PHOENIX WEALTH

SELF-CERTIFICATION

ENTITY

Phoenix Wealth, Unit Linked Life & Pensions, PO Box 1393, Peterborough, PE2 2TP.

Tax regulations require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account(s) with HM Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions (You can find a full list at www.oecd.org/ctp/exchange-of-tax-information/Status_of_convention.pdf).

If you have any questions about your organisation's classifications in the form below, please contact your tax adviser. You can also find more information at www.oecd.org/tax/automatic-exchange.

Please read the separate Self-Certification guidance notes for key definitions. These are available at www.phoenixwealth.co.uk/literature. If any information you give changes in the future, please let us know as soon as possible.

You must complete sections 1-4 for this form to be valid.

Bond number ☐☐☐☐☐☐☐☐

1. TAX RESIDENCY

The trust will ordinarily be tax resident where all, or the majority, of the trustees are tax resident but different jurisdictions have their own rules.

Companies will generally be tax resident where they are located. Other factors will include where they are incorporated, where the management and control is and where they are subject to financial supervision.

If your organisation has more than one country of tax residency, please complete one **Self-Certification - Entity** form for each country.

1.1 Please state the country in which your organisation is resident for tax purposes:

1.2 Please provide us with your organisation's Tax Reference Number:

2A. ORGANISATION'S CLASSIFICATION UNDER FATCA

Please tick only one box with reference to the tax residency stated in box 1.1.

2.1	UK Financial Institution or a Partner Jurisdiction Financial Institution	☐
2.2	Participating Foreign Financial Institution	☐
2.3	Non-Participating Foreign Financial Institution	☐
2.4	Financial Institution resident in the USA or in a US Territory	☐
2.5	Exempt Beneficial Owner	☐
2.6	Deemed Compliant Foreign Financial Institution(besides those listed above)	☐
2.7	Active Non-Financial Foreign Entity	☐
2.8	Passive Non-Financial Foreign Entity (If you tick this box, please complete section 4. Include a separate **Self-Certification - Individual** form for each additional Controlling Person to those listed in section 4)	☐

2B. COMPLETE THIS ONLY IF YOUR ORGANISATION IS US TAX RESIDENT (BOX 1.1)

Tick this box if your organisation is any of the following and therefore **not** a Specified US Person: ☐

- A regularly traded corporation on a recognised stock exchange
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange
- A government entity
- Any bank as defined in section 581 of the U.S. Internal Revenue Code
- A retirement plan under section 7701(a)(37), or exempt organization under section 501(a) of the U.S. Internal Revenue Code
- OR any other exclusion listed in explanatory note 16 in the separate Self-certification guidance notes.

3. ORGANISATION'S CLASSIFICATION UNDER THE COMMON REPORTING STANDARD (CRS)

Please tick only one box in this section with reference to the tax residency stated in box 1.1.

3.1	Financial Institution (this includes Non-Reporting Financial Institutions such as a pension scheme, government entity, international organisation and other entities listed in explanatory note 18 in the separate **Self-Certification guidance notes**)	☐
3.2	A Financial Institution that is a professionally managed Investment Entity outside of a CRS Participating Jurisdiction (If you tick this box, please complete section 4. Include a separate **Self-Certification - Individual** form for each additional Controlling Person to those listed in section 4)	☐
3.3	Active Non-Financial Entity which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation	☐
3.4	Active Non-Financial Entity (other than those listed in 3.3 above)	☐
3.5	Passive Non-Financial Entity (If you tick this box, please complete section 4. Include a separate **Self-Certification - Individual** form for each additional Controlling Person to those listed in section 4)	☐

4. PROVIDING CONTROLLING PERSONS SELF-CERTIFICATION

You must complete this section if you have ticked boxes 2.8, 3.2 or 3.5.

Please list the names of all Controlling Persons in the first column even if you are not certifying on their behalf.

If you are not completing this form on behalf of all your Controlling Persons, please ensure that an **Self-Certification - Individual** form is completed and returned for each Controlling Person that is required to certify on their own behalf.

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 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. You can find more information on tax residency at www.oecd.org/automatic-exchange/crs-implementation and assistance.

If a Tax Reference Number is unavailable please confirm which of the following reasons apply in the table:

A - The country does not issue a tax reference

B - No tax reference is required

C - Other (please specify)

Names of all Controlling Persons	**Address**	**List the Country/ Countries of tax residence for each Controlling Person** (or indicate "none" if the Controlling Person is not resident in any country for tax purposes)	**Tax Reference Number** (or National Insurance number if resident in UK) (or indicate "n/a" if the Controlling Person is not resident in any country for tax purposes)	**If you don't have a Tax Reference Number please enter the reason why** (A,B or C)

5. DECLARATION

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify Phoenix Life Limited immediately in the event that information on this self-certification form changes (including any changes to Controlling Persons).

Signed by (please print name)	
On behalf of (organisation name)	
Position (in organisation)	
Organisation address	
Country of Incorporation or Organisation	
Signature of person authorised to sign	✖
Date	☐☐ / ☐☐ / ☐☐☐☐

Phoenix Life Limited, trading as Phoenix Wealth, is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Phoenix Life Limited is registered in England and Wales No. 1016269 and has its registered office at: 10 Brindleyplace, Birmingham, B1 2JB.

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