

# Tax compliance – international exchange of information agreement

## Controlling Person self-certification form

Tax regulations<sup>1</sup> require the collection of certain information about each account holder's tax residency and citizenship status.

This form is designed to capture the citizenship and residency for tax purposes of the person entitled to the income and assets associated with an account (the Controlling Person). Should you be completing this form on behalf of the Controlling Person, you should complete the form using information relating to their citizenship and residence for tax purposes rather than your own.

Special circumstances (such as studying abroad, working overseas, or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time (dual residency).

Please complete, where applicable, the relevant sections below in relation to all relevant accounts and provide any additional information as may be required. Please be advised that in certain circumstances we may be required to share this information with relevant tax authorities. This form is intended to request information only where such request is not prohibited by local law.

For joint or multiple account holders, please use a separate form for each Controlling Person<sup>2</sup>.

Do not use this form if you are an entity, nominee or other intermediary. Instead you should complete and provide the appropriate Self-Certification form.

If you have any questions about how to complete this form, please contact your tax adviser.

### Part 1 – Controlling Person Identification

#### Name of Controlling Person:

Family Name or Surname(s):

Title:

First or Given Name:

Middle Name(s):

Date of Birth:   /   /

Place of Birth (City/Town):

Country of Birth:

Permanent Residential Address:

Street:

Province, State or Town:

City:

Postal Code:

Country:

Mailing Address (Please only complete if mailing address is different to permanent residential address):

Street:

Province, State or Town:

City:

Postal Code:

Country:

## Part 2 — Type of Controlling Person

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

Entity 1:

Entity 2:

Entity 3:

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

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

Part 3 – Tax Residency/Citizenship Information (Continue on a separate sheet if necessary)

For the purposes of taxation, I am a resident in, or a citizen of the following countries and my Tax Identification Number (TIN)/functional equivalent in each additional country is set out below or I have indicated that a TIN/functional equivalent is unavailable:

- Please note that it is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is available or has not yet been issued, please provide an explanation for this in the relevant box below
- The TIN is a combination of letters and/or numbers assigned to the individual by their country of residence (or its tax authorities) to identify the individual in the course of collecting taxes
- In some countries this may be a number that is specifically referred to as a TIN while other countries may use other numbers (eg: National Insurance Number or Social Security Number) to identify their residents for tax purposes.

Controlling Person:

Country:	Tax Identification Number (TIN) or tick the box if TIN is unavailable:	
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
If no TIN available? Please provide explanation below		
<input type="text"/>		

Country:	Tax Identification Number (TIN) or tick the box if TIN is unavailable:	
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
If no TIN available? Please provide explanation below		
<input type="text"/>		

Country:	Tax Identification Number (TIN) or tick the box if TIN is unavailable:	
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
If no TIN available? Please provide explanation below		
<input type="text"/>		

Country:	Tax Identification Number (TIN) or tick the box if TIN is unavailable:	
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
If no TIN available? Please provide explanation below		
<input type="text"/>		

## Part 4 – Authorisations and Undertakings

1. I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the account holders relationship with Barclays Bank PLC and/or Barclays Bank UK PLC or any associated entities within the Barclays Group may use and share the information supplied by me.

I authorise Barclays Bank PLC and Barclays Bank UK PLC to provide, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of the Recipient for tax purposes, a copy of this form and to disclose to such tax authorities or such party any additional information that Barclays Bank PLC and Barclays Bank UK PLC may have in its possession that is relevant to my qualification for any benefits claimed on the basis of this Declaration.

I acknowledge and agree that information contained in this form and information regarding income paid or credited to or for the benefit of the account(s) set out above may be reported to the tax authorities of the country in which such income arises and that those tax authorities may provide the information to the country or countries in which I am resident for tax purposes.

2. I authorise Barclays Bank PLC and Barclays Bank UK PLC to provide, directly or indirectly, a copy of this form and information regarding income paid or credited to or for the benefit of the account(s) set out above to: (i) any person that has control, receipt, or custody of income to which this form relates; (ii) any person that can disburse or make payments of income to which this form relates; or (iii) any party authorised to audit or conduct a similar control of aforementioned persons for tax purposes.

3. I certify that I am the Controlling Person (or am authorised to sign for the Controlling Person) of all the income to which this form relates.

4. If signing on behalf of the Controlling Person, I undertake to notify the Controlling Person of the completion of this form and that their details may be reported to the tax authorities of the country in which they are resident for tax purposes.

**If you have signed this on behalf of the Controlling Person please indicate the capacity in which you have acted and provide your name and address here:**

Capacity

Full Name

Address

I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

I undertake to notify Barclays Bank PLC and Barclays Bank UK PLC of any change in circumstances that causes any information on this form to become incorrect and to provide a suitably updated form within **30 days of such change**.

Sign Here:

Print name:

Date   /   /

<sup>1</sup> The term 'tax regulations' refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act, various Agreements to Improve International Tax Compliance entered into between the UK, the Crown Dependencies and the Overseas Territories, and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information, [as implemented in the relevant jurisdictions.]

<sup>2</sup> Controlling person – An Entity is controlled by the persons or entities who hold at least 10% of the voting shares in the Entity or who are known to exercise significant influence over the policy, business and strategy of the Entity.

## Important – Your Personal Information

Barclays is committed to protecting your personal data. We will use your information for a number of different purposes, for example, to manage your account(s), to provide our products and services to you and others and to meet our legal and regulatory obligations. We may also share your information with our trusted 3rd parties for these purposes. For more detailed information on how and why we use your information, including the rights in relation to your personal data, and our legal grounds for using it, please go to one of the following:

- **Barclays Bank UK:** [barclays.co.uk/important-information/control-your-data](https://barclays.co.uk/important-information/control-your-data)
- **International Banking:** [international.banking.barclays.com/control-your-data](https://international.banking.barclays.com/control-your-data)
- **Private Banking:** [privatebank.barclays.com/controlling-your-data](https://privatebank.barclays.com/controlling-your-data)
- **Banking and Investing Overseas:** [overseas.barclays.com/control-your-data](https://overseas.barclays.com/control-your-data)

or you can request a copy from us.

[You can get this item in Braille, large print or audio by contacting us to advise us of your requirements.](#)

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