

Entity Self-Certification



Wrap Account number

This form contains information about the tax residency and other information relevant for the purposes of the U.S. Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) for the entity named in Part I.



Items marked with * are mandatory fields and information MUST be provided. For extra information, please refer to Frequently Asked Questions (FAQs) which are attached to the end of this form.

It is understood by the signatory or signatories that if the entity, or any Controlling Persons as appropriate, is tax resident in a reportable jurisdiction, then abrdn, with which the entity is an Account Holder, may be required under the applicable tax regulations to share information about the entity's account with the relevant tax authorities, who may exchange this information on an automatic basis with the tax authorities in the relevant jurisdictions where the entity or Controlling Persons are resident.

Part I: General

Section 1: Account holder identification*

Company Name/Legal Name of Entity/Branch*

Company Registered No. (LEI)

Country of incorporation/organisation

Current Residence or Registered address*

Number & Street

City/Town

State/Province/County

Post/Zip Code

Country



Section 1: Account holder identification* - continued

Correspondence/Mailing address (if different from above)

Number & Street	<input type="text"/>	
City/Town	<input type="text"/>	
State/Province/County	<input type="text"/>	
Post/Zip Code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country <input type="text"/>

Part II: Declaration and signature

Section 2: Entity declaration and undertakings*

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise abrdn promptly and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect. Upon any future change of circumstance, please contact your adviser for another Entity Self-Certification form to be completed and returned to: abrdn Client Servicing, Sunderland, SR43 4EE.

Where legally obliged to do so, I/we hereby consent to abrdn sharing this information with the relevant tax information authorities.

Authorised signature	<input type="text"/>		Signature required
Position/Title	<input type="text"/>		
Print name	<input type="text"/>		
Date (DD/MM/YYYY)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
Authorised signature	<input type="text"/>		Signature required
Position/Title	<input type="text"/>		
Print name	<input type="text"/>		
Date (DD/MM/YYYY)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		

Part III: Controlling persons

Section 3 – Identification of a Controlling Person declaration and signature*

3.1. Name of Controlling Person

Family Name or Surname(s)*

First or Given Name*

Middle Name(s)

3.2. Current residence address*

Line 1
(e.g. House/Apt/Suite Name, Number, Street)

Line 2
(e.g. Town/City/Province/ County/State)

Line 3

Postal Code/ZIP Code Country

3.3. Mailing Address (if different from 3.2)

Line 1
(e.g. House/Apt/Suite Name, Number, Street)

Line 2
(e.g. Town/City/Province/ County/State)

Line 3

Postal Code/ZIP Code Country

3.4. Date of birth*

Date
(DD/MM/YYYY)

3.5. Place of birth*

Town or city of birth

Country of birth

3.6. Legal/company name of the relevant entity/corporate entity/trust account holder(s) of which you are a controlling person

Legal/Corporate name of Entity

Section 4 – Controlling Person’s Country of Residence for Tax Purposes and related Taxpayer Reference Number or functional equivalent (“TIN”)*

	Country/countries of tax residency	Tax reference number type	Tax reference number (e.g. TIN)
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
If applicable, reason for non-availability of a tax reference number		<input type="text"/>	

Section 5 – Type of Controlling Person*

(Only completed where Controlling Person is tax resident in one or more Reportable Jurisdictions)

Provide the Controlling Person’s Status by ticking the appropriate box

a. Controlling Person of a legal person – control by ownership	<input type="checkbox"/>
b. Controlling Person of a legal person – control by other means	<input type="checkbox"/>
c. Controlling Person of a legal person – senior managing official	<input type="checkbox"/>
d. Controlling Person of a trust – settlor	<input type="checkbox"/>
e. Controlling Person of a trust – trustee	<input type="checkbox"/>
f. Controlling Person of a trust – protector	<input type="checkbox"/>
g. Controlling Person of a trust – beneficiary	<input type="checkbox"/>
h. Controlling Person of a trust – other natural person	<input type="checkbox"/>
i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent	<input type="checkbox"/>
j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent	<input type="checkbox"/>
k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent	<input type="checkbox"/>
l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent	<input type="checkbox"/>
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent	<input type="checkbox"/>


Section 6 – Controlling person declaration and undertakings*

I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and to tax authorities of another country or countries in which [I/the Controlling Person] may be tax resident, either by way of intergovernmental exchange or direct reporting, pursuant to international agreements to exchange financial account information.

I certify that I am the Controlling Person, or that I am authorised to sign for the Controlling Person, of all the account(s) held by the entity Account Holder 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 abrdn promptly and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect. Upon any future change of circumstance, please contact your adviser for another Entity Self-Certification form to be completed and returned to: abrdn Client Servicing, Sunderland, SR43 4EE.

Signature	<input type="text"/>	 Signature required
Print name	<input type="text"/>	
Date (DD/MM/YYYY)	<input type="text"/>	
Capacity (if signing for the Controlling Person)	<input type="text"/>	

Frequently Asked Questions (FAQs)

Why do you need this information?

Legislation means that abrDN is responsible for identifying where customers are tax resident. Your Tax Status information is required to enable us to comply with regulations governing automatic exchange of information, including the US Foreign Account Tax Compliance Act (FATCA) and regulations based on the OECD Common Reporting Standard (CRS) whereby jurisdictions have agreed a number of Inter-Governmental Agreements (IGAs) to share tax information with tax authorities in other jurisdictions. Under both FATCA and the CRS, we are required to determine where you are tax resident. If you are tax resident outside of the United Kingdom, we may be required to provide this information to HMRC. HMRC may then share this information, along with information relating to your investment with tax authorities in the United States of America, or in other CRS participating jurisdictions in which you are tax resident. There are now over 100 countries globally which are participants to CRS.

What authority do you have to share this information?

This requirement is part of the UK legislation with the details included in the Finance Act 2013. There is no data protection issue with this, since by doing so we are complying with our obligations under UK law. It is HMRC who will be exchanging information with other countries' tax administrations, where appropriate, in accordance with the UK's obligations under international inter-governmental agreements.

I have more than one product with you. Will you have to complete this declaration for every product?

No. You normally only complete one declaration. However, if you do receive more than one form, please complete and return them all to us.

Which customers would normally receive a form to fill in?

The majority of clients receiving this Entity Self-Certification form will be a client who is a new customer at onboarding and has been identified as a passive NF(F)E and we are legally obliged to collect controlling persons' data. This form is also sent out when there is a change of circumstances and tax residency has changed for a customer.

What is a controlling person?

Controlling Persons of a trust, means the settlor(s), the trustee(s), the protector(s), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership).

More information can be found on the GOV.UK sites below:

FATCA CRS Guidance:

Automatic Exchange of Information: introduction - GOV.UK
(www.gov.uk)

gov.uk/government/collections/automatic-exchange-of-information-agreements

oecd.org/tax/automatic-exchange/common-reporting-standard

For more information visit abrDN.com/adviser

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