



# Tax Self-Certification Form - Individual

## Personal Details

Title    Mr     Mrs     Miss     Ms     Other (please state)

Forename(s)

Surname (and previous names)

Residential Address

Mailing Address (if different from registered address)

Date of birth (DD/MM/YYYY)

Country and place of birth

Nationality(ies) (Please disclose all)

## Tax residency

Tax Regulations<sup>1</sup> require us to collect information about your tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your financial interests with any relevant tax authority.

Please list all the countries in which you are resident for tax purposes, your tax advisor can explain what this means. If you have been given a Tax Identification Number (TIN) by your local tax authority, please provide this. If you are UK resident please provide your National Insurance Number in place of your TIN. Otherwise provide some other official registration which will assist us in identifying you.

Country(ies) of Tax Residency

Tax Identification Number

Please note, if you are a US citizen you are treated as tax resident in the US even if you are resident in another country, therefore you may be resident in more than one country.

Please state your country of domicile

Do you have, or have you ever held, a US Green Card    Yes     No

(Only applicable when completed in conjunction with Tax Self-Certification Form - Entity)



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## Controlling Person(s)

Name of Entity(ies)

Please provide the Controlling Person(s) Status

- a. Controlling Person of a legal person – control by ownership
- b. Controlling Person of a legal person – control by other means
- c. Controlling Person of a legal person – senior managing official
- d. Controlling Person of a trust - settlor
- 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-equivalent


“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official.

“Controlling Person” This is a natural person who exercises control over an entity. Where that entity is treated as a Passive Non-Financial Entity (NFE) then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term “beneficial owner” as described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

Controlling Persons of a trust, means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

“Reportable Jurisdiction” This is a jurisdiction with which an obligation to provide financial account information is in place.

“Reportable Person” A Reportable Person is an individual (or entity) that is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. The Account Holder will normally be the “Reportable Person” however, in the case of an Account Holder that is a Passive NFE, a Reportable Person also includes any Controlling Person(s) who are tax resident in a Reportable Jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.



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## Declaration

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify you within 30 days if any of this information changes in the future. I hereby consent to you disclosing information contained herein to third parties, including relevant tax authorities.

Name (please print in full)

Signature

Date

If signing under a Power of Attorney (PoA) please attach a certified copy.

<sup>1</sup>The term 'tax regulations' refers to regulations created to enable automatic exchange of information and includes FATCA<sup>2</sup> and CRS<sup>3</sup>.

<sup>2</sup>The term 'FATCA' refers to the foreign account tax compliance provisions contained in the US Hire Act 2010.

<sup>3</sup>The Common Reporting Standard (CRS) is an information standard for the Automatic Exchange Of Information (AEOI) as developed by the OECD.

We may use the information you send us together with other information, which comes from or relates to you, to discharge our functions effectively. This may include us sharing the information we hold about you with other bodies, such as regulators and law enforcement agencies, some of whom may be located outside of The Crown Dependencies, Mauritius and the European Economic Area. Data Protection legislation provides you with various rights, including the right to ask for a copy of the information we hold on you, and the right to have inaccuracies corrected. To better understand your rights and how we handle your information, we would encourage you to read our Privacy Notice; or to contact the Data Protection Officer on [dataprotection@oak.group](mailto:dataprotection@oak.group)