STOCKTRADE
INDIVIDUAL SELF-CERTIFICATION FORM

Please complete in block capitals and black ink and return to: Stocktrade, 11/12 Wellington Place, Leeds, LS1 4AP.

1 INDIVIDUAL ACCOUNT HOLDER DETAILS

Existing Client Account Number (if applicable):

Title: Date of Birth: D D M M Y Y Y Y

Surname:

First Name(s):

Permanent Residential Address:

Postcode:

Telephone Number:

2 TAX RESIDENCY

Tax regulations require us to collect certain information about each Account holder'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 on your Account with HMRC. If you have any questions about your tax residency, contact your tax adviser. Should your tax situation change at any time, we ask that you notify us immediately.

Are you a resident for tax purposes anywhere other than in the UK? ☐ Yes ☐ No

If **'No'**, you can skip to **Section 3: Declaration**.

In the table below indicate all countries in which you are resident for tax purposes and the associated Tax Reference Number/ Tax Identification Numbers (TIN). If you are a US citizen or resident or US Green Card holder, you are required to include your US Tax Identification Number.

If a TIN is unavailable, please provide the appropriate reason A or B where indicated below:

Reason A: The country/jurisdiction where I am resident does not issue TINs to its residents

Reason B: I am unable to obtain a TIN or equivalent number

Country / Jurisdiction of tax residence	Tax Reference Number / Tax Identification Number (or equivalent number)	If no TIN available, enter Reason A or Reason B
1.		
2.		
3.		

If you have answered Reason B, please provide an explanation:

3 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 Stocktrade immediately in the event that the information in the self-certification changes.

Signature:

Print Name:

Date: D D M M Y Y Y Y

Definitions

Tax Regulations: The term "tax regulations" refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act **(FATCA)**, and the Organisation for Economic Co-operation and Development (OECD) Common Reporting Standard **(CRS)** for Automatic Exchange of Financial Account Information.

FATCA: FATCA regulations in sections 1471 to 1474 of the US Internal Revenue Code and the Treasury regulations and official guidance issued there under, as amended from time to time. FATCA regulations have been adopted in the UK by The International Tax Compliance Regulations 2015.

CRS: The OECD Common Reporting Standard (CRS) which has been adopted in the UK by The International Tax Compliance Regulations 2015.

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