

Investec Specialist Bank

Tax Compliance – International Exchange of Information Agreement  
Entity Self – Certification Form



*Out of the Ordinary®*

 **Investec**

Specialist Bank

## 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 status.

Please complete all relevant sections and provide any additional information that may be requested. In certain circumstances, there may be a requirement to share this information with the UK and/or relevant overseas tax authorities.

Please ensure you read this form carefully and that you understand it before completing and signing.

For assistance on completing this form, please refer to the Explanatory Notes on Investec's website ([https://www.investec.com/en\\_gb/legal/information-sharing-agreements.html](https://www.investec.com/en_gb/legal/information-sharing-agreements.html)), which provide basic guidance and are not intended to be a substitute for reading and understanding the relevant tax legislation. For further guidance please refer to your local jurisdiction's legislation or alternatively speak to a tax advisor. If your organisation is resident in the UK, further information can be found on HMRC's website at <https://www.gov.uk/government/collections/automatic-exchange-of-information-agreements>.

### Section 1: Information about your Organisation

Name of organisation

Registered/ principal address

Country  Postcode

Mailing address (if different from above)

Country  Postcode

Organisation registered number (if applicable)

Country of incorporation/establishment

Investec client reference/account number (if known)

The information requested in the following sections pertains to the organisation detailed above only.

### Section 2: Your Organisation's Tax Residency

Please list all the countries where your organisation is resident for tax purposes. This typically means the country / countries where your organisation has an obligation to pay taxes or file tax returns.

For each country, please also provide your organisation's associated Tax Identification Number (TIN). A TIN is the tax reference number issued to your organisation by the tax office in the country where your organisation is resident for tax purposes. If that country does not issue a TIN, please provide an equivalent number, for example a registered number or similar official identification number.

Country of tax residence	Tax Identification Number (TIN)	No TIN	Reason for no TIN
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

# Section 3: Your Organisation's Tax Status

Is your organisation a U.S. Person?

1. Yes  please complete section 3a below

2. No  please go to section 4

3a) If your organisation is a U.S. Person: please tick one of the boxes below:

1. Your organisation is a Specified U.S. Person

2. Your organisation is a U.S. Person, but is not a Specified U.S. Person

If you have ticked 2 above, please provide a reason for your answer below:

Please go to Section 4: Your Organisation's Tax Classification

## Section 4: Your Organisation's Tax Classification

Please tick one of the following boxes:

1. Financial Institution (FI)

Please complete Sections 4a & 4b

2. Non-Financial Foreign\* Entity (NFFE)

Please complete Sections 4c & 4d

\* Non U.S.

### Section 4a: Financial Institution classification under FATCA

Please tick one of the three options below:

1. Financial Institution or a Registered Deemed Compliant Financial Institution

2. Sponsored, closely held Investment Vehicle

3. Trustee Documented (UK resident Trusts only)

If you ticked 1 above, please provide your Global Intermediary Identification Number (GIIN):

If you ticked 2 above, please provide the following information about your sponsor:

Name

Global Intermediary Identification Number (GIIN)

If you ticked 3 above, please provide the following information about the Financial Institution who is acting as trustee:

Name

Global Intermediary Identification Number (GIIN)

If you have not provided any Global Intermediary Identification Number (GIIN) above, please tick one of the reasons below:

1. Your organisation has applied, or is going to apply, for a GIIN (but has not yet received it)

2. Exempt Beneficial Owner

3. Certified Deemed Compliant Financial Institution (other than a Sponsored, closely held Investment Vehicle)

4. Non-Participating Foreign Financial Institution

5. Other reason (please specify in the space below):

Please go to Section 4b

### Section 4b: Financial Institution classification under the CRS / DAC

Please tick one of the options below:

1. If the organisation is an Investment Entity:

a) The Investment Entity is located in a Non-Participating Jurisdiction and managed by another Financial Institution

b) Any other Investment Entity not mentioned in 1a above

2. Depository Institution, Custodial Institution or Specified Insurance Company

If you ticked 1a above, please go to Section 5: Controlling Persons' details

Otherwise, please go to Section 6: Signature and Confirmation

**Section 4c: Non-Financial Foreign Entity (NFFE) classification under FATCA**

Please tick one of the following four options:

- 1. Active NFFE
- 2. Passive NFFE
- 3. Direct Reporting NFFE
- 4. Sponsored Direct Reporting NFFE

If you ticked 1 or 2 above: please go to Section 4d.

If you ticked 3 above: please provide your Global Intermediary Identification Number (GIIN):

Please go to Section 4d

If you ticked 4 above, please provide the following information about your sponsor:

Name

Global Intermediary Identification Number (GIIN)

Please go to Section 4d

**Section 4d: Non-Financial Entity (NFE) classification under the CRS / DAC**

Please tick one of the following options:

- 1. If the organisation is an Active NFE, please specify the type:
  - a) A corporation the stock of which is regularly traded on an established securities market or a Related Entity of such a corporation
  - b) A Government Entity
  - c) An International Organisation
  - d) Any other Active NFE
- 2. The organisation is a Passive NFE

If you ticked 1a above, 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 1a is a Related Entity of:

If you ticked 2 above or 2 in section 4c – please go to Section 5: Controlling Persons' details.

Otherwise please go to Section 6: Signature and Confirmation

## Section 5: Controlling Persons' details

Please provide details of the controlling persons in respect of your organisation. If you need more space, please photocopy this page before completing and signing the extra pages.

For further details in respect of Controlling Persons, please refer Section 5 of the Entity Self-Certification Explanatory Notes

Full Name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Y  N

If Yes, provide TIN:

Country of Tax Residence (list all that apply)

Tax Identification Number

Country of birth  Date of birth

Full Name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Y  N

If Yes, provide TIN:

Country of Tax Residence (list all that apply)

Tax Identification Number

Country of birth  Date of birth

Full Name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Y  N

If Yes, provide TIN:

Country of Tax Residence (list all that apply)

Tax Identification Number

Country of birth  Date of birth

More fields available over the page, otherwise please go to Section 6: Signature and Confirmation

Full Name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Y  N  If Yes, provide TIN:

Country of Tax Residence (list all that apply)

Tax Identification Number

Country of birth  Date of birth

Full Name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Y  N  If Yes, provide TIN:

Country of Tax Residence (list all that apply)

Tax Identification Number

Country of birth  Date of birth

Full Name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Y  N  If Yes, provide TIN:

Country of Tax Residence (list all that apply)

Tax Identification Number

Country of birth  Date of birth

Please go to Section 6: Signature and Confirmation

## Section 6: Signature and Confirmation

### a) Declarations

- 1) I/We acknowledge that Investec Bank plc may request additional information and/or documentation to confirm my tax status. I agree to comply at all times with such a request from Investec Bank plc within the time specified by Investec Bank plc in its request.
- 2) I/We agree to notify Investec Bank plc within 30 days of a change to the information that I have provided in this form. I agree to provide evidence of the change if I am asked to.
- 3) I/We declare that the information provided in this form is true and correct.
- 4) I/We agree that if I am identified as a Reportable Person for the purposes of any of UK's Information sharing agreements (including Foreign Account Tax Compliance Act (FATCA) and OECD Common Reporting Standard (CRS)), I authorise Investec Bank plc:

-To share information about my accounts held with Investec Bank plc with HM Revenue and Customs who may then share the information with my local tax authority(ies) or

-To share information about my accounts held with Investec Bank plc with my local tax authority(ies) if required under Applicable Laws

### b) Use of information

Investec Bank plc will retain a record of the information you give us about your organisation, its owners and controllers and may disclose this information to HM Revenue & Customs in order to meet its legal and regulatory obligations. For more information about how Investec Bank plc uses personal information, please read our Data Protection Statement at [www.investec.com/cib-dataprotection](http://www.investec.com/cib-dataprotection) or ask for a printed copy.

Where you have given us information about your organisation's owners and controllers, you confirm that:

- you have permission from those persons to share their information with us; and
- they agree with the ways in which we will use their information as explained above and in our Data Protection Statement.

### c) Signed for and on behalf of your organisation

This form must be signed as follows:

- **Limited companies:** by two directors, or by a director and the company secretary, or by authorised signatories in accordance with a resolution of the company (please attach a certified copy of the resolution).
- **Partnerships:** by one partner.
- **Trusts:** by all of the trustees. If the form is signed by someone else, or is not signed by all of the trustees, please provide evidence of authorisation. This includes a trustee power of attorney, an extract of your trust deed confirming that you have the power to delegate authority, or a letter from your solicitor addressed to Investec Bank plc.
- **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 plc).

Signature	<input type="text"/>	Signature	<input type="text"/>
Name	<input type="text"/>	Name	<input type="text"/>
Date	<input type="text"/>	Date	<input type="text"/>
Position	<input type="text"/>	Position	<input type="text"/>