

Tax compliance – International Exchange of Information Agreement Entity Self-Certification Form

March 2025



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), 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.

If a TIN is unavailable please provide the appropriate reason A or B where appropriate:

- Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents
- Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

	1.	2.	3.
Country of tax residence			

TIN

If no TIN available enter reason A or B

Please explain in the following boxes why you are unable to obtain a TIN if you selected reason B above.	1.
	2.
	3.

Section 3:

Your organisation's tax status

	Yes	No
Is your organisation a U.S. Person?	Please complete section 3a below	Please go to section 4
3a) If your organisation is a U.S. Person: please tick one of the boxes opposite:	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:

A US Person does not need to complete Section 4, so please go to Section 5.

Section 4: Your organisation's tax classification

Please tick one of the following boxes:

1. Financial Institutions (FI)

2. Non-Financial Foreign* Entity (NFE), *Non U.S.

Please complete Sections 4a & 4b

Please complete Sections 4c & 4d

Section 4a: Financial Institution classification under FATCA

Please tick one of the three options:

1.

Financial Institution or a Registered
Deemed Compliant Financial

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)

3.

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

2.

Exempt Beneficial Owner

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:

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

3.

Financial Institution- other (Non -Reporting
Financial Institutions, Electronic Money
Institutions and Payment Institutions)

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

Otherwise please go to Section 6: Signature and Confirmation

Section 4 (continued): Your organisation’s tax classification

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

Please tick one of the following four options:

- | | | | |
|-------------|--------------|-----------------------|---------------------------------|
| 1. | 2. | 3. | 4. |
| Active NFFE | Passive NFFE | Direct Reporting NFFE | 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 four 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 | c) An International Organisation |
| b) A Government Entity | 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)

	Yes	No	If Yes, provide TIN
Are you a U.S. citizen?			

Controlling Person type	1.	2.
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Country of tax residence
(list all that apply)

Tax Identification Number

If tax resident in the UK, then your Tax identification number (TIN) would be your national insurance number (NINO) or Unique Taxpayer Reference (UTR). If tax resident in the US, then your TIN would be you Social Security Number (SSN).
For TIN formats for other countries, please see the OECD link below:
<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Country of birth	Date of birth
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Full name

Residential address

Mailing address (if different)

	Yes	No	If Yes, provide TIN
Are you a U.S. citizen?			

Controlling Person type	1.	2.
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Country of tax residence
(list all that apply)

Tax Identification Number

If tax resident in the UK, then your Tax identification number (TIN) would be your national insurance number (NINO) or Unique Taxpayer Reference (UTR). If tax resident in the US, then your TIN would be you Social Security Number (SSN).
For TIN formats for other countries, please see the OECD link below:
<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Country of birth	Date of birth
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Section 5 (continued): Controlling Persons’ details

Full name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Yes No If Yes, provide TIN

Controlling Person type 1. 2.

Country of tax residence (list all that apply)

Tax Identification Number

If tax resident in the UK, then your Tax identification number (TIN) would be your national insurance number (NINO) or Unique Taxpayer Reference (UTR). If tax resident in the US, then your TIN would be you Social Security Number (SSN). For TIN formats for other countries, please see the OECD link below: https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/

Country of birth Date of birth

Full name

Residential address

Mailing address (if different)

Are you a U.S. citizen? Yes No If Yes, provide TIN

Controlling Person type 1. 2.

Country of tax residence (list all that apply)

Tax Identification Number

If tax resident in the UK, then your Tax identification number (TIN) would be your national insurance number (NINO) or Unique Taxpayer Reference (UTR). If tax resident in the US, then your TIN would be you Social Security Number (SSN). For TIN formats for other countries, please see the OECD link below: https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/

Country of birth Date of birth

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 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, Trusts and Other organisations: by the person(s) who have been duly authorised either under the constitution of the entity, or pursuant to a binding resolution of the governing body of the entity
- Partnerships: by one partner.

Authorised person(s) can either:

- **Tick** and complete Section **A**, or
- **Sign** and complete Section **B** below

A. Certification by Tick Box

I declare the information provided in this form is true and correct.

Name

Name

Date

Date

Position

Position

Email

Email

B. Certification by Signature

I declare the information provided in this form is true and correct.

Signature

Signature

Name

Name

Date

Date

Position

Position



Investec Bank plc (registered no. 489604).
Registered address: 30 Gresham Street, London EC2V 7QP. Investec Bank plc is authorised
by the Prudential Regulation Authority, and regulated by the Financial Conduct Authority
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