

## Application to open a safekeeping account – natural persons

In order to open a safekeeping account we need you to complete this form in full and return it by post or e-mail, duly signed, to **Swiss Life Ltd, Shareholder Services, P.O. Box, 8022 Zurich**. We would be glad to help if you have any questions.

**I hereby request the opening of a custody account for the safekeeping, booking and administration of securities issued by Swiss Life Holding Ltd and/or its subsidiaries.**

### Principal

☐ Mr ☐ Ms

Last name/first name: \_\_\_\_\_ Date of birth: \_\_\_\_\_

Street/no.: \_\_\_\_\_ Postcode, city: \_\_\_\_\_

Nationality (also dual citizenships): \_\_\_\_\_

### “U.S. Person”

☐ I declare that I do not have “U.S. Person” status (see annex) within the meaning of U.S. tax law

☐ I declare that I have “U.S. Person” status (see annex) within the meaning of U.S. tax law. n

My Tax Identification Number is as follows: \_\_\_\_\_

### Tax domicile

☐ I declare that I am resident for tax purposes exclusively at the address recorded under “Principal” (cf. appendix).

### Communications

Please send information from Swiss Life Holding Ltd in: ☐ English ☐ French ☐ German ☐ Italian

☐ to the address above or ☐ to the following delivery address:

☐ Mr ☐ Ms

Last name/first name: \_\_\_\_\_

Street/no.: \_\_\_\_\_ Postcode, city: \_\_\_\_\_

### Account

Payments should be made to my account

☐ with my bank; IBAN: \_\_\_\_\_ in the name of: \_\_\_\_\_

at (name of bank): \_\_\_\_\_ Postcode, city: \_\_\_\_\_

☐ with PostFinance; IBAN: \_\_\_\_\_ in the name of: \_\_\_\_\_

### Administrative matters

**Entry in share register:** I hereby request of Swiss Life that the shares I have acquired or will acquire in the future be entered in the Swiss Life Holding Ltd share register or the share register of one of its subsidiaries, as the case may be.

**Conditions of registration:** I am aware that Swiss Life Holding Ltd or Swiss Life may refuse to enter me in its share register as a voting shareholder, in whole or in part, by virtue of restrictions on registration set out in its articles of association. I declare that I am holding the shares deposited in the safekeeping account with Swiss Life in my own name and for my own account and not in a fiduciary or other capacity for third parties. Swiss Life is authorised to pass on to third parties and banks entrusted with the safekeeping, booking and administration of the securities all the data recorded in this form which may be necessary for said activities and/or to inform them of the details entered here together with any and all changes. I undertake to communicate any and all changes in the information entered here to Swiss Life immediately and in writing.

**Power of attorney to transfer:** I grant Swiss Life power of attorney to assign in my name the registered shares already deposited or to be deposited in the future in the safekeeping account with Swiss Life, in order to fulfil the formal conditions for reporting a future acquirer of said shares. This power of attorney shall not be terminated by the death, loss of legal capacity or bankruptcy of the principal.

By signing this application I declare that

- I give my irrevocable consent to information from this contract and other contractual relationships with Swiss Life being reported in accordance with the company's status as a reporting institution to the US tax authorities, to the extent that such contracts are subject to reporting requirements under FATCA or can be treated as being subject to reporting requirements;
- I will inform Swiss Life within 30 days if a change in circumstances has consequences for my declared tax residence as a U.S. Person under FATCA. I hereby give my consent to Swiss Life undertaking any further investigations and undertake to actively cooperate with such investigations;
- I have acknowledged that Swiss Life will inform the US tax authorities naming me and including details of the assets involved, if in future there are reasons to suspect that I have the status of “U.S. Person” and I fail to provide Swiss Life with the requested documents to refute this status;
- I acknowledge that information from this contract and other contractual relationships with Swiss Life is reported in accordance with the company's status as a reporting financial institution to the Federal Tax Administration, to the extent that such contracts must be reported according to the Federal Law governing the automatic international exchange of information on tax matters (“AEIO Act”) or can be treated as being subject to reporting requirements;
- I will inform Swiss Life within 30 days if a change in circumstances has consequences for my declared tax residence under the AEIO Act. I agree to any further investigations by Swiss Life and am prepared to actively assist such investigations;
- I have acknowledged that Swiss Life will disclose information to the Federal Tax Administration naming me and including details of the assets involved if, at a future date, there are indications of other or additional tax residences to the place of residence declared for tax purposes and I fail to provide Swiss Life with the requested documentation to refute the existence of these other tax residences.

I hereby acknowledge that the following explanations submitted for this application to Swiss Life regarding the name, home address, country(ies) of residence for tax purposes, taxpayer identification number and date of birth amount in their entirety to self-certification within the meaning of the AEIO Act and that I am obliged under this Act to provide complete and accurate information for the self-certification and to notify Swiss Life fully and accurately of any change in my circumstances.

I hereby accept the conditions of the Safe Custody Regulations and the Appendix on the back.

\_\_\_\_\_, on \_\_\_\_\_

Place and date

\_\_\_\_\_  
Signature

**Important**  
For persons resident in Switzerland, this form must be submitted together with authenticated proof of identity, which can be issued and authenticated at a Swiss Life agency (free of charge), an SBB counter or at any Swiss post office (chargeable).

**Please see over for the appendix!**

## Appendix

### Information on FATCA and the automatic exchange of information (AEOI) for private clients

Switzerland has undertaken to assist its partner nations, including the USA, in guaranteeing tax compliance based on international agreements and standards.

The central regulations are the standard for the automatic exchange of financial account information (AEIO) of the Organization for Economic Cooperation and Development (OECD) and the FATCA agreement with the United States (USA). Both sets of regulations aim to identify persons and to report what contractual relationships (insurance policies, bank accounts) they maintain with Swiss financial institutions (e.g. insurance companies) while maintaining tax residence outside Switzerland.

Swiss Life Ltd (Swiss Life) is a reporting financial institution under the Federal Statute on the international automatic exchange of information in fiscal matters, as well as a participating financial institution under FATCA. Switzerland's participation in the global AEOI standard means that Swiss financial institutions are obliged to provide the Federal Tax Administration ("FTA") annually with information concerning those customers who maintain tax residence in a partner nation of Switzerland's. The FTA passes on this information to the relevant partner nations.

FATCA obliges Swiss financial institutions to convey contractual information concerning U.S. persons to the US tax authorities, the IRS.

Swiss Life does not pass on any information from persons whose sole tax residence is in Switzerland. Information will only be forwarded if a person, for example

- Maintains a tax residence in one of Switzerland's AEOI partner nations;
- Is a US citizen or holder of a US residence permit, or maintains a residence in the USA, and thus may be considered a U.S. person;
- Maintains a tax residence for some other reason in an AEOI partner nation, or may be considered a U.S. person.

Note that a person may have several tax residences. If you are in doubt as to your tax residence, Swiss Life recommends that you seek professional advice.

Swiss Life and its employees are unable to provide legal or fiscal advice. For additional information on the subject, see our website ([www.swisslife.ch](http://www.swisslife.ch)).