

Entity Self-Certification

Instructions for completion

We are obliged to collect certain information about each account holder's tax arrangements pursuant to the FFI agreement that we entered into with the Internal Revenue Service of the United States under section 1471(b) of the Internal Revenue Code and § 1.1471-4 of the Treasury Regulations.

Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be obliged to share this information with relevant tax authorities. Terms referenced in this Form shall have the same meaning as applicable under the relevant IGA, Regulations and/or Guidance Notes.

If any of the information below regarding your tax residence or FATCA classification changes in the future, please ensure you advise us of these changes promptly. If you have any questions about how to complete this form, please contact your tax advisor.

SECTION 1: ACCOUNT HOLDER IDENTIFICATION [MUST COMPLETE]

Account Holder Name	Date of Incorporation/Organization	Country
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Registered Address:

Number & Street	City/Town
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State/Province/County	Post Code	Country
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Mailing address (if different from above):

Number & Street	City/Town
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State/Province/County	Post Code	Country
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SECTION 2: U.S. PERSONS

Please tick and complete if applicable.

- (a) The entity is a **Specified U.S. Person** and the entity's U.S. federal taxpayer identifying number (U.S. TIN) is as follows:
_____.
- (b) The entity is a U.S. Person that is not a Specified U.S. Person. Indicate exemption¹ _____.

SECTION 3: ENTITY FATCA CLASSIFICATION [MUST COMPLETE]

3.1 Please tick as applicable:

- (a) Model I or Model II IGA Participating Foreign Financial Institution [Go to 3.2]
- (b) Registered Deemed Compliant Foreign Financial Institution [Go to 3.2]
- (c) Participating Foreign Financial Institution [Go to 3.2]
- (d) The Entity is an **Exempt Beneficial Owner** Indicate status: _____

¹ Under the US IGA and in the U.S. Internal Revenue Code, Specified US Person does not include: An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37); The United States or any of its agencies or instrumentalities; A state, the District of Columbia, a possession of the United States, or any of their political subdivisions, or instrumentalities; A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i); A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i); A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state; A real estate investment trust; A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940; A common trust fund as defined in section 584(a); A bank as defined in section 581; A broker; A trust exempt from tax under section 664 or described in section 4947; or A tax-exempt trust under a section 403(b) plan or section 457(g) plan.

- (e) The Entity is an **Active Non-Financial Foreign Entity** (including an Excepted NFFE)
- (f) The Entity is a **Passive Non-Financial Foreign Entity** (Please provide details of **Controlling Persons who are U.S citizens or residents (if any) in 3.4**)
- (g) The Entity is a Non-Participating Foreign Financial Institution
- (h) The Entity is a US Financial Institution

3.2 Please provide your GIIN if you fall under 3.1(a), (b) or (c) above: _____

3.3 If you are unable to provide a GIIN in 3.2, please tick one of the below reasons:

- (a) The Entity is a Model 1 Financial Institution and has not yet obtained a GIIN but intends to do so, if required.
- (b) 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: _____
- (c) The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN.
Trustee's Name: _____ Trustee's GIIN: _____
- (d) 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). Indicate exemption: _____
- (e) The Entity is an Excepted Foreign Financial Institution. Indicate exemption: _____

3.4 Table of any **Controlling Persons who are U.S. citizens or residents**²:

Full Name	Full residence address	TIN

SECTION 4: DECLARATION AND UNDERTAKINGS [MUST COMPLETE]

I/We **declare** (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I/We **undertake** to advise the recipient 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. Where legally obliged to do so, I/we hereby consent to the recipient sharing this information with the relevant tax information authorities.

Authorised Signature: _____ Authorised Signature: _____
 Position/Title: _____ Position/Title: _____
 Date: (dd/mm/yyyy): _____ Date: (dd/mm/yyyy): _____

² **“Controlling Persons”** means the natural persons who exercise control over an Entity. For companies and similar legal persons, it depends on the ownership structure of the company and will include any person holding, whether directly or indirectly, 10% or more of voting shares in an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.