

# Barclays Entity self-certification form

## Tax compliance – Automatic Exchange of Information

Tax regulations<sup>1</sup> require the collection of certain information about each account holder's tax residency and citizenship status.

This form provides the relevant details for an entity within the Barclays PLC group.

### Part I – Entity organisation details

#### Name of Account Holder:

(a) Legal Name of entity or organisation

Barclays Bank Ireland PLC

(b) Country of incorporation or organisation

Ireland

(c) Permanent residence address (do not use a P.O. box (unless this is your registered address) or an 'in care of address')

Two Park Place

Dublin

(d) Post code

2

(e) Country

Ireland

(f) Mailing address (if different from above)

Street

(g) Post code

(h) Country



Part II – Tax residency

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

Ireland

If the organisation is not a Specified<sup>3</sup> Person in the country stated above, tick box ☒ and the reason is provided in the space provided below:

A Corporation of stock that is regularly traded at one or more established sec. markets

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

6416330R

If no TIN available, explanation provided below:

If the entity or organisation is tax resident in more than one jurisdiction the following section includes appropriate details.

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, explanation provided below:

1.  
2.  
3.  
4.



## Part III – Entity certification

The following sections provide details of the Entities classification and other information relevant for the Automatic Exchange of Information. Either [Section A](#) or [Section B](#) (overleaf), will be completed, as applicable.

### Section A – For a Financial Institution (FI)

#### (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 1(a) or 1(b) above is ticked, the Organisation's Global Intermediary Identification Number (GIIN) obtained for FATCA Purposes, or their Sponsoring Entity, is provided below:

E 1 Q A Z N • 0 0 2 0 0 • M E • 3 7 2

Sponsoring Entities Name  
(if applicable)

(b) If unable to provide a GIIN, the reason why our organisation does not have a GIIN is indicated below:

- 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)

- (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 the Entity is an Active NFE, the name of the established securities market on which it is regularly traded is:

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

- (b) Active NFE – an International Organisation ☐

- (c) Active NFE – other ☐

If the Entity is a Start-up company formed in the past 24 months, the date of incorporation is:

Date  /  /

(DD/MM/YYYY)

- (d) Passive NFE (Note: if ticking this box please complete [Section C](#)) ☐

If the organisation is a resident of the UK Crown Dependencies or Gibraltar and the 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<sup>4</sup> 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 [Section A](#) (a) i or [Section B](#) (d) has been completed above, the details for each Controlling Person are included in the section below (continued on separate sheet(s), if necessary and attached to this form):

The capacity/position of Controlling Person is selected 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

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:

Following table indicates any country where 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, an explanation is provided below:

- 1.
- 2.
- 3.
- 4.



## Controlling Persons – 2nd

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

Following table indicates any country where the Controlling Person is considered a tax resident.

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

If no TIN is available, an explanation is provided below:

1.	
2.	
3.	
4.	

## Controlling Persons – 3rd

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

Following table indicates any country where the Controlling Person is considered a tax resident.

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

If no TIN is available, an explanation is provided 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 the Recipient setting out how the Recipient or any other associated entities may use and share the information supplied by me.

I authorise the Recipient to provide, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of the Recipient for tax purposes, a copy of this form and to disclose to such tax authorities or such party any additional information that the Recipient 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 the Recipient 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 the Recipient 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.

Capacity

HEAD OF FINANCE

Sign here:



Print Name:

PADRAIG O' DRISCOLL

Date

26/09/2018

(DD/MM/YYYY)





## Information

<sup>1</sup> 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.

<sup>2</sup> 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.

### <sup>3</sup> 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

<sup>4</sup>Controlling 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.





### Additional Controlling Persons ☐

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

Following table indicates any country where 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, an explanation is provided below:

1. <input type="text"/>
2. <input type="text"/>
3. <input type="text"/>
4. <input type="text"/>

### Additional Controlling Persons ☐

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

Following table indicates any country where 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, an explanation is provided below:

1. <input type="text"/>
2. <input type="text"/>
3. <input type="text"/>
4. <input type="text"/>

