



# Tax Self-Certification Form - Entity

## Entity Details

Legal Name of Entity

Residential Office Address

Mailing Address (If different from registered address)

Jurisdictions where Entity is Tax Resident

Is the Entity a Specified Person?

Tax Identification Number (TIN)

TIN Type<sup>1</sup>

If no TIN is available then please provide explanation

Yes  No

Yes  No

Yes  No

**Entity Type** (Please provide the Account Holder's Status by selecting the appropriate option)

GIIN (applicable for c, d, e, k)

### US FATCA

- a. The Entity is a Specified US Person and the entity's US Federal taxpayer Identifying number (US TIN) as follows:
- b. The Entity is a US Person that is not a Specified US Person. Indication below:
- c. Financial Institution - Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution
- d. Financial Institution - Other Investment Entity
- e. Financial Institution - Depository Institution, Custodial Institution or Specified Insurance Company
- f. Active Non-Financial Entity - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
- g. Active Non-Financial Entity - a Government Entity or Central Bank
- h. Active Non-Financial Entity - an International Organisation
- i. Active Non-Financial Entity - other than (f) to (h)
- j. Passive Non-Financial Entity
- k. Trustee Documented Trust
- l. Other (Please state)

If you have ticked (c) and are located in a Non-Participating Jurisdiction managed by another Financial Institution or (j) please indicate the details of any Controlling Person(s) of the Account Holder below and complete the Individual Tax Residency Self-Certification Form for each Controlling Person (use additional copies of this sheet as required).



# Tax Self-Certification Form - Entity

## Controlling Person(s)

Name of Controlling Person	Country of Residence	TIN
<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"/>

## Entity Type (Please provide your CRS classification by selecting the appropriate option)

### CRS Classification

Please note, an Entity's CRS classification may not necessarily be the same as its classification for US FATCA purposes.

a. The Entity is a Financial Institution, please specify the type below:

- Depository Institution
- Custodial Institution
- Investment Entity (see Section VIII, A.6 (a) of the CRS)
- 'Managed' Investment Entity (see Section VIII, A.6 (a) of the CRS)
- Specified Insurance Company

b. Non-Reporting CRS Financial Institution, please specify the type below:

- Governmental Entity
- International Organization
- Central Bank
- Broad Participation Retirement Fund
- Narrow Participation Fund
- Pension Fund of a Government Entity, International Organization or Central Bank
- Exempt Collective Investment Vehicle
- Trustee Documented Trust
- Qualified Credit Card Issuer
- Other (Please state)

c. The Entity is an Active Non-Financial Entity

d. The Entity is a Passive Non-Financial Entity



## Tax Self-Certification Form - Entity

Please add any additional comments below:

### Declaration

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify you within 30 days if any of this information changes in the future. I hereby consent to you disclosing information contained herein to third parties, including relevant tax authorities.

Name (please print in full)

Signature

Date

<sup>1</sup>TIN Type Examples: US Federal Tax Identity Number (US TIN), Individual Taxpayer Identification Number (ITIN), Social Security Number (SSN), National Insurance Number (NIN) or Employer Identification Number.

**If you wish to sign electronically, please email the completed form to your contact at Oak who will send back via DocuSign for electronic signature.**

We may use the information you send us together with other information, which comes from or relates to you, to discharge our functions effectively. This may include us sharing the information we hold about you with other bodies, such as regulators and law enforcement agencies, some of whom may be located outside of The Crown Dependencies, Mauritius and the European Economic Area. Data Protection legislation provides you with various rights, including the right to ask for a copy of the information we hold on you, and the right to have any inaccuracies corrected. To better understand your rights and how we handle your information, we would encourage you to read our Privacy Notice; or to contact the Data Protection Officer on [dataprotection@oak.group](mailto:dataprotection@oak.group)

**Please ensure to complete the individual self certification form below.**

[www.oak.group](http://www.oak.group)

Regulatory information can be found on [www.oak.group/regulatory](http://www.oak.group/regulatory)



# Tax Self-Certification Form - Individual



## Personal Details

Title    Mr     Mrs     Miss     Ms     Other (please state)

Forename(s)

Surname (and previous names)

Residential Address

Mailing Address (if different from registered address)

Date of birth (DD/MM/YYYY)

Country and place of birth

Nationality(ies) (Please disclose all)

## Tax residency

Tax Regulations<sup>1</sup> require us to collect information about your tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your financial interests with any relevant tax authority.

Please list all the countries in which you are resident for tax purposes, your tax advisor can explain what this means. If you have been given a Tax Identification Number (TIN) by your local tax authority, please provide this. If you are UK resident please provide your National Insurance Number in place of your TIN. Otherwise provide some other official registration which will assist us in identifying you.

Country(ies) of Tax Residency

Tax Identification Number

Please note, if you are a US citizen you are treated as tax resident in the US even if you are resident in another country, therefore you may be resident in more than one country.

Please state your country of domicile

Do you have, or have you ever held, a US Green Card    Yes     No

(Only applicable when completed in conjunction with Tax Self-Certification Form - Entity)





# Tax Self-Certification Form - Individual

## Declaration

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify you within 30 days if any of this information changes in the future. I hereby consent to you disclosing information contained herein to third parties, including relevant tax authorities.

Name (please print in full)

Signature

Date

If signing under a Power of Attorney (PoA) please attach a certified copy.

<sup>1</sup>The term 'tax regulations' refers to regulations created to enable automatic exchange of information and includes FATCA<sup>2</sup> and CRS<sup>3</sup>.

<sup>2</sup>The term 'FATCA' refers to the foreign account tax compliance provisions contained in the US Hire Act 2010.

<sup>3</sup>The Common Reporting Standard (CRS) is an information standard for the Automatic Exchange Of Information (AEOI) as developed by the OECD.

We may use the information you send us together with other information, which comes from or relates to you, to discharge our functions effectively. This may include us sharing the information we hold about you with other bodies, such as regulators and law enforcement agencies, some of whom may be located outside of The Crown Dependencies, Mauritius and the European Economic Area. Data Protection legislation provides you with various rights, including the right to ask for a copy of the information we hold on you, and the right to have inaccuracies corrected. To better understand your rights and how we handle your information, we would encourage you to read our Privacy Notice; or to contact the Data Protection Officer on [dataprotection@oak.group](mailto:dataprotection@oak.group)