

# Tax compliance – international exchange of information agreement.

## Individual Self-Certification form instructions

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

**These explanatory notes are to assist you in the completion of these forms and not intended to provide tax advice.**

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

**Barclay Bank PLC and Barclays Bank UK PLC cannot accept a form if we have reason to know, believe or have actual knowledge that the information provided in the form is invalid or incorrect.**

**It is the responsibility of the person completing the form to ensure that the information provided is complete and valid and, additionally, to provide Barclay Bank PLC and Barclays Bank UK PLC with any additional documentation, information or replacement forms when requested or required.**

You may provide this Self-Certification if:

- you are the Beneficial Owner of the assets held in the account to which this form refers; or
- if you are authorised to complete the form on behalf of the Beneficial Owner.

Do **not** use this form if you are an entity. Instead, use the Entity Self-Certification Form.

If you are an individual and a US citizen or US resident alien, please also complete an IRS form W9.

Should you have multiple residencies, please make sure you provide the relevant information for each one.

If you have a US tax residency in addition to other tax residencies, you should provide a completed, signed and dated IRS form W9 **in addition** to this Self-Certification form.

<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.

## Part 1 – Customer Identification

<b>Family Name or Surname(s):</b>	(Mandatory) Enter your surname.
<b>Title</b>	(Optional) Please enter your title (i.e. Sir, Miss, Mr., ...)
<b>First or Given Name</b>	(Mandatory) Enter your first name
<b>Middle Names (s)</b>	(Optional) Enter all your middle name(s) here
<b>Date of Birth</b>	(Mandatory) Enter your date of birth under the format DD / MM / YYYY
<b>Place (City/Town)</b>	(Mandatory) Enter the city or town where you were born.
<b>Country of Birth</b>	(Mandatory) Enter your country of birth.
<b>Permanent Residential Address:</b> House number/Name/Street: Province, State or Town: Postal Code: City: Country:	<ul style="list-style-type: none"> <li>• (Mandatory) A permanent residence address is generally the address in the country where you claim to be a resident for purposes of that country's income tax.</li> <li>• The permanent address should be for the individual named as the Account Holder.</li> <li>• If you do not have a tax residency, the permanent residence is where you reside.</li> <li>• The following cannot be used as a permanent residence address: <ul style="list-style-type: none"> <li>– A post office (P.O. Box) address (unless that is the only address style available for that country)</li> <li>– An in-care-of (c/o) address or addresses used solely for mailing purposes</li> <li>– An address at a financial institution or an employer that is solely for mailing purposes and does not represent your registered address.</li> </ul> </li> </ul> <p>An address showing the name of any other individual (indication of in-care-of).</p>
<b>Mailing Address:</b> Street: Province, State or Town: Postal Code: City: Country:	(Optional) Enter your mailing address only if it is different from your permanent address.
<b>Please tick this box if you are opening a UK account, you are solely a UK resident, for tax purposes and you are not a US Person. (If you have ticked this box you do not need to complete Part 2, therefore please continue straight to Part 3.)</b>	(If applicable) This box indicates that the account holder is solely resident in one jurisdiction and is not a US Person. Ticking this box means that you do not need to provide any of the information in Part 2, but you must still complete Part 3.

## Part 2 – Tax Residency/Citizenship Information

- Please **supply a TIN (Tax Identification Number) 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 (e.g.: Unique Tax Reference number, National Insurance Number or Social Security Number) to identify their residents for tax purposes. If you do not know your TIN, please contact your local tax authority.

<b>US person tick box</b>	<b>(If applicable only)</b> Tick the box if you are a US Resident Alien, or currently hold US citizenship. This includes if you were born in the US or are a US passport holder, or you hold dual citizenship with the US and another country. If you are a US citizen living permanently or temporarily outside the US, you will still be a US citizen, unless you have officially renounced your US citizenship.
<b>Account Holder:</b> Country: Tax Identification Number (TIN) or tick the box if TIN is unavailable:	<b>(Mandatory)</b> Enter the TIN (Tax Identification Number) of your tax residency alongside the corresponding country of residency.  Please complete this section for each country where you are tax resident.  You can enter as many TIN/countries as required.  When indicating a country of residency for which the TIN is not available, please tick the corresponding box and complete the next field for explanation.
<b>If no TIN available? Please provide explanation below:</b>	<b>(mandatory if no TIN)</b> When you are unable to provide a TIN, you <b>must</b> explain the reason why. (e.g. when you have not been issued a TIN, e.g. the jurisdiction does not issue one),
<b>If you have more than one country of residence &amp; TIN (or functional equivalent), please provide them all.</b>	

## Part 3 – Authorisations and Undertakings

<p>1. I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Barclay Bank PLC and Barclays Bank UK PLC setting out how Barclay Bank PLC and Barclays Bank UK PLC or any other associated entities may use and share the information supplied by me.</p> <p>I authorise Barclay 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 Barclay Bank PLC and Barclays Bank UK PLC for tax purposes, a copy of this form and to disclose to such tax authorities or such party any additional information that the Barclay 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.</p> <p>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.</p>	<p>This section is for you to confirm that you authorise Barclays to share the tax information contained in this form with the relevant parties: tax authorities, auditor or parties conducting similar control of Barclay Bank PLC and Barclays Bank UK PLC.</p> <p>It also confirms that you acknowledge your tax information may be reported to the relevant tax authorities where applicable.</p>
<p>2. I authorise the Barclay 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.</p>	<p>Authorisation for Barclays to share the tax information of this form to other parties not already mentioned above.</p>
<p>3. I certify that I am the beneficial owner (or am authorised to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is owner of an account held at the Barclay Bank PLC and Barclays Bank UK PLC financial institution.</p>	<p>Certification that you are Beneficial Owner of the account and completing your own tax form or authorised to sign for the Beneficial Owner.</p>
<p>4. If signing on behalf of the beneficial owner, I undertake to notify the beneficial owner 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.</p>	<p>This section confirms that you will notify the Beneficial Owner that their details have been submitted in relation to the Account.</p>

<b>Capacity</b>	(If applicable only) Only if you signed the form on behalf of the account holder (e.g. you are the account manager), enter the capacity in which you are acting.
<b>Full Name</b>	(If applicable only) If you signed the form on behalf of the account holder, enter your full name.
<b>Address</b>	(If applicable only) If you signed the form on behalf of the account holder, enter your Permanent Residential Address.
<b>I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete</b>	Certification that information are correct & complete.
<b>I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.</b>	Agreement to notify Barclay Bank PLC and Barclays Bank UK PLC of any change in circumstances within 30 days.
<b>Sign here:</b>	(Mandatory) By signing here you confirm your understanding and agreement with all statements mentioned in Part 3 of the tax form.
<b>Print Name:</b>	(Mandatory) Print your name in block capitals.
<b>Date</b>	(Mandatory) Enter today's date in format dd/mm/yyyy

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