

Tax compliance – Automatic Exchange of Information (AEOI) agreement

Entity self-certification form

Tax regulations¹ require the collection of certain information about each account holder's tax residency and citizenship status.

This form should be completed by Entities, including Trusts.

Please complete, where applicable, the relevant sections below and provide any additional information as may be required. This form is intended to request information only where such request is not prohibited by local law. Please complete the form in blue or black ink.

In certain circumstances there may be a requirement to share this information with relevant tax authorities.

Please refer to the accompanying guidance notes when completing this form. They are also available on our website - www.barclays.com/aeoi

If you have any questions about how to complete this form, please contact your tax adviser or local tax authority.

If your organisation is resident in the United States² or dual resident, you should also provide a completed, signed and dated IRS Form W-9.

Part I – Entity organisation details

Name of Account Holder:

(a) Legal Name of entity or organisation

(b) Country of incorporation or organisation

Permanent residence address (registered address)

(c) Building identifier (name or number)

(d) Street name

(e) District

(f) City

(g) Post code

(h) Country

Mailing address (if different from Permanent Residence Address)

(i) Building identifier (name or number)

(j) Street name

(k) District

(l) City

(m) Post code

(n) Country

Part II – Entity certification

Please note it is mandatory to complete either [Section A](#) or [Section B](#) (overleaf)
If you are a Financial Institution you should complete [Section A](#), if you are not a
Financial Institution You should complete [Section B](#).

Section A – For a Financial Institution (FI) to complete

(1) (a) Financial Institution – Investment Entity

- i. An investment Entity located in a jurisdiction that is not participating in the Common Reporting Standard (CRS) and managed by another Financial Institution. If you have ticked this box please complete [Part III](#) and the details for each Controlling Person in [Section C](#)
- ii. Other Investment Entity

(b) Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

(2) (a) Sponsored Financial Institution, where sponsoring entity is also carrying out CRS due diligence

If you have ticked this, please provide the name of your Sponsoring Financial Institution:

(3) (a) Please provide, if held, your Organisation’s Global Intermediary Identification Number (GIIN) below:

 • • •

(b) If you are unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN:
For more information please refer to the guidance notes accompanying this form.

- i. It is a Financial Institution that has applied for but not yet obtained a GIIN
- ii. It is a Financial Institution that has not yet applied for a GIIN
- iii. It is an Exempt Beneficial Owner (e.g. a Central Bank)
- iv. It is a Certified Deemed Compliant Financial Institution (e.g. a registered charity, pension scheme etc.)
- v. It is a Non-Participating Foreign Financial Institution under US FATCA
- vi. Other *(please state):

*as defined under local law/guidance.

Section B – For a Non-Financial Entity (NFE) to complete

Please note: When selecting a choice below please ensure that the Entity meets the definition under the FATCA and Common Reporting Standards. If you are in doubt please refer to the guidance notes available on our website www.Barclays.com/aeoi

Barclays Bank PLC is not authorised or regulated to provide tax advice therefore if you have any questions about how to complete this form you may wish to contact your tax advisor or local tax authority for advice.

Note: If you tick (a) to (f) below, you will not need to complete [Section C](#) or [Part III](#). Once ticked, please move to [Part IV](#)

- (a) Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation

If you have ticked (a), please provide the name of the established securities market on which the corporation or the Related Entity is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in (a) is a Related Entity of:

- (b) Active NFE – a Government Entity

- (c) Active NFE – an International Organisation

- (d) Active NFE – Retirement Fund*

- (e) Active NFE – Charitable Organisation*

- (f) Active NFE – Trustee-Documented Trust

Note: If you ticked (a) to (f) above, you do not need to complete [Section C](#) or [Part III](#). Please move to [Part IV](#).

- (g) Active NFE – other than (a)-(f) Please refer to guidance for further details.

- (h) Company formed in the past 24 months, that has yet to classify itself

If you have ticked (h) please provide your date of incorporation: / /

Note: If you ticked (g) or (h) above, you do not need to complete [Section C](#) please move to [Part III](#)

- (i) Passive NFE (Note: if ticking this box please complete both [Section C](#) and [Part III](#))

*To ensure you meet the criteria under the regulations, please refer to the guidance notes. You may, if you are in any doubt, wish to contact a tax advisor.

Section C - Controlling Persons - You only need to complete this section if you have ticked **Section A** 1(a) i or **Section B** (i) above

Please complete the details for each Controlling Person in the section below (**please continue on a separate sheet if necessary, signing, dating and attaching the sheet to this form**) or attach completed Controlling Person forms for each Controlling person: Controlling Persons⁴ are the natural person(s) who exercise control over an entity.

In the case of a trust, Beneficiary(ies) are defined as Controlling Persons under the regulations. Therefore their details must also be provided.

Please choose the capacity/position of Controlling Person from this list - Controlling Person of:	
An entity or other legal person – control by ownership	a trust – other
An entity or other legal person – control by other means	a legal arrangement (non-trust) – settlor-equivalent
An entity or other legal person – senior managing official	a legal arrangement (non-trust) – trustee-equivalent
a trust - settlor	a legal arrangement (non-trust) – protector-equivalent
a trust – trustee	a legal arrangement (non-trust) – beneficiary-equivalent
a trust – protector	a legal arrangement (non-trust) – other-equivalent
a trust – beneficiary	

Controlling Persons – 1st

Capacity/ Position	<input type="text"/>	
Title:	<input type="text"/>	Permanent Residential Address:
Surname:	<input type="text"/>	
First Name	<input type="text"/>	
Middle Names(s):	<input type="text"/>	
Date of Birth:	<input type="text" value="D"/> <input type="text" value="D"/> / <input type="text" value="M"/> <input type="text" value="M"/> / <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	
Place of Birth (City/Town)	<input type="text"/>	
Country of Birth:	<input type="text"/>	
		Street name <input type="text"/>
		District <input type="text"/>
		City / Town: <input type="text"/>
		Postal Code: <input type="text"/>
		Country: <input type="text"/>

Please complete the following table for any country the Controlling Person is considered a tax resident.

1. Country:	<input type="text"/>	TIN:	<input type="text"/>	or TIN unavailable	<input type="checkbox"/>
2. Country:	<input type="text"/>	TIN:	<input type="text"/>	or TIN unavailable	<input type="checkbox"/>
3. Country:	<input type="text"/>	TIN:	<input type="text"/>	or TIN unavailable	<input type="checkbox"/>
4. Country:	<input type="text"/>	TIN:	<input type="text"/>	or TIN unavailable	<input type="checkbox"/>

If no TIN is available, please provide explanation below:

1. 2. 3. 4.

Controlling Persons – 2nd

Capacity/ Position

Title:

Surname:

First Name

Middle Names(s):

Date of Birth: / /

Place of Birth (City/Town)

Country of Birth:

Permanent Residential Address:

Building identifier:

Street name

District

City / Town:

Postal Code:

Country:

Please complete the following table for any country the Controlling Person is considered a tax resident.

1. Country: TIN: or TIN unavailable

2. Country: TIN: or TIN unavailable

3. Country: TIN: or TIN unavailable

4. Country: TIN: or TIN unavailable

If no TIN is available, please provide explanation below:

1.
2.
3.
4.

Controlling Persons – 3rd

Capacity/ Position

Title:

Surname:

First Name

Middle Names(s):

Date of Birth: / /

Place of Birth (City/Town)

Country of Birth:

Permanent Residential Address:

Building identifier:

Street name

District

City / Town:

Postal Code:

Country:

Please complete the following table for any country the Controlling Person is considered a tax resident.

1. Country: TIN: or TIN unavailable

2. Country: TIN: or TIN unavailable

3. Country: TIN: or TIN unavailable

4. Country: TIN: or TIN unavailable

If no TIN is available, please provide explanation below:

1.
2.
3.
4.

Part III – Tax residency

I hereby certify that the entity or organisation identified above is a tax resident of:

If the organisation is not a Specified³ Person in the country stated above, please tick box and detail your reason in the space provided below:

Please provide the Tax Identification Number (TIN) or functional equivalent of the entity or organisation in its country of residence:

- Please note that it is **mandatory to supply a TIN** or functional equivalent if the country or territory in which you are tax resident issues such identifiers. If no TIN is available or has not yet been issued, please provide an explanation for this in the relevant box below. For French entities you should provide your Numéro SIRET.
- Enter the entity or organisation’s TIN if the entity’s country of residence for tax purposes has issued you with a TIN. The TIN is a combination of letters and/or numbers assigned to the entity or organisation by their country of residence (or its tax authorities) to identify the entity in the course of collecting taxes.

If no TIN available? Please provide explanation below:

If the entity or organisation is **not** tax resident in the country of permanent residence, mailing address or incorporation please tick this box and detail your reason in the space provided below:

Multiple tax residencies

If the entity or organisation is tax resident in more than one jurisdiction please complete the following section as appropriate.

- | | | | | | |
|-------------|----------------------|------|----------------------|--------------------|--------------------------|
| 1. Country: | <input type="text"/> | TIN: | <input type="text"/> | or TIN unavailable | <input type="checkbox"/> |
| 2. Country: | <input type="text"/> | TIN: | <input type="text"/> | or TIN unavailable | <input type="checkbox"/> |
| 3. Country: | <input type="text"/> | TIN: | <input type="text"/> | or TIN unavailable | <input type="checkbox"/> |
| 4. Country: | <input type="text"/> | TIN: | <input type="text"/> | or TIN unavailable | <input type="checkbox"/> |

If no TIN is available, please provide explanation below:

1. 2. 3. 4.

Part IV – Declaration and Signature

1. I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with Barclays Bank PLC setting out how Barclays Bank PLC or any other associated entities may use and share the information supplied by me.

I authorise Barclays Bank PLC to provide, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of Barclays Bank PLC for tax purposes, a copy of this form and to disclose to such tax authorities or such party any additional information that Barclays Bank PLC may have in its possession that is relevant to the entity’s qualification for any benefits claimed on the basis of this Declaration.

I acknowledge and agree that information contained in this form and information regarding income paid or credited to or for the benefit of the account(s) set out above may be reported to the tax authorities of the country in which such income arises and that those tax authorities may provide the information to the country or countries in which the entity is resident for tax purposes.

2. I authorise Barclays Bank PLC to provide, directly or indirectly, a copy of this form and information relating to the account(s) set out above, as required by law, to: (i) any person that has control, receipt, or custody of income to which this form relates; (ii) any person that can disburse or make payments of income to which this form relates; or (iii) any party authorised to audit or conduct a similar control of aforementioned persons for tax purposes.

3. I certify that that the entity named is the beneficial owner of all the income to which this form relates.

4. If signing on behalf of the Controlling persons, I undertake to notify them of the completion of this form and that their details may be reported to the tax authorities of the country in which they are resident for tax purposes.

I undertake to notify Barclays Bank PLC of any change in circumstances that causes any information on this form to become incorrect and to provide a suitably updated form within **30 days of such change**.

I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

I certify that I have the capacity to sign for the entity identified in Part I of this form.

Sign here:

Print Name:

Capacity

Date / /

Information

¹ The term 'tax regulations' refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information, as implemented in the relevant jurisdictions.

² The definitions of these terms may be found in paragraphs §1.1471-1, §1.1471-5, §1.1471-6, §1.1472-1 and §1.1473-1 of the United States Internal Revenue Code. If the country in which your organisation is resident has signed an Intergovernmental Agreement (IGA) with the United States or with other relevant countries, please refer to the equivalent definitions in the relevant IGA and or the enabling legislation applicable to that country's IGA.

³ Specified Person

The term 'Specified Person' is defined by reference to local laws in the country where the entity is established. In France a 'Specified French Person' means a person or entity who is resident in France for tax purposes, other than

- (i) A corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) Any corporation that is a Related Entity of a corporation described in clause (i);
- (iii) A Depository Institution;
- (iv) A broker or 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 France;
- (v) A Government Entity;
- (vi) An International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – For a full list please see the relevant guidance under the Tax Regulations);
- (vii) A Central Bank; or
- (viii) A pension scheme or other arrangement registered with DGFIP

Similar definitions apply to entities in the US (Defined in the FATCA Regulations)

⁴Controlling person - An Entity is controlled by the persons or entities who hold at least 25% of the voting shares in the Entity or who are known to exercise significant influence over the policy, business and strategy of the Entity.