

Entity Self-certification form

Need more information?



alrayanbank.co.uk



0800 4086 407

Mon to Fri: 9am–5pm

Her Majesty's Revenue and Customs (HMRC) requires Al Rayan Bank PLC to collect and report certain information about an account holder's tax residency.

Please complete this form where you need to self-certify on behalf of an entity account holder. If you are completing this form on the account holder's behalf, please fill in their details. For joint or multiple account holders, please use a separate form for each account holder.

If the account holder is a US citizen or resident of the US for tax purposes under US Internal Revenue Service (IRS), you should also complete the IRS W-9 Form.

All fields marked with a * are mandatory. For your assistance, you can read the selected summaries of defined terms on our website at alrayanbank.co.uk/tax-forms.

Section 1 Account holder details

Legal name of entity or organisation*

Country of incorporation*

Registered address incl. country and post code*

Mailing address incl. country and post code*

Section 2 Tax residency

Please state (i) where the Account Holder is tax resident and (ii) the Account Holder's Tax Identification Number (TIN) (or a functional equivalent) for each reportable jurisdiction. Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each jurisdiction of residence (rather than for each reportable jurisdiction).

If the Account Holder is not tax resident in any jurisdiction (for example, it is fiscally transparent), please provide its place of effective management or country in which its principal office is located. If the Account Holder is tax resident in more than three countries please use a separate sheet.

If a TIN is unavailable please provide where appropriate, reason A, B or C:

Reason A – The country where I am liable to pay tax does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN)

Reason C – No TIN is required. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction

Country of tax residence*

TIN (or tick the box if TIN is not available)*

If TIN is not available, state reason code*

If you have stated **Reason B** above, please provide an explanation

Country of tax residence
TIN (or tick the box if TIN is not available)
If TIN is not available, state reason code
If you have stated **Reason B** above, please provide an explanation

Country of tax residence
TIN (or tick the box if TIN is not available)
If TIN is not available, state reason code
If you have stated **Reason B** above, please provide an explanation

Section 3 Entity type*

Please provide the Entity's status by selecting one of the options in (1) or (2) below, where (1) is a 'Financial Institution (FI)' and (2) is a 'Non-Financial Entity (NFE)'. Where the Entity is a NFE, please advise of its status, active or passive.

Income and assets NFE definition: Less than 50% of the NFE's gross income for the preceding calendar year (or other appropriate reporting period) is **passive income**, and less than 50% of the assets held by the NFE during the preceding calendar year (or other appropriate reporting period) are assets that produce (or are held for the production of) **passive income**.

1. (a) Financial Institution (FI) - Investment Entity

- i. An investment entity located in a non-participating jurisdiction and managed by another FI. If ticking this box, please give details of each Controlling Person in Section 4
- ii. Other investment entity

(b) Financial Institution (FI) - Non-investment Entity

- i. Depository Institution, Custodial Institution or Specified Insurance Company

If you have selected (a) or (b) above, please provide, if held, the entity's Global Intermediary Identification Number (GIIN) obtained for FATCA Purposes:

2. Non-Financial Entity (NFE) - Active or Passive

- (a) 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

If you have ticked (a), please provide the name of the established securities market on which the corporation is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in (a) is a Related Entity of:

- (b) Active NFE – a Government Entity or Central Bank (c) Active NFE – an International Organisation
- (d) Active NFE – other than (a)-(c) (for example a start-up NFE or a non-profit NFE)
- (e) Passive NFE (If ticking this box, please give details of each Controlling Person in Section 4)

Section 4

Controlling Persons

To be completed if you have selected options 1. (a) i. or 2. (e) in Section 3. Otherwise, proceed to Section 5.

Please provide details of each Controlling Person. Please continue on a separate sheet if necessary.

Controlling person – An Entity is controlled by the persons or entities who hold at least 10% of the voting shares in the Entity or who are known to exercise significant influence over the policy, business and strategy of the Entity.

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 regulation 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 the list - Controlling Person of:

An entity or other legal person – **control by ownership**

An entity or other legal person – **control by other means**

An entity or other legal person – **senior managing official**

A trust – **Settlor** or **Trustee** or **Protector** or **Beneficiary** or **Other**

A legal arrangement (non-trust) – **Settlor-equivalent** or **Trustee-equivalent** or **Protector-equivalent** or **Beneficiary-equivalent** or **Other-equivalent**

It is mandatory that you include your TIN (or equivalent). If a TIN is unavailable please provide where appropriate, reason A, B or C:

Reason A – The country where I am liable to pay tax does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN)

Reason C – No TIN is required. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction

	First Controlling Person	Second Controlling Person																
Capacity/position*	<input type="text"/>	<input type="text"/>																
Full name incl. title*	<input type="text"/>	<input type="text"/>																
Date of birth*	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y											
D	D	M	M	Y	Y	Y	Y											
Town of birth*	<input type="text"/>	<input type="text"/>																
Country of birth*	<input type="text"/>	<input type="text"/>																
Nationality*	<input type="text"/>	<input type="text"/>																
Permanent address incl. country*	<input type="text"/>	<input type="text"/>																
	<input type="text"/>	<input type="text"/>																
	<input type="text"/>	<input type="text"/>																
Mailing address incl. country*	<input type="text"/>	<input type="text"/>																
	<input type="text"/>	<input type="text"/>																
	<input type="text"/>	<input type="text"/>																
	<input type="text"/>	<input type="text"/>																

Please state all countries in which the Controlling Person is considered a tax resident; please use a separate sheet if more than 3

	First Controlling Person	Second Controlling Person
Are you a US Person?*	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you have answered Yes to the above question please provide your TIN (or tick the box if TIN is not available)	<input type="text"/> <input type="checkbox"/>	<input type="text"/> <input type="checkbox"/>
If TIN is not available, state reason code	<input type="text"/>	<input type="text"/>
If you have stated Reason B above, please provide an explanation	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
Are you resident for tax purposes in any country other than the UK?*	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If No, then proceed to Section 5 Declaration Section. If Yes then fill in sections below.		
Country of tax residence 1	<input type="text"/>	<input type="text"/>
Country of tax residence 2	<input type="text"/>	<input type="text"/>
Country of tax residence 3	<input type="text"/>	<input type="text"/>
TIN 1 (or tick the box if TIN is not available)	<input type="text"/> <input type="checkbox"/>	<input type="text"/> <input type="checkbox"/>
TIN 2 (or tick the box if TIN is not available)	<input type="text"/> <input type="checkbox"/>	<input type="text"/> <input type="checkbox"/>
TIN 3 (or tick the box if TIN is not available)	<input type="text"/> <input type="checkbox"/>	<input type="text"/> <input type="checkbox"/>
If TIN 1 is not available, state reason code	<input type="text"/>	<input type="text"/>
If TIN 2 is not available, state reason code	<input type="text"/>	<input type="text"/>
If TIN 3 is not available, state reason code	<input type="text"/>	<input type="text"/>
If you have stated Reason B for TIN 1, please provide an explanation	<input type="text"/>	<input type="text"/>
If you have stated Reason B TIN 2, please provide an explanation	<input type="text"/>	<input type="text"/>
If you have stated Reason B TIN 3, please provide an explanation	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>

Please state all countries in which the Controlling Person is considered a tax resident; please use a separate sheet if more than 3

	Third Controlling Person	Fourth Controlling Person																
Capacity/position*	<input type="text"/>	<input type="text"/>																
Full name incl. title*	<input type="text"/>	<input type="text"/>																
Date of birth*	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y											
D	D	M	M	Y	Y	Y	Y											
Town of birth*	<input type="text"/>	<input type="text"/>																
Country of birth*	<input type="text"/>	<input type="text"/>																
Nationality*	<input type="text"/>	<input type="text"/>																
Permanent address incl. country*	<input type="text"/>	<input type="text"/>																
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Mailing address incl. country*	<input type="text"/>	<input type="text"/>																
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	<input type="text"/>	<input type="text"/>																
Are you a US Person?*	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No																
If you have answered Yes to the above question please provide your TIN (or tick the box if TIN is not available)	<table border="1"> <tr> <td><input type="text"/></td> <td><input type="checkbox"/></td> </tr> </table>	<input type="text"/>	<input type="checkbox"/>	<table border="1"> <tr> <td><input type="text"/></td> <td><input type="checkbox"/></td> </tr> </table>	<input type="text"/>	<input type="checkbox"/>												
<input type="text"/>	<input type="checkbox"/>																	
<input type="text"/>	<input type="checkbox"/>																	
If TIN is not available, state reason code	<input type="text"/>	<input type="text"/>																
If you have stated Reason B above, please provide an explanation	<input type="text"/>	<input type="text"/>																
	<input type="text"/>	<input type="text"/>																
Are you resident for tax purposes in any country other than the UK?*	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No																
If No, then proceed to Section 5 Declaration Section. If Yes then fill in sections overleaf.																		

Please state all countries in which the Controlling Person is considered a tax resident; please use a separate sheet if more than 3

	Third Controlling Person	Fourth Controlling Person
Country of tax residence 1		
Country of tax residence 2		
Country of tax residence 3		
TIN 1 (or tick the box if TIN is not available)	<input type="checkbox"/>	<input type="checkbox"/>
TIN 2 (or tick the box if TIN is not available)	<input type="checkbox"/>	<input type="checkbox"/>
TIN 3 (or tick the box if TIN is not available)	<input type="checkbox"/>	<input type="checkbox"/>
If TIN 1 is not available, state reason code		
If TIN 2 is not available, state reason code		
If TIN 3 is not available, state reason code		
If you have stated Reason B for any of the TIN 1, 2 or 3 above, please provide an explanation		

Section 5 Declaration and signature

Tax legislations referred to in this form are 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 the UK, the Crown Dependencies and the Overseas Territories, and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information, as implemented in the relevant jurisdictions.

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Al Rayan Bank PLC setting out how Al Rayan Bank PLC may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise Al Rayan Bank PLC within 28 days of any change in circumstances which affects the tax residency status of the Account Holder identified in Section 1 of this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons identified in Section 2 and detailed in Section 4), and to provide Al Rayan Bank PLC with a suitably updated self-certification and declaration within 28 days of such change in circumstances.

Signature

Print name*

Signature and date*

Your signature must not go outside the box

Date:

D	D	M	M	Y	Y	Y	Y
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Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a Power of Attorney please also attach a certified copy of the Power of Attorney

Capacity:

Al Rayan Bank PLC is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Our firm reference number is 229148. Al Rayan Bank PLC is incorporated and registered in England and Wales. Registration No. 4483430. Registered office: 44 Hans Crescent, Knightsbridge, London, SW1X 0LZ.