



## Entity AEOI self-certification form

The Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) international agreements have come into force to help tax authorities find and stop tax evasion, especially relating to assets held in countries where the owner is not resident for tax purposes. These regulations require us to collect certain information about our customers' tax residency and also identify any accounts which may be reportable to the relevant tax authorities. We have identified that we do not hold the relevant tax information with regards to your residency and citizenship so please complete this form in order for us to update our records.

Please complete each section of this form and refer to the accompanying guidance notes. If your organisation is resident in the United States or dual resident, you should also provide a completed, signed and dated IRS Form W-9.

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

### Part I – Entity organisation details (Please refer to page 1 of the Guidance Notes)

Legal Name of Entity or Organisation		
Country of Incorporation		
Permanent Residency Address (please note that PO Box addresses are not acceptable)		
City/Town	Postal Code	Country

### Part II – Tax Residency (Please refer to page 1 of the Guidance Notes)

(1) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
(2) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
(3) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
(4) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:

### Part III – Entity certification (Please refer to pages 2-3 of the Guidance Notes)

If the organisation is not a specified person in the country stated above, please tick box <input type="checkbox"/> and detail your reason in the space provided below:
Please select one classification type a) to h)

(Continues overleaf)

**Active Non-Financial Entity (NFE)** (Note: If selecting (a) - (d) of this section, please then continue to Part V 'Declaration & Signature')

a) **Active NFE** - An entity that operates an active trade of business that generates less than 50% Passive Income (examples of Passive income include interest and dividends)

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. (Note: examples of Active NFEs would generally include, construction firms, wholesalers, electricians and manufacturers.)

b) **Active NFE** - 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

Established securities market

Name of related entity

c) **Active NFE** - A government entity or central bank

d) **Active NFE** - An international organisation (For example, The United Nations)

If you are a Start-up company formed in the past 24 months, please also provide your date of incorporation

e) **Passive Non Financial Entity:** (Note: If completing this section, please then continue to Part IV 'Controlling Persons')

An entity that generates 50% or more of its income from Passive means (examples of Passive income includes interest and dividends).

For example, JH Investments Ltd is an investment entity that holds £300k assets in various FTSE companies and bonds. The only income that the entity receives is dividend payments and bond interest payments from the assets that are held. Therefore, as 100% of the entity's income is Passive income, the entity will be classified as a Passive NFE.

**Financial Institution (FI) classification:**

f) An Investment entity located in a non-participating jurisdiction and managed by another FI. (Complete Part IV 'Controlling Persons')

g) Other Investment Entity (Complete Part V 'Declaration & signature')

h) Depository Institution, custodial institution or specified insurance company (Complete Part V 'Declaration & signature')

Please provide, if held, your own or your sponsoring entity's Global Intermediary Identification Number (GIIN) provided by IRS obtained for FATCA purposes. Also confirm that the entity is carrying out the CRS due diligence.

Sponsoring Entity (if applicable)

GIIN unavailable reason:

I. It is a Participating Financial Institution in a IGA Partner Jurisdiction and has not yet obtained a GIIN

II. It is a Financial Institution that intends to apply for a GIIN but has not yet applied or has not yet received it

III. It is an Exempt Beneficial Owner (i.e. an international organisation)

IV. It is a Certified Deemed Compliant Foreign Financial Institution (e.g. a registered charity)

V. It is an Owner Documented Foreign Financial Institution

VI. It is a Non-Participating Foreign Financial Institution

VII. Other

**Part IV – Controlling Persons** (please refer to page 3 of the guidance notes)

Controlling persons (CPs) are the natural person(s) who exercise control over an entity. Please refer to guidance notes while completing this section.

In the case of a trust, the controlling person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership).

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.

Please choose the capacity/ position of Controlling Person from this list:

An entity or other legal person	a.) Control by ownership b.) Control by other means c.) Senior managing official
A trust	d.) Settlor e.) Trustee f.) Protector g.) Beneficiary
A legal arrangement (non-trust)	h.) Settlor - equivalent i.) Trustee – equivalent j.) Protector - beneficiary - equivalent k.) Beneficiary - equivalent l.) Other - equivalent

Name		Controlling persons type (select from above)
Current residence address		
City/ town	Postal Code	Country
(1) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
(2) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
(3) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
Date of Birth	Town/ City of Birth	Country of Birth

Name		Controlling persons type (select from above)
Current residence address		
City/ town	Postal Code	Country
(1) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
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(3) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
Date of Birth	Town/ City of Birth	Country of Birth
If additional space is required, please use copies of this section of provide seperately.		

Name		Controlling persons type (select from above)
Current residence address		
City/ town	Postal Code	Country
(1) Country / jurisdiction of tax residence	TIN or Equivalent :	If no TIN is available, please provide an explanation below:
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Date of Birth	Town/ City of Birth	Country of Birth
If additional space is required, please use copies of this section of provide separately.		

## Part V – Declaration & Signature

<p>I authorise Barclays Bank PLC to provide, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of Barclays Bank PLC 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 may have in its possession that is relevant to the entity's 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 the entity is resident for tax purposes.</p> <p>I authorise Barclays Bank PLC to provide, directly or indirectly, a copy of this form and information relating to the account(s) 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 that the entity named is the beneficial owner of all the income to which this form relates.</p> <p>I undertake to notify Barclays Bank 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.</p> <p>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.</p> <p>I certify that I have the capacity to sign for the entity identified in Part I of this form.</p>
Print Name	Signature (please note, if returning by post then a wet signature is required)	
Date (dd/mm/yyyy)		

## Information

1. AEOI ("Automatic Exchange of Financial Information") refers to the regulations created to enable the 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 Information as implemented in the relevant jurisdiction.
2. For FAQ's, please refer to page 6 of the Guidance Notes
3. For definitions, please refer to page 7 of the Guidance Notes