

How to complete this Appendix

For each Controlling Person identified, please complete their details in the boxes provided.

Please continue on a separate sheet if necessary and attach the sheet to the form and appendices.

| Field | Guidance |
|---|--|
| First Name | Enter the full first name of the individual who is a Controlling Person |
| Last Name | Enter the last name of the individual who is a Controlling Person |
| Date of Birth | Enter the Controlling Person's date of birth including the year |
| Controlling Person Type/Role | <p>Please enter the type of Controlling Person and their role based on the below indicative list:</p> <ul style="list-style-type: none"> a. Controlling Person of a legal entity—control by ownership b. Controlling Person of a legal entity—control by other means c. Controlling Person of a legal entity—senior managing official d. Controlling Person of a trust—settlor/grantor e. Controlling Person of a trust—trustee f. Controlling Person of a trust—protector g. Controlling Person of a trust—beneficiary h. Controlling Person of a trust—other i. Controlling Person of a legal arrangement (non-trust)—settlor-equivalent j. Controlling Person of a legal arrangement (non-trust)—trustee-equivalent k. Controlling Person of a legal arrangement (non-trust)—protector-equivalent l. Controlling Person of a legal arrangement (non-trust)—beneficiary-equivalent m. Controlling Person of a legal arrangement (non-trust)—other |
| Country/Countries of Tax Residence: | Enter the names of all countries in which the Controlling Person is a tax resident. |
| Is Controlling Person a non-US Beneficiary/non-US Beneficial Owner? | <p>If the Controlling Person is also a non-US Beneficiary/non-US Beneficial Owner, check the 'Yes' box. If not, check the 'No' box.</p> <p>See Section C: How to Complete Appendix 2 for definitions of Beneficiary and Beneficial Owner</p> <p>If you have checked the 'Yes' box, Appendix 2 must be completed and signed by that Controlling Person.</p> |