

# Self-Certification Form for entities and organisations



## For the purposes of International Tax Information Exchange

AUGUST 2023

Please ensure you read this form carefully and that you understand it before signing in Section 6: Declarations.

1. TAX RULES ARE VERY COMPLEX AND WE STRONGLY RECOMMEND YOU SEEK THE ASSISTANCE OF A PROFESSIONAL TAX ADVISOR WHEN COMPLETING THIS FORM.
2. FOR ANY ADDITIONAL PARTIES NOT PREVIOUSLY NOTIFIED TO THE BANK PLEASE ALSO COMPLETE AN "ADDITIONAL PARTIES" FORM, WHICH CAN BE SOURCED VIA YOUR RELATIONSHIP MANAGER OR THE CLIENT SERVICES TEAM

### Section 1: Information about your organisation

Please complete all relevant information below, even if you have provided some of this information as part of your recent application.

Name of organisation

Registered home/Principal address

Country

Postcode

Mailing address (if different to residential address)

Country

Postcode

Registered number (if applicable)

Country of incorporation/establishment

Client number (if known/if applicable)

### Section 2: Your organisation's tax status

If the organisation is resident in the United States you must complete and return IRS (Internal Revenue Service) form W-9, available from the IRS website.

Please list **all** the countries where your organisation is resident for tax purposes. Please note the definition of tax residency varies from country to country. For example in some instances a company may be resident in the country in which it is incorporated, in others where it is controlled and managed and even in some circumstances both. Trusts are generally tax resident where the trustees are resident however this will depend on local tax law definitions. Should you be in any doubt about the tax residency of the entity you are completing this form for, please contact your tax advisor who can explain what this means. Please note the tax residency(ies) provided will determine to which countries we will report under CRS.

If you need more space, please photocopy this page before completing it and sign and attach any extra pages.

Opposite each country, please enter the Tax Identification Number (TIN) issued to your organisation in that country. If that country does not issue a TIN, please complete an equivalent number, for example a registered number or similar official identification number.

If the country does not issue a TIN or any equivalent registered or official identification number, please insert a tick in the column "No TIN" and provide reason.

Country of tax residence

Tax Identification Number

No TIN Reason

## Section 3: FATCA status

Please tick the relevant FATCA classification for this entity. Only tick one box and see our explanatory notes for further information on each classification.

Registered deemed compliant FFI

Participating FFI/Model 1 or 2 IGA FFI

Sponsored FFI

Certified deemed compliant FFI

Active NFFE

Passive NFFE – please also complete Section 4

Direct Reporting NFFE

Trustee documented trust/Non-Reporting IGA FFI

Exempt beneficial owner

Non-participating FFI – IBCI will not service non-participating FFIs

Closely Held Investment Vehicle

United States Entity

Does the company have a Global Intermediary Identification Number (GIIN) issued by the US Inland Revenue Service?

Yes      No

If it does, please provide the GIIN

Is a sponsoring entity acting on behalf of the company to perform all due diligence, withholding and reporting obligations under FATCA?

Yes      No

If it does, please provide:

Name of sponsoring entity

GIIN

## Section 4: CRS status

Please tick the relevant Common Reporting Standard classification for this entity. Only tick one box and see our explanatory notes for further information on each classification.

Reporting Financial Institution

Non-Reporting Financial Institution

Passive NFE

Active NFE

Active NFE Publicly Traded

**You must ensure that both FATCA and CRS classifications are indicated.**

### **Change in FATCA or CRS classification**

Please provide a detailed explanation for the change, in the box below.

## Section 5: If the entity is a Passive NFFE/Passive NFE please provide the details of the Controlling Persons

Title Surname

First name(s)

Previous name(s) (eg maiden name and any other names used)

Principal home/permanent residential address

Country Postcode

Length of time at current address Years Months

If less than two years, please specify previous home/permanent residential address

Country Postcode

Date of birth

Town of birth Country of birth

Position in entity:

Beneficial owner

Shareholder

Director/Senior Managing Official

Settlor

Beneficiary

Protector

Trustee

Other, please specify

The following information will be used to ensure the correct reporting as required by the relevant tax authorities.

Countries of citizenship (list all countries of which you are a citizen/national)

List all countries where you are resident for tax purposes and provide your Tax Identification Number (TIN) and Social Security or National Insurance Number. Tax residence usually means in which country/countries you have an obligation to pay taxes or file tax returns. Where a country does not issue a TIN, complete an equivalent number, eg personal identification or a resident registration number. If you are resident for tax purposes in more than two countries please include the additional countries and TIN on a separate piece of paper.

Country of tax residence	Social Security/National Insurance Number	Tax Identification Number	No TIN
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Countries of citizenship/nationality (list all that apply)

Where no TIN or Social Security/National Insurance Number has been provided, please provide a reason why one has not been issued.

# Additional Controlling Persons

Title Surname

First name(s)

Previous name(s) (eg maiden name and any other names used)

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Country Postcode

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Countries of citizenship/nationality (list all that apply)

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# Additional Controlling Persons

(please copy this page for any additional Controlling Persons)

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## Section 6: Declarations

We declare that the information provided in this form is true and complete.

We acknowledge that in order to comply with its obligations under Channel Island tax legislation, Investec Bank (Channel Islands) Limited may request us to provide additional information and/or documentation relating to the tax status of the organisation and/or concerning any of the individuals named in Section 4 (where applicable). We agree to comply at all times with such a request from Investec Bank (Channel Islands) Limited, within the time specified by Investec Bank (Channel Islands) Limited in its request.

We undertake to inform Investec Bank (Channel Islands) Limited within 30 days if any of the information provided in this form changes or turns out to be incorrect or incomplete.

Investec Bank (Channel Islands) Limited will retain a record of the information you give us about your organisation, its owners and controllers and may disclose this information to the Guernsey or Jersey tax authorities in order to meet its legal and regulatory obligations.

### Signed for and on behalf of your organisation

This form must be signed as follows:

- **Limited companies:** by two directors, or in accordance with the company's authorised signatory list
- **Partnerships:** by two partners or in accordance with the partnership's authorised signatory list.
- **Trusts:** by two trustees or in accordance with the trust's authorised signatory list.
- **Other organisations:** by the person(s) who have been duly authorised either under the constitution of the organisation, or pursuant to a binding resolution of the governing body of the organisation. Please provide evidence of authorisation (namely, a **certified copy** extract of your constitution, or a **certified copy** of the resolution, or a letter from your solicitor addressed to Investec Bank (Channel Islands) Limited).

Please include your position in the organisation under your full name.

Name

Name

Official position

Official position

Signature

Signature

Date

Date

Investec Bank (Channel Islands) Limited ("Investec") recognises and respects the privacy and data protection rights of individuals with regards to personal data (i.e. information that directly or indirectly identifies an individual). We may use your personal data for a number of purposes including but not limited to: providing you with services you request from us, making decisions in relation to the management of your account, for analysis and assessment and to ensure that we comply with our legal and regulatory requirements for example by detecting and preventing financial crime.

For further details as to how Investec uses personal data, please refer to our Data Protection Notice online at [https://www.investec.com/en\\_chis/legal/UK/data-protection-notice/channel-islands.html](https://www.investec.com/en_chis/legal/UK/data-protection-notice/channel-islands.html)

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