

TAX COMPLIANCE: INTERNATIONAL EXCHANGE OF INFORMATION INDIVIDUAL SELF-CERTIFICATION – CRS AND FATCA

Please note: Kleinwort Hambros is not permitted to complete this form on your behalf and does not provide tax advice. If you require assistance in completing this form you should contact your tax advisor or local tax authority. Please complete all mandatory fields on this form, as denoted with an asterisk (*).

PART 1: Account Holder Information

Full name (first name(s) and surname)*

Country of birth*	Town/city of birth*	Date of birth* DD / MM / YYYY
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Permanent residence address – Number and street*

Town/city/postcode*	Country*
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Mailing address (if different from above) – Number and street

Town/city/postcode	Country
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PART 2: Residence for tax purposes and Tax Identification Number (TIN)

Please specify the country(ies) in which you are resident for tax purposes and provide your corresponding TIN(s). If you have more than three tax residences please provide details on a separate sheet.

Primary country of residence*	TIN 1*	TIN 1 is unavailable <input type="checkbox"/>
Additional country of residence	TIN 2	TIN 2 is unavailable <input type="checkbox"/>
Additional country of residence	TIN 3	TIN 3 is unavailable <input type="checkbox"/>

If TIN is unavailable please specify the reason why.

- A) Country where I am resident for tax purposes does not issue TINs
 B) Laws of country of residence do not require me to provide a TIN (see below)
 C) I am otherwise unable to obtain a TIN or equivalent (see below)

TIN 1	TIN 2	TIN 3
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide further details as to why you are unable to obtain a TIN if you selected (B) or (C) above.

Please tick this box to confirm you have specified above all countries in which you are resident for tax purposes*

Are you a US Person?* Yes Please also provide your US TIN No

US Persons for FATCA purposes includes US citizens and US tax residents (by virtue of meeting the substantial presence or green card test). If you are a US Person, you will also be required by Kleinwort Hambros to complete a US Tax Form W-9.

PART 3: Declarations and Signature

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 I have examined all the information on this form and to the best of my knowledge and belief it is true, accurate, complete and up to date.

I undertake to inform Kleinwort Hambros within 30 days of any change in circumstances that renders this form incorrect, and to provide Kleinwort Hambros with an updated Self-Certification form.

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

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PERSONAL DATA

Kleinwort Hambros is a data controller in respect of your personal data. The collection of information (including personal data) in this document is necessary to enable us to provide our services to you, to comply with our legal obligations and to pursue our legitimate interests. Further information on how we gather, store and process your personal data and your rights in respect of such personal data can be found in our Privacy Notice which is available on our website at: www.kleinworthambros.com/en/important-information/privacy-notice/

It is important that you read and understand the Privacy Notice and the conditions in the Terms of Business headed “Confidentiality”, “Data Protection” and “Credit Reference Agencies” which explain how Kleinwort Hambros will deal with your information (including your confidential information and personal data). The Terms of Business are also available on our website at: www.kleinworthambros.com/en/important-information/banking-and-investment-terms-business/

KLEINWORT HAMBROS 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		N/A
Date		