

# Entity self-certification

## Part I: Entity or organisation details and tax status information

Legal name of entity or organisation
<div>I confirm</div> <div>(i) The above mentioned entity is an Active Non Financial Entity (NFE)</div> <div>An active NFE is an entity that operates an active trade or business, with less than 50% of its gross income coming from passive income, and less than 50% of its assets are assets that produce, or are held to produce passive income (examples of passive income include interest and dividends).</div> <div>For example, Jones Repairs Ltd is a local garage that earns 100% of its income through fixing cars and selling cars on the garage forecourt. Therefore, as less than 50% of the income is passive income, the entity will be an active NFE.</div> <div>Other examples of active NFEs would generally include trading activities like hairdressers, catering, construction firms, wholesalers, electricians and manufacturers.</div> <div>Please tick this box to confirm your agreement with the active NFE statement. <input type="checkbox"/></div>
<div><b>Or</b></div> <div>I confirm</div> <div>(ii) The above mentioned entity is a Passive Non Financial Entity (NFE)</div> <div>A passive NFE is an entity where more than 50% of its assets are assets that produce, or are held to produce passive income, and where more than 50% of its gross income is passive income (such as dividends and interest) derived from those assets.</div> <div>Passive income is generated from a passive activity, such as investments or a rental property, or a business in which the taxpayer doesn't materially participate. Examples of passive income include dividends, interest, rents, royalties, and annuities.</div> <div>Please tick this box to confirm your agreement with the Passive NFE statement. <input type="checkbox"/></div>

## Part II: Business tax residency

If the business is registered in multiple countries, please list each one (continue on a separate sheet if needed).

i) Country/jurisdiction of tax residence	Tax Identification Number (TIN) or tick the box if TIN is unavailable
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/> <input style="width: 50px; height: 20px; float: right;" type="checkbox"/>

If no TIN available, please explain why

ii) Country/jurisdiction of tax residence	Tax Identification Number (TIN) or tick the box if TIN is unavailable
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/> <input style="width: 50px; height: 20px; float: right;" type="checkbox"/>

If no TIN available, please explain why

iii) Country/jurisdiction of tax residence

Tax Identification Number (TIN) or  
tick the box if TIN is unavailable

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If no TIN available, please explain why

### Part III: Tax residency of Controlling Persons

Only complete if passive NFE statement was selected, otherwise go to part IV.

Please complete the tax residency details for all of the Controlling Persons for the entity/organisation (continue on a separate sheet if needed). See the 'Guidance notes' at the end for help completing this.

Name of Controlling Person		
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Date of birth		

Name of Controlling Person		
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Date of birth		

Name of Controlling Person		
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Country/jurisdiction of tax residence	Tax Identification Number or equivalent	If no TIN is available, please explain why
Date of birth		

#### Part IV: Declaration and signature

<p>I authorise Barclays Bank UK PLC to provide a copy of this form, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of Barclays Bank UK PLC for tax purposes, and to disclose to such tax authorities or such party any additional information that Barclays Bank UK PLC may have in its possession that's relevant to the entity's qualification for any benefits claimed on the basis of this declaration.</p>	<p>I certify that the entity named is the beneficial owner of all the income to which this form relates.</p>
	<p>I'll notify Barclays Bank UK PLC of any change in circumstances that causes any information on this form to become incorrect and will provide a suitably updated form within 30 days of any such change.</p>
<p>I acknowledge and agree that information contained in this form and information about income paid or credited to or for the benefit of the accounts 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 the entity is resident for tax purposes.</p>	<p>I declare that I've examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.</p>
<p>I authorise Barclays Bank UK PLC to provide, directly or indirectly, a copy of this form and information relating to the accounts set out above, as required by law, 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.</p>	<p>I certify that I have the capacity to sign for the entity identified in this form.</p>

Print name

Date

Sign here

## **Guidance notes**

### **Tax Identification Number**

It's mandatory to provide a TIN or functional equivalent if the country where you're tax resident issues them. If no TIN is available or it hasn't been issued yet, please explain why in the relevant box.

- The TIN is a combination of letters and/or numbers assigned to the entity by their country of residence (or its tax authorities) to identify the tax payer in the course of collecting taxes
- In some countries, it might be a number that's specifically referred to as a TIN, while other countries may use other names, like Unique Taxpayer Reference

### **Controlling Persons**

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 its policy, business and strategy.

Controlling Persons are the natural persons who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity ('passive NFE') then a financial institution is required to determine whether or not these Controlling Persons are Reportable Persons. This definition corresponds to the term 'beneficial owner' described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

In the case of a trust, the Controlling Persons are the settlors, the trustees, the protectors (if any), the beneficiaries or classes of beneficiaries, or any other natural persons exercising ultimate effective control over the trust (including through a chain of control or ownership).

Under the CRS the settlors, the trustees, the protectors (if any), and the beneficiaries or classes of beneficiaries, are always 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 settlors of a trust is an entity then the CRS requires financial institutions to also identify the Controlling Persons of the settlors and, when required, report them as Controlling Persons of the trust.

In the case of a legal arrangement other than a trust, Controlling Persons means persons in equivalent or similar positions.