

# Individual Self-Certification Form

Kuwait Finance House PLC and its affiliates are required under Automatic Exchange of Information<sup>1</sup> tax regulations to collect and report certain information about an account holder's tax residency and citizenship status. Please complete each section of the form below and provide any additional information as may be required. In certain circumstances there may be a requirement to share this information with relevant tax authorities.

This form is to be completed only if you are an Individual Account Holder. For Entity Account Holders, please complete the "Entity Self-certification Form". For joint or multiple Account Holders, a separate form is required to be completed for each Account Holder.

<sup>1</sup>The Foreign Account Tax Compliance Act ("FATCA"), the UK Agreements with the Crown Dependencies ("CDOT"), the OECD's Common Reporting Standard ("CRS")

## Section 1 – Identification of Individual Account Holder

|                                                         |  |
|---------------------------------------------------------|--|
| <b>Account Holder Details</b>                           |  |
| Title: Mr, Mrs, Miss, Ms, Other (please state):         |  |
| Forename(s):                                            |  |
| Surname:                                                |  |
| Current Residential Address:<br>(Must not be a P O Box) |  |
| Line 1 (House/Apartment Number, Street)                 |  |
| Line 2 (Town/City/Province/County/State)                |  |
| Country                                                 |  |
| Postal/ZIP Code                                         |  |
| Mailing address (if different from above):              |  |
| City/Town and Country of Birth:                         |  |
| Date of birth<br>(DD/MM/YYYY)                           |  |

## Section 2 – Tax Residency

Please complete the following table indicating all the countries where the Account Holder is tax resident and the **Tax Identification Number (TIN) or functional equivalent** for each country indicated. If you are unable to provide a TIN, please provide the appropriate reason A, B or C where indicated below:

- Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs or a functional equivalent (in the absence of a TIN) to its residents
- Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the table below if you have selected this reason)
- Reason C - No TIN is required. (Note - only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction.

If you have any questions about your tax residency, please contact your tax advisor.

| Country/Countries of Tax Residency | Tax Identification Number | If unable to provide a TIN or equivalent, enter reason A, B or C. |
|------------------------------------|---------------------------|-------------------------------------------------------------------|
|                                    |                           |                                                                   |
|                                    |                           |                                                                   |
|                                    |                           |                                                                   |
|                                    |                           |                                                                   |

Please explain below why you are unable to obtain a TIN if you selected Reason B above:

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Section 3 – Jurisdiction of Citizenship

Please confirm whether the Account Holder is a US Person by ticking the relevant box

☐ US Person. If you are a US Person, please provide your TIN: \_\_\_\_\_

☐ Non-US Person

Note: If you are a US Person you are treated as tax resident in the US even if you are resident in another country or such. Please refer to the Appendix section on the back of this form for further information about US Persons.

Section 4 – Declaration

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

I acknowledge that the information contained in this form and information regarding me/ the Account Holder and information regarding my/the Account Holder’s account may be provided to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the I/Account Holder may be tax resident.

I agree to notify you within 30 days if any of this information on this form changes and to provide you with a suitably updated self-certification and declaration within 30 days of such changes.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

|                                                                                                                                                                                                                   |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Name:<br>(please print in full)                                                                                                                                                                                   |  |
| Signature:                                                                                                                                                                                                        |  |
| Capacity:<br>If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney. |  |
| Date (DD/MM/YYYY):                                                                                                                                                                                                |  |

## **Appendix - Summary Descriptions of Select Defined Terms**

### **Account Holder**

The term "Account Holder" means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

### **Entity**

The term "Entity" means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

### **TIN**

The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an entity and used to identify the individual or entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number

For the US the Tax Identification Number must be a TIN issued by the IRS. For other countries, if a tax identification number is not issued by the authorities an alternative such as a national insurance number, citizen number, personal identification number or resident registration number may be quoted

### **US person**

The term "US person" means for an individual a US citizen or resident individual.