



Self Certification for Entity Clients
 UK Automatic Exchange of Information and the OECD Common Reporting Standard (CRS)

Appendix 1 Controlling Persons

Controlling Persons are defined as natural persons and exercise control over the entity or the shareholders of the entity based on local Anti-Money Laundering (AML) requirements. 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.

In the case of a Trust this means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the Trust (including through a chain of control or ownership). In the case of a legal arrangement other than a Trust, it means persons in equivalent or similar positions.

Please continue on a separate sheet if necessary, signing, dating and attaching the sheet to this form.

Controlling Person	First Name		Family Name / Surname	
	Address		Date of Birth and Place of Birth (City/Town, Country)	
	City / Town	State / Province	Postal Code	Country (do not abbreviate)
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	If no TIN is available then please provide explanation
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Controlling Person Type	Legal Person: <input type="checkbox"/> Ownership <input type="checkbox"/> Others Means <input type="checkbox"/> Senior Managing Official		
Legal Arrangement - Trust: <input type="checkbox"/> Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Protector <input type="checkbox"/> Beneficiary <input type="checkbox"/> Others				
Legal Arrangement - Others: <input type="checkbox"/> Settlor Equivalent <input type="checkbox"/> Trustee Equivalent <input type="checkbox"/> Protector Equivalent <input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Others Equivalent				

Controlling Person	First Name		Family Name / Surname	
	Address		Date of Birth and Place of Birth (City/Town, Country)	
	City / Town	State / Province	Postal Code	Country (do not abbreviate)
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	If no TIN is available then please provide explanation
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Controlling Person Type	Legal Person: <input type="checkbox"/> Ownership <input type="checkbox"/> Others Means <input type="checkbox"/> Senior Managing Official		
Legal Arrangement - Trust: <input type="checkbox"/> Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Protector <input type="checkbox"/> Beneficiary <input type="checkbox"/> Others				
Legal Arrangement - Others: <input type="checkbox"/> Settlor Equivalent <input type="checkbox"/> Trustee Equivalent <input type="checkbox"/> Protector Equivalent <input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Others Equivalent				

Controlling Person	First Name		Family Name / Surname	
	Address		Date of Birth and Place of Birth (City/Town, Country)	
	City / Town	State / Province	Postal Code	Country (do not abbreviate)
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	If no TIN is available then please provide explanation
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Controlling Person Type	Legal Person: <input type="checkbox"/> Ownership <input type="checkbox"/> Others Means <input type="checkbox"/> Senior Managing Official		
Legal Arrangement - Trust: <input type="checkbox"/> Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Protector <input type="checkbox"/> Beneficiary <input type="checkbox"/> Others				
Legal Arrangement - Others: <input type="checkbox"/> Settlor Equivalent <input type="checkbox"/> Trustee Equivalent <input type="checkbox"/> Protector Equivalent <input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Others Equivalent				

Controlling Person	First Name		Family Name / Surname	
	Address		Date of Birth and Place of Birth (City/Town, Country)	
	City / Town	State / Province	Postal Code	Country (do not abbreviate)
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	If no TIN is available then please provide explanation
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Country of Tax Residence	Tax Identification Number (TIN)	TIN Type	
	Controlling Person Type	Legal Person: <input type="checkbox"/> Ownership <input type="checkbox"/> Others Means <input type="checkbox"/> Senior Managing Official		
Legal Arrangement - Trust: <input type="checkbox"/> Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Protector <input type="checkbox"/> Beneficiary <input type="checkbox"/> Others				
Legal Arrangement - Others: <input type="checkbox"/> Settlor Equivalent <input type="checkbox"/> Trustee Equivalent <input type="checkbox"/> Protector Equivalent <input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Others Equivalent				