

Tax Residency Self-Certification Declaration Form



Some important information before you start

This form should be completed by applicants who are individuals and are tax resident in, or complete tax returns in, a country other than the UK, and by all applicants which are entities. If you are a US citizen or hold a US passport or green card, you will also be considered tax resident in the US even if you live outside the US.

- You should complete either Part 1a and Part 1b of this form for (individual(s)) or solely Part 2 (entities). An entity means any customer who is not an individual, e.g. is a company or trust.
- If there is more than one applicant that is resident in a country or countries for tax purposes please give details below.

If you have any questions when completing this declaration please speak to your Financial Adviser.

Questions about this form?

If you are an Adviser and have questions about this form, please call our Adviser Centre on **0808 234 2200**.

Lines are open Monday to Friday between 8.30am and 6pm.

If you are a prospective Policyholder, please speak with your Financial Adviser or call our Policyholder Service Centre on **0800 000 000**. Lines are open Monday to Friday between 8am and 6pm.

Our web addresses are **www.pruadviser.co.uk** for financial advisers and **www.pru.co.uk** for policyholders.

For an individual 1a Details of first applicant

Mr Mrs Miss Ms Dr Other

Surname Other names in full

Policy number (if known)

Permanent residential address

Postcode

Daytime phone number Email address Not Mandatory

Gender Male Female Date of birth

Please list the country or countries in which you are resident for tax purposes, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN"), if relevant.

For further information please refer to www.hmrc.gov.uk/fatca/index.htm

Country/countries of tax residency	Tax Reference number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

1a Declaration of applicant

I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.

Signature

Date signed

Mandatory field

Please use black ink. Write in CAPITAL LETTERS. Tick [✓] the appropriate boxes.

The UK Government has and will be agreeing a number of inter-governmental agreements to share tax information, where applicable, with the tax authorities in other jurisdictions. The requirement to collect certain information about each customer's tax arrangement is part of UK legislation and as a financial services company we are legally obliged to collect it. We are asking for your tax residency and tax ID numbers (where applicable) and will record this on our records now, but will only disclose this information to the relevant tax authorities if and when we are required to under UK law.

Your tax residence generally is the country in which you live for more than half a year. 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 residency). The country/countries in which you pay income tax are likely to be your country/countries of tax residence. If you are a US citizen or hold a US passport or green card, you will also be considered tax resident in the US even if you live outside the US.

1b Details of second applicant

Mr Mrs Miss Ms Dr Other

Mandatory field
Please use black ink. Write in CAPITAL LETTERS. Tick [✓] the appropriate boxes.

Surname **Other names in full**

Policy number (if known)

Permanent residential address

 Postcode

Daytime phone number **Email address**

Not Mandatory

Gender Male Female **Date of birth**

Please list the country or countries in which you are resident for tax purposes, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN"), if relevant:

For further information please refer to www.hmrc.gov.uk/fatca/index.htm

Country/countries of tax residency	Tax Reference number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If there are more than two applicants, please give full details of these on pages 7 and 8.

1b Declaration

I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.

Signature

Date signed

2 For an Entity

An entity means any customer who is not an individual, e.g. a company or trust.

Policy number (if known)

Entity Name

2.1a In relation to taking out this policy, is the entity:

A Financial Institution (including a professionally managed trust) (if Yes please state your GIIN* number¹ if available)

 Yes No

A Registered UK Pension Fund²

 Yes No

A Charity or other non-profit organisation³

 Yes No

If you have ticked yes to any of the above then you do not need to complete the rest of this form. Please complete and sign the Declaration at the end of this page. Otherwise go to question 2.1b.

* Global Intermediary Identification Number

2.1b Please tick the appropriate box below in respect of the entity, then go to question 2.2.

Actively trading non-financial institution (go to Q2.2) Non-trading investment body⁸ (go to Q2.2)

Other (please specify and go to Q2.2)

2.2 Is the Entity a resident for tax purposes anywhere other than the UK⁴?

Yes → go to Question 2.3 No → go to Question 2.4

2.3 If you answered Yes to Q2.2, please list the country or countries in which the entity is resident for tax purposes⁴, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN"), if relevant. Please complete and sign the Declaration at the end of this page.

Country/countries of tax residency	Tax Reference number

2.4 If the entity is a non-trading investment body, such as a non-professionally managed trust or a private investment company, are any of the Controlling Persons⁵ of the entity resident for tax purposes anywhere other than the UK?

Yes → go to Question 2.5 No → If "No" you do not need to fill out the rest of this form. Please complete and sign the Declaration at the end of this page.

Declaration

I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.

Signature

Name of Authorised Signature

Date signed

I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.

Signature

Name of Authorised Signature

Date signed

2 For an Entity (continued)

2.5 If you answered Yes to question 2.4, for each Controlling Person identified as part of AML (anti money laundering) and KYC (know your customer), please list the Controlling Person's details and the country or countries in which they are tax resident, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN") that may be relevant.

If you require further guidance please speak to your Financial Adviser or refer to www.hmrc.gov.uk/fatca/index.htm

Controlling Person 1	Controlling Person 2
Full Name	Full Name
<input type="text"/>	<input type="text"/>
Date of Birth	Date of Birth
<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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Full Address	Full Address
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
Postcode	Postcode
<input type="text"/>	<input type="text"/>
What makes this individual a controlling person?	What makes this individual a controlling person?
<ul style="list-style-type: none"> > Settlor > Trustee > Protector > Beneficiary⁶ or class of beneficiaries > Shareholder⁷ > Other 	<ul style="list-style-type: none"> > Settlor > Trustee > Protector > Beneficiary⁶ or class of beneficiaries > Shareholder⁷ > Other
<input type="text"/>	<input type="text"/>
Country or countries of tax residence	Country or countries of tax residence
<input type="text"/>	<input type="text"/>
If there are more than 4 Controlling Persons please give details of these on page 9	If there are more than 4 Controlling Persons please give details of these on page 9
Tax Reference number(s)	Tax Reference number(s)
<input type="text"/>	<input type="text"/>
I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.	I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.
Signature	Signature
<input type="text"/>	<input type="text"/>
Date signed	Date signed
<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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2 For an Entity (continued)

2.5 If you answered Yes to question 2.4, for each Controlling Person identified as part of AML (anti money laundering) and KYC (know your customer), please list the Controlling Person's details and the country or countries in which they are tax resident, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN") that may be relevant.

If you require further guidance please speak to your Financial Adviser or refer to www.hmrc.gov.uk/fatca/index.htm

Controlling Person 3	Controlling Person 4
Full Name	Full Name
<input type="text"/>	<input type="text"/>
Date of Birth	Date of Birth
<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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Full Address	Full Address
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
Postcode	Postcode
<input type="text"/>	<input type="text"/>
What makes this individual a controlling person?	What makes this individual a controlling person?
<ul style="list-style-type: none"> > Settlor > Trustee > Protector > Beneficiary⁶ or class of beneficiaries > Shareholder⁷ > Other 	<ul style="list-style-type: none"> > Settlor > Trustee > Protector > Beneficiary⁶ or class of beneficiaries > Shareholder⁷ > Other
<input type="text"/>	<input type="text"/>
Country or countries of tax residence	Country or countries of tax residence
<input type="text"/>	<input type="text"/>
If there are more than 4 Controlling Persons please give details of these on page 9	If there are more than 4 Controlling Persons please give details of these on page 9
Tax Reference number(s)	Tax Reference number(s)
<input type="text"/>	<input type="text"/>
I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.	I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.
Signature	Signature
<input type="text"/>	<input type="text"/>
Date signed	Date signed
<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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2 For an Entity (continued)**Notes**

The UK Government has and will be agreeing a number of inter-governmental agreements to share tax information, where applicable, with the tax authorities in other jurisdictions. The requirement to collect certain information about each customer's tax arrangement is part of UK legislation and as a financial services company we are legally obliged to collect it. We are asking for your tax residency and tax ID numbers (where applicable) and will record this on our records now, but will only disclose this information to the relevant tax authorities if and when we are required to under UK law.

If you have any questions on how to complete this form we recommend that you speak to your tax or legal adviser.

- ¹ If you do not have a GIIN yet, please notify us when you have been issued one. GIIN numbers are required from 1 January 2015.
- ² Under UK legislation there is no need for UK registered pension funds to disclose tax residency.
- ³ If you have ticked "Yes" then in some cases we may contact you to request additional information.
- ⁴ Tax residency rules for entities vary from country to country, and can be quite complicated. For instance, companies will often be tax resident in the country where they are incorporated and may also be resident in any other countries in which they conduct business, while trusts may need to consider where their trustees are resident. If there is doubt about where an entity is tax resident, you should speak to your Adviser.
- ⁵ Controlling persons – for a trust this includes Settlor, Trustee, Protector (if any) or beneficiary or class of beneficiaries. For any other entity, it includes a shareholder and any other natural person exercising ultimate control over the investment.
- ⁶ A beneficiary's details only need to be included if they own or are entitled to at least 25% of the trust property.
- ⁷ A shareholder's details only needs to be included if they own or control more than 25% of the shares or voting rights – or otherwise exercise control of the management e.g. they own less than 25% but their percentage of ownership is significantly higher than any other shareholders.
- ⁸ Includes a non-professionally managed trust e.g. individual policies put into trust.

If there are more than 2 individual applicants please use this page to provide full details.

Details of third applicant

Mr Mrs Miss Ms Dr Other

Surname **Other names in full**

Policy number (if known)

Permanent residential address

Postcode

Daytime phone number **Email address**

Not Mandatory

Gender Male Female

Date of birth

Please list the country or countries in which you are resident for tax purposes, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN"), if relevant:

For further information please refer to www.hmrc.gov.uk/fatca/index.htm

Country/countries of tax residency	Tax Reference number

Mandatory field

Please use black ink. Write in CAPITAL LETTERS. Tick the appropriate boxes.

Declaration

I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.

Signature

Date signed

If there are more than 2 individual applicants please use this page to provide full details.

Details of third applicant

Mr Mrs Miss Ms Dr Other

Surname **Other names in full**

Policy number (if known)

Permanent residential address

Postcode

Daytime phone number **Email address**

Not Mandatory

Gender Male Female

Date of birth

Please list the country or countries in which you are resident for tax purposes, together with any Tax Reference number(s)/Tax Identification Number(s) ("TIN"), if relevant:

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Country/countries of tax residency	Tax Reference number

Mandatory field
Please use black ink. Write in CAPITAL LETTERS. Tick the appropriate boxes.

Declaration

I confirm that to the best of my knowledge and belief, the details given in this form are correct and complete.

Signature

Date signed

3 Notes

A large, empty rectangular box with a thin grey border, intended for the user to provide notes or additional information.



www.pru.co.uk

Prudential International Assurance plc, UK Branch is registered in the UK as a branch of Prudential International Assurance plc which is authorised by the Central Bank of Ireland and subject to limited regulation by the Financial Conduct Authority and the Prudential Regulation Authority. Details about the extent of our regulation by the Financial Conduct Authority and the Prudential Regulation Authority are available from us on request. The registered address of Prudential International Assurance plc, UK Branch is 3 Sheldon Square, Paddington, London, W2 6PR. Registration No. BR017106. Telephone number 0207 004 4998. If the company should become unable to meet its liabilities, the Financial Services Compensation Scheme will protect eligible policyholders habitually resident in the UK when their contract starts. This protection does not extend to externally-linked investments – for further information please read the Key Features Document which is available on the Prudential website.