

1. Company Details

Full Company Name

Company Registration Number

Registered Company Address

Business Address (if different from registered address)

Country of Incorporation

Nature of Company's Business

Legal Entity Identifier Code (LEI) LEI Expiry Date

Is the company listed on a regulated stock exchange? Yes or No (*tick applicable box*) Yes No

2. Contact Details for all Correspondence

Title First Name Surname

Address

Email Address Contact Telephone Number

3. Details of Directors – please list all Company Directors

Director 1: Title First Name(s) in full Surname

Date of Birth Telephone Number

Country of Residence Country of Taxation

Address

National Insurance Number / National Identifier If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Nationality Country of Birth Place of Birth (Town)

Director 2: Title First Name(s) in full Surname

Date of Birth Telephone Number

Country of Residence Country of Taxation

Address

National Insurance Number / National Identifier If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Nationality Country of Birth Place of Birth (Town)

Please continue on a separate sheet if necessary

4. Beneficial Owners

IF THE COMPANY IS NOT QUOTED ON ANY REGULATED STOCK EXCHANGE, PLEASE LIST ALL BENEFICIAL OWNERS OR SHAREHOLDERS WITH 10% OR MORE EQUITY OR VOTING RIGHTS.

Person 1: Title First Name(s) in full Surname

Date of Birth Telephone Number

Country of Residence Country of Taxation

Address

National Insurance Number / National Identifier If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Nationality Country of Birth Place of Birth (Town)

Person 2: Title First Name(s) in full Surname

Date of Birth Telephone Number

Country of Residence Country of Taxation

Address

National Insurance Number / National Identifier If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Nationality Country of Birth Place of Birth (Town)

Please continue on a separate sheet if necessary

continued

5. Nominated Bank Account

Name on Bank Account

Sort Code Bank Account Number

Please send an original or certified copy of a bank statement that is less than 3 months old. It must be in the name of the Company and any copies must be certified by the bank or a solicitor.

6. Authority to Deal

I/ we certify that at a meeting of the Board of Directors it was resolved that any of the following may enter into this Agreement and give dealing instructions on behalf of the Company in respect of any transactions with Jarvis Investment Management Limited:

Full Name

Date of Birth Telephone Number

Country of Residence Country of Taxation

Address

National Insurance Number / National Identifier

Nationality Country of Birth Place of Birth (Town)

Full Name

Date of Birth Telephone Number

Country of Residence Country of Taxation

Address

National Insurance Number / National Identifier

Nationality Country of Birth Place of Birth (Town)

7. Declaration

To open a Jarvis share dealing account all Directors and Shareholders /Beneficial Owners who own 10% or more of the company's capital must complete the relevant sections and sign to accept the following Declarations:

- I/We confirm the information given is true and complete and authorise Jarvis to make any credit reference and enquiries in connection with this application.
- I/We have read, understood and agree to be bound by the Terms and Conditions.
- I/We agree to notify Jarvis of any changes to the details supplied.
- I/We acknowledge that Jarvis offers an execution only investment service and does not give advice or make investment recommendations.
- I/We confirm that we are 18 years old or over and that we are residents of the United Kingdom.
- I/We agree that this agreement will remain in force unless and until it is revoked in writing by all the undersigned Directors.

Directors and all Beneficial owners and Controllers

Full Name Signature

Full Name Signature

Checklist

Before returning your application form, please ensure you have completed all the sections and enclosed the relevant documentation as detailed below:

Directors and Beneficial Owners

To ensure compliance with the UK Money Laundering Regulations 2007, all Directors and Beneficial Owners are required to send a certified photocopy of a driving licence or passport plus an original utility bill or bank statement (no more than 3 months old), which details the full name and address. The account cannot be activated until we receive this information.

Bank Statement

Please send an original or certified copy of a bank statement that is less than 3 months old. It must be in the name of the Company and any copies must be certified by the bank or a solicitor

Self-Certification form

See following pages

Return the signed Application Form and supporting documentation to:
Jarvis Investment Management, 78 Mount Ephraim, Tunbridge Wells, Kent TN4 8BS

Please read these instructions before completing the form.

Regulations based on the Organisation for Economic Co-operation and Development's Common Reporting Standard ("CRS") require Jarvis Investment Management Ltd to collect and report certain information about an account holder's tax residency. If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside the United Kingdom, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts HMRC and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

You can find definitions of who is classified as an account holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to information, such as the account holder's tax status or other mandatory field information that makes this form incorrect or incomplete. In that case you must notify us and provide an updated self-certification.

This form is intended to request information consistent with local law requirements. As a financial institution, we are not allowed to give tax advice so if you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or local tax authority.

If you are a **sole trader or sole proprietor, do not complete this form**. Instead you will need to complete an "*Individual tax residency self-certification form*." If the Account Holder is a U.S. tax resident under U.S. law, you may not open a shareDeal active account.

Where the Account Holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution.

Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as "Controlling Person(s)") by completing a "*Controlling Person tax residency self-certification form*" for each Controlling Person. This information should be provided by all Investment Entities located in a Non-Participating Jurisdiction and managed by another Financial Institution.

If you are completing the form on the Account Holder's behalf.

Then you should indicate the capacity in which you have signed in Part 4. For example you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a signatory authority or power of attorney.

Part 1 – Identification of Account Holder

A. Legal Name of Entity/Branch

B. Country of Incorporation or Organisation

C. Current Registered Address

D. Mailing Address (if different from above)

Part 2 – Entity Type Please provide the Account Holder's Status by ticking one of the following boxes:

1.(a) Financial Institution – Investment Entity

i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution
 (if you tick this box please also complete **Part 2(2)** below)

ii. Other Investment Entity

(b) Financial Institution – Investment Entity

If you have ticked (a) or (b) above, please provide in the box below the Account Holder's Global Intermediary Identification Number ("GIIN") for FACTA purposes.

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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(c) Active NFE – a corporation the stock of which is regularly traded on an established securities market or corporation which is a related entity of such a corporation

(d) Active NFE – a Government Entity or Central Bank

(e) Active NFE – an International Organisation

(f) Active NFE – other than (c)–(e) eg. a start-up NFE or a non-profit NFE

(g) Passive NFE (note: if ticking this box please also complete **Part 2(2)** below)

2. If you have ticked **1(a)(i)** or **1(g)** above, then please:

a. Indicate the name of any Controlling Person(s) of the Account Holder

b. Complete "Controlling Person tax residency self-certification form" for each Controlling Person.
 This form can be downloaded from the Useful Forms section of our website.

Part 3 – Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent (“TIN”)

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder’s TIN for each Reportable Jurisdiction indicated. Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each jurisdiction of residence (rather than for each Reportable Jurisdiction). *If the Account Holder is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or country in which its principal office is located.*

If the Account Holder is tax resident in more than three countries please use a separate sheet.

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

Reason A - The country where I am liable to pay tax 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).*

Reason C - No TIN is required. *(Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).*

	Country of tax residence	TIN	If no TIN available enter Reason A, B or C
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	

Part 4 – Declaration and Signature

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I undertake to advise Jarvis Investment Management Ltd promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide an updated declaration within 30 days of such a change in circumstances.

I am aware that in certain circumstances Jarvis Investment Management Ltd will be obliged to share this information with the UK tax authorities, who may pass it on to other tax authorities.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

Signature

Print Name

Capacity in which you are signing

Date

Appendix – Summary Descriptions of Select Defined Terms

Account Holder

The “Account Holder” is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity eg. if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.

Active NFE

An NFE is an Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to:

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial group;
- start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centres that are members of a nonfinancial group; or
- non-profit NFEs.

An entity will be classified as Active NFE if it meets any of the following criteria:

- a) less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- e) the NFE is not yet operating a business and has no prior operating history ie. a start-up NFE, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- h) the NFE meets all of the following requirements (a “non-profit NFE”):
 - i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
 - ii) it is exempt from income tax in its jurisdiction of residence;
 - iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE’s

charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

- v) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents require that, upon the NFE’s liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE’s jurisdiction of residence or any political subdivision.

Note: Certain entities (such as U.S. Territory NFFEs) may qualify for Active NFFE status under FATCA but not Active NFE status under the CRS.

Control

“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage e.g. 25%) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising ultimate effective control over the ownership interests, then under the CRS the Reportable Person is deemed to be the natural person who hold the position of senior managing official.

Controlling Person(s)

“Controlling Persons” are the natural person(s) who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity (“Passive NFE”) then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons.

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). Under the CRS the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

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. In the case of a legal arrangement other than a trust, “Controlling Person(s) means persons in equivalent or similar positions.

Custodial Institution

The term “Custodial Institution” means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

Depository Institution

The term “Depository Institution” means any Entity that accepts deposits in the ordinary course of a banking or similar business.

FATCA

FATCA stands for the U.S. provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

Entity

The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

Financial Institution

The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.

Appendix – Summary Descriptions of Select Defined Terms

Investment Entity

The term "Investment Entity" includes two types of Entities:

(i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:

- Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
- Individual and collective portfolio management; or
- Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.

Such activities or operations do not include rendering non-binding investment advice to a customer.

(ii) The second type of "Investment Entity" ("Investment Entity managed by another Financial Institution") is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

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

The term "Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution" means any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not a Participating Jurisdiction Financial Institution.

Investment Entity managed by another Financial Institution

An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of 'Investment Entity'.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

NFE

An "NFE" is any Entity that is not a Financial Institution.

Non-Reporting Financial Institution

A "Non-Reporting Financial Institution" means any Financial Institution that is:

- a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- an Exempt Collective Investment Vehicle; or
- a Trustee-Documented Trust: a trust where the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust;
- any other defined in a country's domestic law as a Non-Reporting Financial Institution.

Participating Jurisdiction

A "Participating Jurisdiction" means a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS and that is identified in a published list.

Participating Jurisdiction Financial Institution

The term "Participating Jurisdiction Financial Institution" means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

Passive NFE

Under the CRS a "Passive NFE" means any: (i) NFE that is not an Active NFE; and (ii) Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

Related Entity

An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

Reportable Account

The term "Reportable Account" means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

Reportable Jurisdiction

A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

Reportable Jurisdiction Person

A Reportable Jurisdiction Person is an Entity that is tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s) - by reference to local laws in the country where the Entity is established, incorporated or managed. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. As such if an Entity certifies that it has no residence for tax purposes it should complete the form stating the address of its principal office.

Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to determine their residence for tax purposes.

Reportable Person

A "Reportable Person" is defined as a "Reportable Jurisdiction Person", other than:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a Related Entity of a corporation described in clause (i);
- a Governmental Entity;
- an International Organisation;
- a Central Bank; or
- a Financial Institution (except for an Investment Entity described in Sub Paragraph A(6) b) of the CRS that are not Participating Jurisdiction Financial Institutions. Instead, such Investment Entities are treated as Passive NFE's).

Resident for tax purposes

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine whether an entity is tax resident in the jurisdiction on the following website: [OECD AEOI Portal]. Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated.

Specified Insurance Company

The term "Specified Insurance Company" means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

TIN (including "functional equivalent")

The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction.