

Tax Compliance  
International Exchange of Information Agreement

## ENTITY SELF-CERTIFICATION FORM

# 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.

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)

Country of tax residence	TIN	If no TIN available enter Reason A or B
1		
2		
3		

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

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:

A US Person does not need to complete Sections 4 or 5. Please go straight to section 6.

# Your Organisation's Tax Classification

Please tick one of the following boxes:

1. Financial Institution (FI)

Please complete Sections 4a & 4b

2. Non-Financial Entity (NFFE or NFE)

Please complete Sections 4c & 4d

\* Non U.S.

## Section 4a: Financial Institution classification under FATCA

Please tick one of the three options below:

1. Reporting Financial Institution or a Registered Deemed Compliant Financial Institution

2. Sponsored, closely held Investment Vehicle

3. The trust is 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. 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

## Your Organisation's Tax Classification (continued)

### 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

# 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

# Controlling Persons' details (continued)

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

# Signature and Confirmation

## a) Declarations

- 1) I/We agree to provide any additional or supporting information related to the tax status of the organisation and/or the controlling persons named in this form within the time specified.
- 2) I/We will notify Investec Bank plc within 30 days of any change to the tax status of the organisation and/or the controlling persons named in this form.
- 3) I/We acknowledge that Investec Bank plc may share information about the organisation, its accounts and its controlling persons to HM Revenue & Customs and/or other relevant tax authorities to comply with all applicable laws and regulations (including, for example, Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standards (CRS)).
- 4) I/We declare that the information I/we have provided in this form is true and correct.
- 5) I/We certify that I am/we are authorised to complete the form for, and on behalf of, the organisation and the controlling persons named in this form.

## b) Use of information

Investec Bank plc will retain a record of the information you give us about your organisation, its owners and controlling persons, and may disclose this information to HM Revenue & Customs and/or any other relevant tax authorities in order to meet its legal and regulatory obligations. For more information about how Investec Bank plc uses personal data, please read our Data Protection Notice at [https://www.investec.com/en\\_gb/legal/UK/data-protection-notice/private-bank.html](https://www.investec.com/en_gb/legal/UK/data-protection-notice/private-bank.html) or ask for a printed copy.

You must make sure that if you give us personal data about someone else, you have their consent and they are happy for you to share their personal data with us. You should make sure they read our Data Protection Notice and understand how we will use and disclose their information as explained above and in the ways described in our Data Protection Notice.

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

Person(s) who are authorised to act for, and on behalf of, your organisation should complete this form by either:

- **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 any partner authorised to sign on behalf of the partnership.

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

Date

Position

Email

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

Name

Date

Position

Email

### B. Certification by Signature

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

Signature

Name

Date

Position

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

Signature

Name

Date

Position