN (Please explain)

Reason C – No TIN is required (Note: Please select this reason only where the domestic law of the relevant authorities of the country of tax residence entered above, does not require the collection of the TIN issued by such country of tax residence to be disclosed).

PART 4 – SIGNING PAGE

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Name and Signature

Date