Tax Self-Certification Form - Entity

Entity Details

Legal Name of Entity						
Residential Office Address			Mailing Address (If o	Mailing Address (If different from registered address)		
Jurisdictions where Entity is Tax Resident	Is the Entity a Specified Person?		Tax Identification Number (TIN)	TIN Type¹	If no TIN is available then please provide explanation	
	Yes	No				
	Yes	No				
	Yes	No				
Entity Type (Please provid	le the Accoun	: Holder's Status k	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						
I. 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).

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Controlling Person(s)

Name of Controlling Person	Country of Residence	TIN

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



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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

¹TIN 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

Please ensure to complete the individual self certification form below.

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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

O/K

Tax Regulations¹ 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 resident in more than one country.	ne US even if you are resident in another country, therefore you may
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

Controlling Person(s)	Name of Entity(ies)
Please provide the Controlling Person(s) Status	
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	
I. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent	
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent	

"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) are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official.

"Controlling Person" This is a natural person who exercises control over an entity. Where that entity is treated as a Passive Non-Financial Entity (NFE) then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" as described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

Controlling Persons of a trust, means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be 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, such term means persons in equivalent or similar positions.

"Reportable Jurisdiction" This is a jurisdiction with which an obligation to provide financial account information is in place.

"Reportable Person" A Reportable Person is an individual (or entity) that is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. The Account Holder will normally be the "Reportable Person" however, in the case of an Account Holder that is a Passive NFE, a Reportable Person also includes any Controlling Person(s) who are tax resident in a Reportable Jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

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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.

¹The term 'tax regulations' refers to regulations created to enable automatic exchange of information and includes FATCA² and CRS³.

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

³ 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