



Controlling Person Tax Residency Self-Certification Form

Please read before completing this form

The UK government has signed, and will be signing, a number of inter-governmental agreements to share tax information, where applicable, with the tax authorities in other countries. The requirement to collect certain information about each customer's tax arrangement is part of UK legislation and as a financial institution we are legally obliged to collect it.

We are asking for your tax residency and tax ID numbers (where applicable) and will record this on our records now, but will only disclose this information to the relevant tax authorities if and when we are required to under UK law. To find the list of countries that have signed information sharing arrangements, please go to the OECG automatic exchange information portal.

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<http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/>

and

<http://www.oecd.org/tax/automatic-exchange/crs-implemtation-and-assistance/crs-byjurisdiction/#d.en.345489>

Your tax residence generally is the country in which you live for more than half the year, but rules differ. Further details are available here:-

www.oecd.org/tax/automatic-exchange/crs-implemtation-and-assistance/taxresidency/#d.en.347760

As a financial institution, Jarvis Investment Management Ltd are not allowed to give tax advice. If you have any questions on how to complete this form we recommend that you speak to your tax authority (for example HMRC in the UK) or your tax or legal adviser.

You have been asked to complete this form as you are a Controlling Person of an entity.

For a Trust, a Controlling Person includes a settlor, trustee, protector (if any) beneficiary or class of beneficiaries. For any other entity, it includes a shareholder and any other natural person exercising ultimate control over the investment

Part 1 – Identification of a Controlling Person

Each Controlling Person must complete an individual Form

Title (eg. Mr/Mrs/Dr etc)

Surname

Forename(s) in full

Permanent Residential Address

If you have been living at your current address for less than 12 months please provide your previous address on a separate sheet

Post Code

Date of Birth

Place of Birth - Town or City

Country of Birth

Country of Residence

Country of Taxation

National Insurance Number / National Identifier

If you have more than one nationality please list of a separate sheet with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website

Telephone (Home)

Telephone (Mobile)

Telephone (Work)

Email

Part 2 – Country / Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent (“TIN”)

Please complete the following table indicating (i) where the Controlling Person is tax resident; (ii) the Controlling Person’s TIN for each country/jurisdiction indicated; and (iii) if the Controlling Person is a tax resident in a country/jurisdiction that is a Reportable Jurisdiction(s) then please also complete Part 3 “Type of Controlling Person.”

Countries/Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each country/jurisdiction of residence (rather than for each Reportable Jurisdiction).

You can also find out more about whether a country/jurisdiction is a Reportable Jurisdiction on the OECD automatic exchange of information portal).

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

Reason A – The country/jurisdiction where the Controlling Person 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 table below if you have selected this reason).

Reason C – No TIN is required. 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/Jurisdiction 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 3 – Type of Controlling Person

Please provide the Controlling Persons status by ticking the appropriate box:

		Entity 1	Entity 2	Entity 3
a	Controlling Person of a legal person – Control by ownership			
b	Controlling Person of a legal person – Control by other means			
c	Controlling Person of a legal person – Senior Managing Official			
d	Controlling Person of a trust – Settlor			
e	Controlling Person of a trust – Trustee			
f	Controlling Person of a trust – Protector			
g	Controlling Person of a trust – Beneficiary			
h	Controlling Person of a trust – other			
i	Controlling person of a legal arrangement (non-trust) Settlor-equivalent			
j	Controlling person of a legal arrangement (non-trust) Trustee-equivalent			
k	Controlling person of a legal arrangement (non-trust) Protector-equivalent			
l	Controlling person of a legal arrangement (non-trust) Beneficiary-equivalent			
m	Controlling person of a legal arrangement (non-trust) Other-equivalent			

Notes

- A beneficiary's details only need to be included if she/he owns or is entitled to at least 25% of the trust property
- A shareholder's details only needs to be included if they own or control more than 25% of the shares or voting rights – or otherwise control of the management, e.g. the shareholder owns less than 25% but the percentage of ownership is significantly higher than any other shareholders.

Part 4 – Declarations and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Jarvis Investment Management Limited (Jarvis) setting out how Jarvis may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which [I/the Controlling Person] may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Controlling Person, or am authorised to sign for the Controlling Person, of all the account(s) held by the Entity Account Holder to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. I undertake to advise Jarvis **within 30 days** of any change in circumstances which affects the tax residency status of the Controlling Person identified in Part 1 of this form or causes the information contained herein to become incorrect (including any changes to the information on Controlling Persons identified earlier), and to provide Jarvis with a suitably updated self-certification and declaration **within up to 30 days** of such change in circumstances.

Full name:

Date:

Signature:

If you are not the account holder, please indicate the capacity in which you are signing the form. If signing under a Power of Attorney please also attach a certified copy of the Power of Attorney

Capacity: