



Self-Certification for Entities Under Automatic Exchange of Financial Account Information

All entities must complete sections A, B, C, D and F and may also need to complete section E and/or the Annex.

Financial Institutions are required under UK law to review and collect details of accounts held by all accountholders and to report details about US persons and those who are tax resident outside the UK. We ADMISI have to ascertain whether there are any reportable US persons (Section C) or other reportable non-UK tax residents (Section D)

Please refer to the accompanying Explanatory Notes and Glossary and/or contact your tax advisor to help complete this form.

Section A: Entity Information

Entity name (full)	
Registered Address (including postcode and country)	
Mailing Address (if different from registered address)	
Country of Incorporation/Organisation	
Account Number(s)*	

* For ADMISI to complete

Section B: Entity Tax Residency

Please indicate ALL countries in which the Entity is resident for tax purposes and the relevant Tax Identification Number or Functional Equivalent.

If the Entity is resident in the United States you must also complete and return IRS (Internal Revenue Service) form W-9 and include any additional tax residencies in the table below. In all other cases, please complete and return the relevant IRS W-8 form.

Country of tax residency	Tax Identification Number (TIN)	No TIN*

***If you ticked the "no TIN" box, please explain below why you do not have a TIN:**

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Section C: Entity classification for the purposes of FATCA

Under FATCA, any non-US Entity will either be a Financial Institution (FI) or a Non-Financial Foreign Entity (NFFE/NFE)*. If you are an FI please complete Section C1 below and if you are an NFE please complete Section C2 below to determine the status of the Entity. You will also need to complete Section D.

* For the rest of this form "NFFE" will be referred to as "NFE" (Non-Financial Entity), the term used in the CRS (see Section D below).

C1. The Entity is a Financial Institution

(a) The Entity is able to provide a Global Intermediary Identification Number (GIIN)

- i) The Entity has registered as an FI (including 'Sponsored Investment Entity') – please provide the Entity's GIIN; or
- ii) The Entity is a 'Sponsored closelyheld Investment Vehicle' - please provide the GIIN of the sponsoring FI

Please provide your GIIN here: _ _ _ _ _ . _ _ _ _ _ . _ _ _ _ _

(b) If unable to provide a GIIN, please give a reason by ticking one of the boxes below:

- i) The Entity is an 'Exempt Beneficial Owner' (e.g. International Organisation) ☐
- ii) The Entity is or intends to be an 'Owner-documented FI' (e.g. discretionary managed entity) with ADMIS; in this case, please complete the Annex* ☐
- iii) The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity) ☐
- iv) The Entity is a Non-Participating FI ☐
- v) Other reason (Please specify below): ☐

* Please note that Owner Documented FIs are only allowed under FATCA and not under CRS.

C2. The Entity is NOT a Financial Institution

If the Entity is not an FI, it will be considered to be an NFE. It can be an Active or Passive NFE. Under FATCA, Passive NFEs also have the option of being a Direct Reporting or Sponsored Direct Reporting NFE.

Please note that the concepts of a "Direct Reporting NFE" and a "Sponsored Direct Reporting NFE" are only applicable to FATCA and do not apply to the CRS.

Active NFE		Please complete Sections D and F	
Passive NFE		Please complete Sections D, E and F	
a) Direct Reporting NFE		Please provide the NFE's GIIN	_ _ _ _ _ . _ _ _ _ _ . _ _ _ _ _
b) Sponsored Direct Reporting NFE		Please provide the GIIN of the NFE's Sponsoring Entity	_ _ _ _ _ . _ _ _ _ _ . _ _ _ _ _

Please now complete Section D overleaf



Section D: Entity classification for the purposes of the Common Reporting Standard (CRS)

Please tick one of the boxes below:

- (a) The Entity is a Managed Investment Entity
(More than 50% of the Entity's gross income is attributable to investment activities AND the Entity has appointed a Financial Institution to manage its assets (in part or in whole) on a discretionary basis) ☐
- (b) The Entity is a Financial Institution (other than a Managed Investment Entity) ☐
- (c) The Entity is a Non-Reporting Financial Institution (i.e. Governmental Entity) ☐
- (d) The Entity is an Active NFE ☐
- (e) The Entity is a Passive NFE – if you tick this box please complete Section E below ☐

If you have ticked (a) or (b) above you may be responsible for reporting any reportable persons to your local tax authority that are tax resident in a Reportable Jurisdiction.

Section E: 'Passive NFE' Controlling Persons Self-Declaration of Tax Residency

Please complete this section **only** if

- i. you have declared the Entity to be a 'Passive NFE' in Sections C or D, **or**
- ii. the Entity is a Managed Investment Entity tax resident in a jurisdiction that is not a Participating Jurisdiction (see glossary).

Please could you list in the table on Page 4 each Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH Controlling Person. If a Controlling Person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

Section F: Declaration Section (To be completed by all Entities)

- 1) I confirm that as per UK guidance I am authorised to sign this form and that the information provided is, to the best of my knowledge and belief, accurate and complete.
- 2) I undertake to advise ADMISI promptly of any Change in Circumstances which causes the information contained herein to become incorrect or incomplete and to provide ADMISI with an updated declaration within 30 days of such a Change in Circumstances.
- 3) I am aware that in certain circumstances ADMISI will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
- 4) If the Entity is classified as a Passive NFE I can confirm that I have provided information relating to all Controlling Persons in the Table on Page 4.

Signature: _____

Print Name: _____

Date: _____

Capacity: _____



SECTION E PASSIVE NFE TABLE

Please could you list in this table each Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH Controlling Person. If a Controlling Person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

Full Name	Type of Controlling Person	Country of Tax Residency	Permanent Residence Address (including postcode and country)	Tax Identification Number Or Functional Equivalent	Country of birth	Place of birth	Date of birth (DD-MM-YY)

ANNEX

‘Owner-documented FIs’ with ADMISI

Please note that the concept of “Owner-documented FIs” is only applicable to FATCA and not the CRS.

This section must be completed by Entities that declare in Section C.1.b) to be an FI and intend to be an “Owner-Documented FI” with ADMISI.

UK legislation based on international information exchange agreements provides that an Entity which qualifies as an ‘Owner-documented FI’ will not have to register with the IRS nor obtain a GIIN.

Section A: Qualification for Owner-Documented FI Status

In order to qualify as an ‘Owner-documented FI’, the Entity must meet ALL of the conditions in Section A. To confirm that the Entity meets the requirements to qualify as an “Owner-documented FI” please answer the following three questions and indicate “T” (True) or “F” (False) in the column on the right:

True(T)/False (F)

- | | |
|--|--------------------------|
| 1. The Entity does not maintain a financial account for any Non-Participating Financial Institution i.e a Non-Participating FI does not hold an equity interest or debt interest in the Entity. | <input type="checkbox"/> |
| 2. The Entity is not owned by, nor a member of, a group of Related Entities with any FI that is a depository, custodial or specified insurance company as defined in UK legislation. | <input type="checkbox"/> |
| 3. The Entity provides ADMISI (i.e. the reporting entity) information regarding all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Entity. | <input type="checkbox"/> |

Information regarding equity and debt holders of the Entity is required in order to enable ADMISI to determine whether it is obliged to submit certain information regarding the Entity account to UK tax authorities. The information required to be provided to ADMISI applies to:

- All persons that hold a direct or indirect equity interest in the Entity (including direct or indirect equity interests in an equity holder of the Entity); and
- All persons that hold a direct or indirect debt interest in the Entity (including direct or indirect equity interests in a debt holder of the Entity)

Only where ALL responses to the questions in Section A are “T” will the Entity qualify for Owner-Documented FI status and you may proceed to Section B of this Annex. Otherwise please refer to your contact at ADMISI for instruction.

Section B: Entity Owner Information

Please provide information regarding the Entity Interest Holders as required by Section A.3 of this Annex. Include all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Entity as defined above. Indicate all countries of tax residence of each person and where such person is a US citizen, US Green Card holder, or US resident or US entity, you must include United States in this table along with his/her US Tax Identification Number.

We will then check whether we already have appropriate documentation for these persons on file, or whether we are obliged to request further documentation from you.

Note that additional information may be required by ADMISI and this may include appropriate documentation already obtained for UK regulatory purposes. Nevertheless ADMISI may be obliged to request further documentation from you.

Please complete the following with information on all direct interest holders of the Trust. Please also provide information for all indirect equity/debt holders if applicable.



ADM Investor Services
International Limited

ADM Investor Services International Limited
3rd Floor, The Minster Building
21 Mincing Lane, London EC3R 7AG
t +44 (0)20 7716 8000 / f +44 (0)20 7294 0224

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WWW.ADM.COM

B 1. Entity Owner Information: Direct Interest Holders

ANNEX

Where an Interest Holder in the Entity is itself an Entity the Interest Holders of the Entity are "Indirect" Interest Holders of the Entity. Please complete the information in Section B.2 for all Indirect Holders.

Please provide the following information for each Direct Holder of the entity and indicate if they are an individual or an entity.

Full Name	Type of Interest	Country of Tax Residency	Permanent Residence/Registered Address (including postcode and country)	Tax Identification Number or Functional Equivalent	Country of birth /Incorporation	Place of birth (individuals only)	Date of birth /incorporation (DD-MM-YY)



B 2. Entity Owner Information: Indirect Interest Holders

Where an Interest Holder of the Entity is itself an Entity the Interest Holders of the Entity are “Indirect” Interest Holders of the Entity. The identification of Indirect Interest Holders must be made by looking through all Direct and Indirect Interest Holders who are themselves Entities.

Please provide information below regarding Indirect Interest Holders under the name of the Direct/Indirect Entity they hold equity/debt interests in.

Full Name	Type of Controlling Person	Country of Tax Residency	Permanent Residence Address (including postcode and country)	Tax Identification Number or Functional Equivalent	Country of birth	Place of birth	Date of birth (DD-MM-YY)

Section C: Declaration Section

ANNEX: OWNER DOCUMENTED FIs ONLY

- 1) I confirm that as per UK guidance I am authorised to sign this form and that the information provided is, to the best of my knowledge and belief, accurate and complete.
- 2) I undertake to advise ADMISI promptly of any Change in Circumstances which causes the information contained herein to become incorrect or incomplete and to provide ADMISI with an updated declaration within 30 days of such a Change in Circumstances.
- 3) I am aware that in certain circumstances ADMISI will be obliged to share information with UK tax authorities, who may pass it on to the tax authorities of other countries.
- 4) I am aware that this Owner-documented FI (ODFI) Agreement is only applicable to the reporting of US persons under FATCA regulations and therefore the Entity remains responsible for meeting any reporting obligations under the CRS regulations.
- 5) If the Entity is taking advantage of the ODFI classification under the FATCA Agreement I can confirm that I have provided information relating to all Direct and Indirect Interest Holders in the Entity in the Tables on Pages 6 and 7.

Signature: _____ Print Name: _____
Date: _____ Capacity: _____