

Corporate Treasury

Self-Certification for Entities Form

Please complete, where applicable, the relevant sections below and provide any additional information as may be required. In certain circumstances there may be a requirement to share this information with the relevant tax authorities.

Please refer to the accompanying explanatory notes and instructions and/or contact your tax advisor to help complete this form.

If your tax residency (or the account holder's tax residency, if you are completing the form on their behalf) is outside the UK and in a country that is signed up to FATCA/CRS, we are legally obliged to pass on the information in this form to the UK Tax Authorities.

This form should be completed in conjunction with reading our privacy policy (www.aldermore.co.uk/legal/privacy-policy). By completing and signing this form, you are confirming that you have read and accept it.

Section A: Entity Information

Entity Name:

Current Residence Address:

(Do not use P.O box (unless this is your registered address) or an 'in care of' address)

Mailing address:

(if different from above)

Other Addresses, if applicable:

Country of Incorporation/Organisation:

Section B: Entity Tax Residency

Please indicate ALL countries in which the entity is incorporated/organised for the purposes of that country's income tax and the relevant Tax Identification Number (or functional equivalent). Please list all tax residencies in the table below.

Country of Tax Residency/Residencies:	Tax Identification Number(s)/ Functional Equivalent:	If unavailable please specify a reason:

Section C: Entity classification for the purposes of the OECD Common Reporting Standard and UK-US Agreement to Improve International Tax Compliance and to Implement FATCA.

- If the Entity is a Reporting Financial Institution (FI), Non-Reporting FI, Certified Deemed Compliant FI or other please complete Section C1 below; and/or
- If the Entity is a Non-Financial Entity (NFE)/Non-Financial Foreign Entity (NFFE), please complete Section C2 below.
- If the Entity's classification differs under the CRS and FATCA, please complete section C3 below.

Section C1: The Entity is a Financial Institution

(a) Please provide, if held, your Global Intermediary Identification Number (GIIN) (for FATCA purposes):

If the Entity is a Reporting FI / / /

If the Entity is an Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another FI. Note: if ticking this box please also complete Section D below / / /

Please confirm whether it is the GIIN of the Entity or the Sponsoring FI GIIN:

Own Sponsoring Name of Sponsor

(b) If unable to provide a GIIN, please give a reason by ticking one of the boxes below:

- The Entity has applied, or is going to apply, for a GIIN (but has not yet received it)
- The Entity is a Non-Participating FI
- Other reason (Please specify)

(c) If the Entity classification is one of the below please tick the classification where a GIIN is not required:

- The Entity is an Exempt Beneficial Owner (e.g. International Organisations, retirement funds)
- The Entity is a Non-Reporting FI or a Certified Deemed Compliant FI (e.g. UK registered charity or UK registered charitable trust)
- Other (only tick if the entity type is contained within your local jurisdiction legislation where you are resident) (Please specify):

Section C2: The Entity is NOT a Financial Institution

If the Entity is not a FI, it will be considered to be a NFE/NFFE. It can be an Active or Passive. (See instructions for definitions under CRS and FATCA.) Please note your classification can differ under CRS and FATCA.

Please confirm the status of the Entity according to domestic legislation/Regulations by ticking one of the boxes below:

- Active NFE/Active NFFE
- Passive NFE/Passive NFFE **You must complete section D below**

Section C3: The Entity's classification differs under the CRS and FATCA

If the Entity's classification differs under the CRS and FATCA, please note your alternative classification here:

Section D: Passive NFE/NFFE or Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution Controlling Persons Self-Declaration of tax residency

If you have declared the Entity to be a Passive NFE/NFFE or Investment Entity located in a Non-Participating CRS Jurisdiction and managed by another Financial Institution (in Section C2 or Section C1 above), this section must be completed.

Below please list EACH Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH Controlling Person.

Last Name	First Name	Type of Controlling Person* (for CRS only)	Current Residence Address (or Mailing Address)	Date of Birth	Country of Tax Residency Residencies (or citizenship if US)	Tax Identification Number(s)/ Functional Equivalent	If TIN unavailable please specify a reason

*If a Controlling Person is a US Person (US citizen, US Green Card holder, or US resident), you must include United States in this table along with his/her US Tax Identification Number. (Please attach additional sheets if necessary)

Declaration Section

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

I undertake to advise Aldermore Corporate Treasury promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Aldermore Corporate Treasury with an updated declaration within 30 days of such a change in circumstances.

I am aware that in certain circumstances Aldermore Corporate Treasury will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.

Signature:

Print Name:

Capacity:

Date:

The above data requested is assuming that the following information is captured on the application form or part of account opening:

1. Power of attorney or signatory authority granted to a person with an address in a Reportable Jurisdiction
2. An 'in care of' or 'hold mail' address that is the sole address held for the account holder
3. Standing instruction to transfer funds to an account maintained in a Reportable Jurisdiction

