

FATCA and CRS - Self Certification Form for Individuals

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 to the income and assets associated with an Account or Trust. Should you be completing this form on behalf of the Account holder², 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 Trust 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 individual person.

If you are a US citizen or resident of the US for tax purposes under US Internal Revenue Service ('IRS') regulations 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.

Part 1 – Customer identification

Name of Applicant

Residential Address

Date of birth

 / /

Province, State or Town

Place of Birth (City/Town)

City

Country of Birth

Postal Code

Country

Part 2 – Tax Residency/Citizenship Information (Continue on a separate sheet if necessary)

For the purposes of taxation, I am a resident in 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: Permanent Account Number (PAN) for India, National Insurance Number or US Social Security Number) to identify their residents for tax purposes.

Account Holder

Country	Tax Identification Number (TIN)	If no TIN available? Please provide explanation below

US Status Declaration: Are you a US person or US Citizen

Yes

No

In case the answer to the above is 'Yes', under US Internal Revenue Service ("IRS") regulations you should also provide a completed, signed and dated IRS W-9 Form.

Part 3 – 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 Barclays³ 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 the 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 Trust 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 Trust 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 Account holder (or am authorised to sign for the individual that is the Account holder) 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 or Trust held with 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 Account holder, I undertake to notify the Account holder 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 account holder please indicate the capacity⁴ 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: / /

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 'Account holder' includes all those persons who are entitled to the income and assets associated with an account and all persons who have control over the account, for a Trust administered by us this will include the settlor(s), any beneficiaries, any protector(s), any trust Advisor(s) and any other person with control.

³ 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

⁴ You can only sign this form on behalf of the account holder if you are named as the attorney for the account holder under an authorised power of attorney (a copy of which must be submitted at the same time as the form) or you are the parent or guardian of the account holder (evidence of relationship must be submitted at the same time as this form; only parents of minor children, i.e. under 18 years, can sign on behalf of their child).