

# CONTROLLING PERSON TAX RESIDENCY SELF-CERTIFICATION FORM

## PLEASE READ THESE INSTRUCTIONS 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.

You can find out more, including a list of countries that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal at [www.oecd.org](http://www.oecd.org)

Your tax residence generally is the country in which you live for more than half the year, but rules differ. Further details are available at [www.oecd.org](http://www.oecd.org)

A Taxpayer Identification Number ('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. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a 'functional equivalent'). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

This form will remain valid unless there is a change in circumstances relating to the Account Holder's tax status or other information included on this form. You must notify us of any change in circumstances that makes the information in this self-certification incorrect or incomplete, and provide an updated self-certification.

For joint or multiple controlling persons, use a separate form for each controlling person.

As a financial institution, National Counties Building Society is not allowed to give tax advice. If you have any questions on how to complete the Tax Residency section of 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 have been identified as 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.**

PLEASE COMPLETE PARTS 1 - 3 IN BLOCK CAPITALS

## PART 1 - PERSONAL DETAILS OF THE CONTROLLING PERSON

TITLE:	MR / MRS / MISS / MS
SURNAME:	
FORENAMES:	
DATE OF BIRTH:	
PERMANENT HOME ADDRESS:	
POSTCODE:	
CORRESPONDENCE ADDRESS (if different):	

Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person

LEGAL NAME OF ENTITY 1

LEGAL NAME OF ENTITY 2

LEGAL NAME OF ENTITY 3

## PART 2 - COUNTRY OF TAX RESIDENCE

Please list the country or countries in which you as the Controlling Person are resident for tax purposes, together with any tax identification number(s) ('TIN').

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

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

**Reason C** – No TIN is required. (Note: Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed.)

Country of Tax Residence	TIN	If no TIN available enter Reason A, B or C

Please explain in the following boxes why you are unable to obtain a TIN if you have selected **Reason B** above.

1	
2	
3	
4	
5	

# CONTROLLING PERSON TAX RESIDENCY SELF-CERTIFICATION FORM

## PART 3 - TYPE OF CONTROLLING PERSON

Please provide the Controlling Person's status by ticking the appropriate box.

	ENTITY 1	ENTITY 2	ENTITY 3
a. Controlling Person of a legal person – <b>control by ownership</b>			
b. Controlling Person of a legal person – <b>control by other means</b>			
c. Controlling Person of a legal person – <b>senior managing official</b>			
d. Controlling Person of a trust - <b>settlor</b>			
e. Controlling Person of a trust - <b>trustee</b>			
f. Controlling Person of a trust - <b>protector</b>			
g. Controlling Person of a trust - <b>beneficiary</b>			
h. Controlling Person of a trust - <b>other</b>			
i. Controlling Person of a legal arrangement (non-trust) – <b>settlor-equivalent</b>			
j. Controlling Person of a legal arrangement (non-trust) – <b>trustee-equivalent</b>			
k. Controlling Person of a legal arrangement (non-trust) – <b>protector-equivalent</b>			
l. Controlling Person of a legal arrangement (non-trust) – <b>beneficiary-equivalent</b>			
m. Controlling Person of a legal arrangement (non-trust) – <b>other-equivalent</b>			

**Notes:** A beneficiary's details only need to be included if s/he owns or is entitled to at least 25% of the trust property.

A shareholder's details only need to be included if s/he owns or controls more than 25% of the shares or voting rights – or otherwise exercises control of the management, e.g. the shareholder owns less than 25% but the percentage of ownership is significantly higher than any of the other shareholders.

## PART 4 - DECLARATION AND SIGNATURE

I understand that the information I have supplied is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with National Counties Building Society, setting out how National Counties Building Society 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 in which this/these account(s) is/are maintained and exchanged with tax authorities of another country or countries 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 National Counties Building Society 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, and to provide National Counties Building Society with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

SIGNATURE:		PRINT NAME:		DATE:	DD	MM	YYYY
------------	--	-------------	--	-------	----	----	------

**Note:** If you are not the Controlling Person 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:	
-----------	--