

## Individual Self-Certification Form

## Introductory Note

The Foreign Account Tax Compliance Act ("FATCA") aims to gather financial information on US Persons who hold accounts outside of the US. FATCA requires Financial Institutions ("FIs") to report information annually to tax authorities on account holders who are US Persons.

Furthermore, the Organisation for Economic Cooperation and Development ("OECD") has introduced the Common Reporting Standard ("CRS") from 1 January 2016 as a framework to facilitate the automatic exchange of information across the globe. Under CRS, FIs are required to report information annually to tax authorities on account holders who are tax resident in a jurisdiction that has implemented CRS. For more information visit the OECD homepage [here](#).

Under these applicable information exchange regimes, we may be required to report certain information on individuals to relevant tax authorities. You are required to provide complete and accurate information on this form, failure to do so may result in you being reported.

Supporting notes have been provided which outline the defined terms used in this form. For the avoidance of doubt, the supporting notes and guidance provided are for reference purposes only and do not constitute tax advice. If you require assistance in completing this form you should seek qualified professional assistance.

All individuals completing this self-certification should complete Parts 1-3.

Please complete the form electronically (Adobe Reader is recommended) and follow instructions below to submit.

## Part 1 - Individual Information

Name of individual (Title / First / Middle / Last)

## Place of birth

Town/City/Province/State: \_\_\_\_\_

Country: \_\_\_\_\_

## Date of Birth (DD / MM / YYYY)

/ /

## Permanent residence address

Property Name/Number: \_\_\_\_\_ Street: \_\_\_\_\_

Town/City: \_\_\_\_\_ Province/State: \_\_\_\_\_ Post Code: \_\_\_\_\_ Country: \_\_\_\_\_

## Mailing address (if different to permanent address)

Property Name/Number: \_\_\_\_\_ Street: \_\_\_\_\_

Town/City: \_\_\_\_\_ Province/State: \_\_\_\_\_ Post Code: \_\_\_\_\_ Country: \_\_\_\_\_

## Part 2 - Tax Residency

Please specify all jurisdictions in which you are resident for tax purposes (if you have more than three, please add as separate sheet):

Primary Jurisdiction: \_\_\_\_\_ TIN: \_\_\_\_\_ enter "Unavailable" if unavailable\*

Additional Jurisdiction: \_\_\_\_\_ TIN: \_\_\_\_\_ enter "Unavailable" if unavailable\*

Additional Jurisdiction: \_\_\_\_\_ TIN: \_\_\_\_\_ enter "Unavailable" if unavailable\*

\* Please specify the reason for non-availability of TIN: \_\_\_\_\_

Is the individual a US Person<sup>1</sup>?

Yes

No

## Part 3 - Certification

I acknowledge that the information contained in this form and information regarding my account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which I am tax resident where those countries have entered into Agreements to exchange financial account information.

I declare that all statements made in the declaration are, to the best of my knowledge and belief, correct and complete.

I agree that I will submit a new form within 30 days if any certification of this form becomes incorrect.

Tick box for authorised signature (a handwritten signature is NOT required)

/ /  
Date (DD / MM / YYYY)

Print name of signatory

Capacity (if not signed by Individual)

## Steps to submit form:

1. Press the "Validity Check" button and make any required corrections
2. Save the self-certification to your computer with the Account Holder/  
Investor's name in the title (eg. "Jane Doe Self-Certification")

<sup>1</sup> A US Person includes persons born in the US, US citizens (wherever residing), or US resident individuals, click [here](#) for more information

# Individual Self-Certification – Supporting notes

## Part 1 – Individual Information

**Name of individual:** Enter the full name of the individual, including title and middle name(s) if applicable.

**Place of Birth:** Enter the place in which you were born, including the Country and Town, City, Province or State. Abbreviations may be used, for example individuals born in the United Kingdom may enter “UK”.

**Date of Birth:** Enter date of birth in the following format DD/MM/YYYY.

**Permanent Residence Address:** Enter the full permanent residential address including Property Name/Number, Street, Town/City/Province/State, Post Code and Country.

**Mailing address:** Please enter the mailing address (if different from the residence address).

## Part 2 – Tax Residency

Legislation requires FIs to collect certain information about each Account Holder's tax residence(s), and determine whether they are obliged to submit certain account information to relevant Competent Authorities.

Please indicate ALL jurisdictions in which you are resident for the purposes of income tax. If you have more than one jurisdiction of residency please list each one. For definition of tax residency and additional information click [here](#)

**Tax Identification Number (TIN):** Enter the tax reference number that your country of residence for tax purposes has issued you. This would include, for example, an Individual Tax Identification Number (US), a National Insurance Number (UK, Guernsey, Jersey and IoM) a social security number or a resident registration number.

**TIN unavailable:** Please write "unavailable" in this section of the self-certification if you do not have a tax identification number or your country does not issue such numbers and provide a description for the reason in the space provided.

**US Person:** The term “US Person” for FATCA purposes includes:

- A citizen or resident of the United States;
- A partnership created or organized in the United States or under the law of the United States or of any State, or the District of Columbia;
- A corporation created or organized in the United States or under the law of the United States or of any State, or the District of Columbia;
- Any estate or trust other than a foreign estate or foreign trust (see Internal Revenue Code section 7701(a)(31) for the definition of a foreign estate and a foreign trust); or
- Any other person that is not a foreign person.

**US Citizen:** The term "US Citizen" means:

- An individual born in the United States;
- An individual whose parent is a United States citizen;
- A former alien who has been naturalized as a United States citizen; or
- An individual born in Puerto Rico, Guam or United States Virgin Islands.

**US Resident:**

A resident individual could include, but is not limited to, Green Card holders and individuals that meet relevant substantial presence tests.

### **Part 3 – Certification**

Please sign and date the certification.

Please indicate the capacity in which you are signing the form (for example 'Power of Attorney'). If signing under a power of attorney please also attach a certified copy of the power of attorney.