Tax compliance – international exchange of information agreement
Entity self-certification form

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

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.

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 States 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:**

<table>
<thead>
<tr>
<th>(a) Legal Name of entity or organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(b) Country of incorporation or organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c) Permanent residence address (do not use a P.O. box (unless this is your registered address) or an ‘in care of address’)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>(d) Post code</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>(e) Country</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(f) Mailing address (if different from above)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Street</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(g) Post code</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(h) Country</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
Part II – Tax residency

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

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

For tax purposes; add the entity or organisation’s Tax Identification Number (TIN) or functional equivalent in its country of residence for tax purposes is:

• Please note that it is mandatory to supply a TIN or functional equivalent if the country 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.

• Enter the entity or organisation’s Tax Identification Number (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.

• In some countries this may be a number that is specifically referred to as a TIN while other countries may use other numbers (this is usually the number you would use for your tax returns) to identify their residents for tax purposes. If the entity does not have a TIN and its country issues TIN upon request then you cannot complete the form until you have obtained such TIN.

If no TIN available? Please provide explanation below:

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

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 – Entity certification

Please note it is mandatory to complete either Section A or Section B (overleaf)

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

(1) (a) Financial Institution – Investment Entity

i. An investment Entity located in a Non-participating Jurisdiction and managed by another Financial Institution. If you have ticked this box please complete the details for each Controlling Person in the Section C

ii. Other Investment Entity

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

(2) (a) If you have ticked 1(a) or 1(b) above, please provide, if held, your Organisation’s Global Intermediary Identification Number (GIIN) obtained for FATCA Purposes:

If you do not have a GIIN but you are sponsored by another entity which is carrying out due diligence for both US FATCA on your behalf and is carrying out your due diligence as a third party service provider under the CRS, please provide their GIIN in the space above and state their name:

(b) If unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN:

i. It is a Participating Financial Institution in a IGA Partner Jurisdiction and has not yet obtained a GIIN

ii. It is a Financial Institution that intends to apply for a GIIN but has not yet applied or has not yet received it

iii. It is an Exempt Beneficial Owner (i.e. an international organisation)

iv. It is a Certified Deemed Compliant Foreign Financial Institution (e.g. a registered charity)

v. It is an Owner Documented Foreign Financial Institution

vi. It is a Non-Participating Foreign Financial Institution

vii. Other (please state):
Section B – For a Non-Financial Entity (NFE) to complete

(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 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 or Central Bank

(c) Active NFE – an International Organisation

(d) Active NFE – other (Please refer to guidance for further details)

If you are a Start-up company formed in the past 24 months, please provide your date of incorporation.

\[ \text{Date} \quad \underline{\text{MM}} / \underline{\text{DD}} / \underline{\text{YYYY}} \]

(e) Passive NFE (Note: if ticking this box please complete Section C)

If your organisation is a resident of the UK Crown Dependencies or Gibraltar and your classification differs under the UK Crown Dependencies/Gibraltar Intergovernmental Agreements then please add alternative classification below:

UK-CD/Gibraltar Classification:
Section C - Controlling Persons

Controlling Persons are the natural person(s) who exercise control over an entity.

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership).

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.

If you have ticked Section A (a) i or Section B (e) 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:

Please choose the capacity/position of Controlling Person from this list - Controlling Person of:

<table>
<thead>
<tr>
<th>Capacity/ Position</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>An entity or other legal person – control by ownership</td>
<td>a trust – other</td>
</tr>
<tr>
<td>An entity or other legal person – control by other means</td>
<td>a legal arrangement (non-trust) – settlor-equivalent</td>
</tr>
<tr>
<td>An entity or other legal person – senior managing official</td>
<td>a legal arrangement (non-trust) – trustee-equivalent</td>
</tr>
<tr>
<td>a trust - settlor</td>
<td>a legal arrangement (non-trust) – protector-equivalent</td>
</tr>
<tr>
<td>a trust – trustee</td>
<td>a legal arrangement (non-trust) – beneficiary-equivalent</td>
</tr>
<tr>
<td>a trust – protector</td>
<td>a legal arrangement (non-trust) – other-equivalent</td>
</tr>
<tr>
<td>a trust – beneficiary</td>
<td></td>
</tr>
</tbody>
</table>

Controlling Persons – 1st

Capacity/ Position
Surname:
Title:
First Name
Middle Names(s):
Date of Birth: (DD/MM/YYYY)
Place of Birth (City/Town)
Country of Birth: Permanent Residential Address:
Street:
Town:
City:
Postal Code:
Country:

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

<table>
<thead>
<tr>
<th>Country</th>
<th>TIN: or TIN unavailable</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
</tbody>
</table>

If no TIN is available, please provide explanation below:

1.
2.
3.
4.
Controlling Persons – 2nd

Capacity/ Position
Surname:
Title:
First Name
Middle Names(s):
Date of Birth: [ ] / [ ] / [ ]
Place of Birth (City/Town)
Country of Birth:
Permanent Residential Address:
Street:
Town:
City:
Postal Code:
Country of Birth:

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
Surname:
Title:
First Name
Middle Names(s):
Date of Birth: [ ] / [ ] / [ ]
Place of Birth (City/Town)
Country of Birth:
Permanent Residential Address:
Street:
Town:
City:
Postal Code:
Country of Birth:

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 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.

If you have signed this on behalf of the account holder please indicate the capacity in which you have acted and provide your name and address here:

Capacity
Full Name
Address

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:

Date  [ ] [ ] / [ ] [ ] / [ ] [ ] [ ]

(DD/MM/YYYY)
Information

1 The term ‘tax regulations’ refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act, various Agreements to Improve International Tax Compliance entered into between the UK, the Crown Dependencies and the Overseas Territories, 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 the UK a ‘Specified United Kingdom Person’ means a person or entity who is resident in the UK 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 the United Kingdom;
(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 HMRC under Part 4 of the Finance Act 2004

Similar definitions apply to entities in the US (Defined in the FATCA Regulations) and Crown Dependencies and Overseas Territories (as defined in the relevant Agreement to Improve International Tax Compliance with the UK

4Controlling person - An Entity is controlled by the persons or entities who hold at least 10% of the voting shares in the Entity or who are known to exercise significant influence over the policy, business and strategy of the Entity.