

Tax residency self-certification form for controlling person

How to complete this form

Please complete all sections as directed. Once completed, you can email this to us at investorsupport@octopusinvestments.com, or post to: **Octopus Investments Limited, PO Box 10847, Chelmsford CM99 2BU.**

We are required by UK law to collect information about the tax residency and tax classification status of our investors. In certain circumstances it may be necessary for us to share this information with HM Revenue and Customs (HMRC), which is also obliged to share relevant information with tax authorities in other jurisdictions.

Please note, each Controlling Person should complete a Self-Certification Form. In the case of trusts this may include: settlors, trustees and any named beneficiaries. In the case of companies this may include: owners, managing officials, and any person who owns or controls more than 25% of the capital, profits or voting rights.

If you have any questions about tax residence or classification, we recommend that you contact your adviser.

Section 1 – About the Controlling Person

Title	First name(s)	Last name

Date of birth (dd mm yyyy)	National Insurance number	Country of birth

Country(ies) of citizenship

Nationality (if you hold dual nationality or are not a British national, we may contact you for further information)

Telephone numbers				
<table><thead><tr><th>Primary (include country code)</th><th>Secondary (include country code)</th></tr></thead><tbody><tr><td> </td><td> </td></tr></tbody></table>	Primary (include country code)	Secondary (include country code)		
Primary (include country code)	Secondary (include country code)			

Email address

Address

Country	Postcode

Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person

Legal name of Entity 1

Legal name of Entity 2

Legal name of Entity 3

Type of Controlling Person

Please provide the Controlling Person’s status by ticking the appropriate box.

Controlling Person of a corporation, a partnership, a pension fund or a charity

	Entity 1	Entity 2	Entity 3
Control by ownership	☐	☐	☐
Control by other means	☐	☐	☐
Senior managing official	☐	☐	☐

Controlling Person of a trust

	Entity 1	Entity 2	Entity 3
Settlor	☐	☐	☐
Trustee	☐	☐	☐
Protector	☐	☐	☐
Beneficiary	☐	☐	☐
Other	☐	☐	☐

Controlling Person of a legal arrangement (non-trust)

A legal arrangement is any entity which is neither a legal entity (such as a company or partnership) nor a trust. Examples of a legal arrangement include, but are not limited to, unincorporated clubs and associations.

	Entity 1	Entity 2	Entity 3
Settlor-equivalent	☐	☐	☐
Trustee-equivalent	☐	☐	☐
Protector-equivalent	☐	☐	☐
Beneficiary-equivalent	☐	☐	☐
Other-equivalent (e.g. Power of Attorney)	☐	☐	☐

Tax residency status

1.1 Are you a tax resident in any country outside the UK, or do you complete tax returns in any other country?

☐ No – please tick this box and go straight to Section 2.

If your country of birth or country of citizenship is outside of the UK, please send us a certified copy of a valid UK ID, such as a UK driving licence or passport, or a certified letter from HMRC, to confirm your UK tax residency status.

☐ Yes – please complete 1.2 below.

1.2 Please list the country(ies), other than the UK, in which you are resident for tax purposes

Please provide the Taxpayer Identification Number (TIN) or functional equivalent for each country(ies), or tick the relevant box if the country does not provide a TIN.

Country	Taxpayer Identification Number (TIN)	TIN not available
		☐
Country	Taxpayer Identification Number (TIN)	TIN not available
		☐
Country	Taxpayer Identification Number (TIN)	TIN not available
		☐
Country	Taxpayer Identification Number (TIN)	TIN not available
		☐

Section 2 – Declaration

I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Investor and their accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Controlling Person is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

Controlling Person signature

Controlling Person name

Date signed (dd mm yyyy)



0800 316 2295
investorsupport@octopusinvestments.com
octopusinvestments.com



Send completed form to:
Octopus Investments
PO Box 10847
Chelmsford CM99 2BU