

Self-Certification Form

Individuals

Document Guide

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Self-Certification Form

Please read before completing this form:

Tax Regulations require Kleinwort Hambros to collect and report certain information about an Account Holder's tax residence status. The term 'Tax Regulations' refers to regulations created to enable the automatic exchange of information and includes the Foreign Account Tax Compliance Act ('FATCA') and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information ('CRS'), as implemented in the relevant jurisdictions.

To enable Kleinwort Hambros to comply with its obligation to report to the relevant tax authorities, you are required to state the residence for tax purposes of the person or persons identified as the holder(s) of a Financial Account. In this form these persons are cumulatively referred to as the "Account Holder(s)".

If you are not the Account Holder of the financial account with Kleinwort Hambros but are completing the form on their behalf then you should complete Part 1 with the details of the person who is referred to as the Account Holder and complete the capacity line in Part 6.

Please note:

- Mandatory fields are marked on the form with an asterisk (*).
 - Please fill in this form if you are an individual account holder, sole trader or sole proprietor.
 - Do not use this form if the Account Holder is not an individual. Instead please complete the "Self-Certification Form – Entities".
 - For joint or multiple Account Holders, each Account Holder should complete a separate form.
 - You are required to complete all relevant sections in relation to all known accounts held with Kleinwort Hambros and to provide any additional information as required to evidence the declaration made.
 - You can find further definitions used in this form in the Appendix.
 - If you are a "US Person" under the applicable Intergovernmental Agreement you should also complete and provide an IRS Form W-9 and a waiver, if applicable.
 - This form will remain valid unless there is a change in circumstances relating to the Account Holder's tax status or other mandatory fields included in this form.
 - You should advise Kleinwort Hambros within 30 days of any change in circumstances which affects the tax status of the Account Holder or causes the information contained herein to become incorrect, and provide Kleinwort Hambros with an updated Self-Certification Form.
 - Kleinwort Hambros is not allowed to fill this form on your behalf and does not provide tax or legal advice. If you have any questions on how to complete this form or how to determine your tax residence you should contact your tax advisor or local tax authority.
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Part 1: Identification of Individual Account Holder*

A. Name of Account Holder	
Title (Mr/Mrs/Ms/Miss/Dr/Other)	
Last name*	
First name*	
Middle name(s)	
B. Current Residence Address	
Line 1 (e.g. number and street)	
Line 2	
Town/city/province/state*	
Country*	
Postcode/ZIP	
C. Mailing Address	
(please only complete if different to the address shown in Section B)	
Line 1 (e.g. number and street)	
Line 2	
Town/city/province/state	
Country	
Postcode/ZIP	
D. Date of Birth*	DD / MM / YYYY
E. Place of Birth* (town/city)*	
F. Country of Birth*	
G. Are You a US Citizen?* (single or multiple nationality)	
Are You a US Tax Resident?* (notably if you are a green card holder or you pass the substantial presence test according to US tax law)	

Part 2: Country of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number* ("TIN") (See Appendix)

A. The Account Holder is tax resident of (state country)*	
B. Does the country of tax residence issue a TIN (Tax Identification Number) to its residents*?	Yes <input type="checkbox"/> No <input type="checkbox"/>
C. If yes, i) I further certify that the TIN in the country of tax residence is* ii) I am otherwise unable to provide a TIN (tick box if relevant) Please provide the reason why the TIN is unavailable	<input type="checkbox"/>

Part 3: Confirmation of Sole Residence for Tax Purposes

I further certify that I am not (or the Account Holder is not) resident in any other country for tax purposes. (If ticking this statement please proceed to Part 5, otherwise please proceed to Part 4 of this form)	<input type="checkbox"/>
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Part 4: Additional Countries of Residence for Tax Purposes* (if applicable)

I certify that in addition to the country set out in Part 2, I am (or the Account Holder is) tax resident in the following countries and my (or the Account Holder's) TIN in each country is set out below or I have ticked the box to indicate that a TIN is unavailable.

Please use a separate sheet if tax resident in more than four additional countries.

Country of Tax Residence*	TIN*	TIN unavailable* (please tick box)
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

Please provide the reason why the TIN(s) is(are) unavailable

Part 5: Authorisations and Undertakings

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing my/the Account Holder’s relationship with Kleinwort Hambros, including how Kleinwort Hambros may use and share the information supplied by me within Societe Generale Group entities.

I acknowledge and agree that the information contained in this form and information regarding the Account Holder and any reportable financial account(s) with Kleinwort Hambros may be reported to the tax authorities of the country in which the account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder is tax resident, where those countries have entered into agreements to exchange financial account information.

I certify that I am the Account Holder (or authorised to sign for the Account Holder) of all the accounts to which this form relates.

I certify that the person mentioned on Part 1.A of this form:

- Is a “Specified US Person”
If you are a “Specified US Person” under the US Internal Revenue Service (“IRS”) regulations you should also complete and provide an IRS Form W-9 and a waiver if applicable.

- Is not a “Specified US Person”

Part 6: Declaration and Signature*

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

I undertake to advise Kleinwort Hambros within 30 days of any change in circumstances which affects the tax status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete, and to provide Kleinwort Hambros with an updated Self-Certification Form and declaration.

Account Holder

Signature*

Print name*

Date* DD / MM / YYYY

If you are not the Account Holder please indicate the capacity in which you are signing this form. If signing under a power of attorney, please attach a copy of the power of attorney.

Capacity*

Part 6: Declaration and Signature* continued

Personal data:

The personal data collected in this document is compulsory to allow Kleinwort Hambros to determine with precision the status and the qualification of your fiscal status as a "Non-U.S. Person" or "U.S. Person" in accordance with FATCA and tax residence under any applicable regulation which follow from it. These data, as well as those collected later, may be used by Kleinwort Hambros for the management of customer relations, and in particular for risk management, incident and fraud prevention, know your customer and anti-money laundering purposes. These personal data may not be used by the Kleinwort Hambros for direct marketing. They may, as expressly agreed upon and to the extent necessary to achieve the above purposes, be disclosed to other legal entities of the Societe Generale Group, as well as, if need be, to Kleinwort Hambros' custodian, the Internal Revenue Service in the U.S., governmental authorities and such other parties as Kleinwort Hambros may deem necessary in order to comply with applicable regulations or so as to avoid any potential breach of such regulations. These recipients could be established within or outside the European Economic Area, including to jurisdictions whose data protection legislation differs from the European Union legislation. These transfers take place under conditions and guarantees offering appropriate protection of your personal data. You may access your personal data and rectify or erase any incomplete or inaccurate data. You may also object on legitimate grounds to the processing of your data. Your rights may be exercised by applying to the service where your account is opened.

Internal Use Only

Please initial below to confirm that the following tests have been performed.

Test	CRM Initials	Middle Office Initials
Validity test		
Reasonableness test		
Reason to know test		Not applicable

Note: For assistance in completing these tests please refer to the following guidance:

<https://sgpb-source.fr.world.socgen/sites/compliance/LocalDocuments/HO/FATCA CRS Self Cert FO Guide.pdf>

Appendix: Definitions

Note: These are selected definitions provided to assist you with the completion of this form. Further details can be found in the relevant Tax Regulations created to enable the automatic exchange of information.

The purpose of this Appendix is to act as general guidance only and nothing in these instructions should be construed as legal or tax advice.

If you have any questions about these definitions or require further details then please contact your tax adviser or local tax authority.

“Account Holder”

The term “Account Holder” means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

“Entity”

The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

“Financial Account”

A “Financial Account” is an account maintained by a financial institution and includes: depository accounts; custodial accounts; equity and debt interest in certain investment entities; cash value insurance contracts; and annuity contracts.

“Kleinwort Hambros”

The term “Kleinwort Hambros” refers to any of SG Kleinwort Hambros Bank Limited, SG Kleinwort Hambros Bank (CI) Limited, SG Kleinwort Hambros Bank (Gibraltar) Limited, SG Kleinwort Hambros Trust Company Limited, SG SG Kleinwort Hambros Trust Company (CI) Limited and SG Kleinwort Hambros Corporate Services (CI) Limited.

“Reportable Account”

The term “Reportable Account” means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

“Reportable Jurisdiction”

A “Reportable Jurisdiction” is a jurisdiction with which an obligation to provide financial account information is in place.

“Reportable Person”

A “Reportable Person” is defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction.

“Tax Residence”

Each jurisdiction has its own rules for defining tax residence. In general, tax residence is the country in which you live. 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 residence). The country/countries in which you pay income tax are likely to be your country/countries of tax residence.

You may find appropriate information on OECD portal: www.oecd.org/tax/automatic-exchange/crs-implementation-andassistance/tax-residency/#d.en.347760

“TIN” (including “functional equivalent”)

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found in the relevant Tax Regulations.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security number, UK national insurance number, unique tax reference, citizen/personal identification/service code/number, and resident registration number.

“Specified US Person”

An individual who is a U.S. citizen (including dual citizen) or other U.S. person including U.S. resident alien.

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