

FATCA & CRS – Self Certification Form for Controlling Persons

Tax regulations¹ 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 or treated as entitled to the income and assets associated with an account or trust. 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 or trusts 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 Person². 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:

% of holding

CP/UBO Code³:

Date of birth

 / /

Residential Address

Place of Birth (City/Town)

Province, State or Town

Country of Birth

Gender

City

Nationality

Postal Code

Father's Name

Country

Occupation Type

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			
b. Controlling Person of an entity or other legal person – control by other means			
c. Controlling Person of an entity or other legal person – senior managing official			
d. Controlling Person of a trust - settlor			
e. Controlling Person of a trust – trustee			
f. Controlling Person of a trust – protector			
g. Controlling Person of a trust – beneficiary			
h. Controlling Person of a trust – other			
i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent			
j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent			
k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent			
l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent			
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent			

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)	If no TIN available? Please provide explanation below

Part 4 – Authorisations and Undertakings

1. I understand that the information supplied by me is covered by the full provision's of the terms and conditions governing the Account holder or Trust relationship (both present and future) with each of the Barclays⁴ entity ("Barclays") setting out how Barclays or any other associated entities may use and share the information supplied by me.

I authorise Barclays to provide, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of Barclays for tax purposes, a copy of this form and to disclose to such tax authorities or such party any additional information that Barclays 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) or Trusts 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 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) or Trusts 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 or am using this form to document myself as an individual that is owner of the account or trust held with /administered by Barclays.
4. I consent to and authorize Barclays to disclose the information set out in this form to any third party, give any undertakings and/or make any declarations in this respect on my behalf provided: (i) any disclosure, undertaking and/or declaration given by Barclays on my behalf is for any purpose in connection with services that Barclays provides to me and (ii) such information, undertaking and/or declaration was requested by a third party in order to comply with applicable regulations and/or authorities.
5. 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 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: / /

Information

¹ 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 India and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information, as implemented in the relevant jurisdictions.

² Controlling person -Controlling persons: Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position. In determining the beneficial owner, the procedure specified under sub-section 6(B) to section 114F of Income-tax Rules, 1962 read along with circular bearing reference no CIR/MIRSD/2/2013, issued by the Securities and Exchange Board of India (SEBI) on the 24th January, 2013 with respect to Barclays Securities (India) Private Limited and read long with circular bearing reference no DBOD.AML.BC. No.71/14.01.001/2012-13, issued by the Reserve Bank of India (RBI) on the 18th January, 2013, as amended/replaced from time to time shall be applied

Pursuant to guidelines on identification of beneficial ownership issued by SEBI and RBI, persons (other than Individuals) are required to provide details of beneficial owner(s). Accordingly, the beneficial owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of/entitlements to:

- (a) More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- (b) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- (c) More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official

³ UBO Code/Type Code of the Controlling Person

Code Sub-category

01 CP of legal person-ownership / 02 CP of legal person-other means / 03 CP of legal person-senior managing official
04 CP of legal arrangement-trust-settlor / 05 CP of legal arrangement-trust-trustee / 06 CP of legal arrangement- trust-protector / 07 CP of legal arrangement-trust-beneficiary / 08 CP of legal arrangement-trust-other / 09 CP of legal arrangement-Other-settlor equivalent / 10 CP of legal arrangement-Other-trustee equivalent / 11 CP of legal arrangement-Other-protector equivalent / 12 CP of legal arrangement-Other-beneficiary equivalent / 13 CP of legal arrangement-Other-other equivalent / 14 Unknown

⁴ The term Barclays includes Barclays Securities (India) Private Limited, Barclays Bank PLC, Barclays Wealth Trustees (India) Private Limited and Barclays Investments and Loans (India) Limited