

Tax Residency Self-Certification Declaration Form



Some important information before you start

The Irish Government has agreed a number of Inter-Governmental agreements to share tax information, where applicable, with the tax authorities in other jurisdictions including the US tax authorities. The requirement to collect certain information about each customer's tax residency is part of Irish 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 Irish Revenue if and when we are required to under Irish law. Irish Revenue may transfer this information to the government of another jurisdiction under an inter-governmental agreement.

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.

For further information in relation to the collection of this data please visit www.revenue.ie or www.oecd.org/tax/automatic-exchange/common-reporting-standard/

For details on how we handle this and other information please refer to our privacy statement which is available on www.pru.co.uk/privacy_security/

How to fill in this form

This form should be completed by all applicants which are entities and by applicants who are individuals who have not provided full tax information in their Application form.

- You should complete either Section 1 of this form individual(s) or solely Section 2 entities. An entity means any customer who is not an individual, e.g. is a company or trust.
- **Tax Identification Number "TIN"** (including "functional equivalent") 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 on the OECD website noted above.

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 or national insurance number.
- citizen number.
- personal identification number.
- service code number or,
- a registration number.

For Entities, a TIN would include a corporate tax number or similar.

This form is divided into sections, notes are provided on page 5 to help you to complete this form.

Please use black ink and write in CAPITAL LETTERS or tick as appropriate. Any corrections must be initialled – do not use correction fluid as this will invalidate the form.

For **International Portfolio Bond**, please send this form to:
Prudential International, PO Box 5177, Worthing BN11 9HJ.

For all **other Prudential International products**, please send this form to:
Prudential International, Stirling FK9 4UE.

Questions about this form?

If you are a prospective or existing policyholder please speak with your financial adviser when completing this form.

If you're an adviser and have any questions about this form please contact us:

- for **International Portfolio Bond**, please call us on **0345 528 0655**
- for all **other Prudential International products** call us on **0808 234 2200**.

We might record your call to make sure our service is up to standard.

Our website address is
www.prudential-international.com

1 Individuals – Details of applicant(s)/owner(s)

First (or only) Applicant/Owner

Policy Number (if known)

Mr Mrs Miss Ms Other

Full Name

Gender Male Female

Permanent residential address

Postcode

Date of Birth

Phone Number

E-mail address

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

Country or countries of tax residence

Tax Identification number(s)

If no TIN has been given, tick this box if this is because the country of tax residence does not issue TINs to its residents.

If there is another reason why a TIN is not available, please tell us below:

Second Applicant/Owner

Policy Number (if known)

Mr Mrs Miss Ms Other

Full Name

Gender Male Female

Permanent residential address

Postcode

Date of Birth

Phone Number

E-mail address

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

Country or countries of tax residence

Tax Identification number(s)

If no TIN has been given, tick this box if this is because the country of tax residence does not issue TINs to its residents.

If there is another reason why a TIN is not available, please tell us below:

Where a territory permits joint taxation please ensure each individual's TIN is provided

Declaration

I confirm that the details given in this form are correct and complete. If the information provided becomes invalid, I agree to advise Prudential International and provide an updated declaration form within 90 days of such change occurring.

Signature

Date signed

I confirm that the details given in this form are correct and complete. If the information provided becomes invalid, I agree to advise Prudential International and provide an updated declaration form within 90 days of such change occurring.

Signature

Date signed

If there are more than 2 Applicants/owners please photocopy this page, complete and return.

This declaration may be signed by the plan owner or by someone with legal authority to sign on their behalf e.g. through a power of attorney.

2 For an Entity

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

2.1 Policy number (if known)

Entity Name

Address of Entity¹

| | | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | |
| Postcode | | | | | | | | | | |
| <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> <td style="width: 10%; height: 15px;"></td> </tr> </table> | | | | | | | | | | |
| | | | | | | | | | | |

2.2 Please list the country or countries in which the entity is resident for tax purposes together with any Tax Identification Number(s) (TIN), if relevant.²

| Country/countries of tax residency | Tax Identification number |
|------------------------------------|---------------------------|
| | |
| | |
| | |

If no TIN has been given, tick this box if this is because the country of tax residence does not issue TINs to its residents.

If no TIN has been given, tick this box if this is because the trust does not have a TIN, as it has not registered with HMRC yet. If this is the case, please provide us with the TIN as soon as one is issued.

If there is another reason why a TIN is not available, please tell us below:

2.3a In relation to taking out this policy, is the entity:

A Financial Institution (including a professionally managed trust)³ Yes No

If Yes, please provide the entity's GIIN* and sign the declaration.
 If No please go to 2.3b.

2.3b Is the entity a UK registered pension fund?

Yes No

If Yes, go to declaration, if No go to question 2.3c.

2.3c Is the entity an Actively trading non-financial institution?

Yes No

If Yes, go to declaration, if No go to question 2.3d.

2.3d Is the entity a Non-trading investment body?⁴

Yes No

If Yes, please sign the declaration and provide details of Controlling Persons in section 2.4.⁴
 If No, go to question 2.3e.

2.3e If none of the entity types listed above apply, please specify the type of entity here.

* Global Intermediary Identification Number

Includes an individual policy put into trust, see note 4.

Please sign the declaration.

Declaration

I confirm that the details given in this form are correct and complete. If the information provided becomes invalid, I agree to advise Prudential International and provide an updated declaration form within 90 days of such change occurring.

This declaration may be signed by any person with authority to sign on behalf of the entity.

Signature

Signature

Name of Authorised Signature

Name of Authorised Signature

Capacity of signatory

Capacity of signatory

Date signed

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Date signed

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

2 For an Entity (continued)

2.4 Non-Trading investment bodies – Controlling Persons' details

Please list the Controlling Persons' details, together with their Tax Identification Number(s) (TINs)⁴. If you require further guidance please refer to your financial adviser or refer to www.revenue.ie or www.oecd.org/tax/automatic-exchange/common-reporting-standard/

Please go to note 4 for assistance on Controlling Persons.

| Controlling Person 1 | Controlling Person 2 |
|--|---|
| Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other <input type="checkbox"/> | Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other <input type="checkbox"/> |
| Full Name <input type="text"/> | Full Name <input type="text"/> |
| Gender <input type="checkbox"/> Male <input type="checkbox"/> Female | Gender <input type="checkbox"/> Male <input type="checkbox"/> Female |
| Full Address <input type="text"/> <input type="text"/> Postcode <input type="text"/> | Full Address <input type="text"/> <input type="text"/> Postcode <input type="text"/> |
| 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"/> | 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"/> |
| In what capacity is this individual a controlling person of the entity? <input type="text"/> | In what capacity is this individual a controlling person of the entity? <input type="text"/> |
| Please list the country or countries in which you are resident for tax purposes together with any Tax Identification Number(s) (TIN), if relevant. | Please list the country or countries in which you are resident for tax purposes together with any Tax Identification Number(s) (TIN), if relevant. |
| Country or countries of tax residence <input type="text"/> <input type="text"/> | Country or countries of tax residence <input type="text"/> <input type="text"/> |
| Tax Identification number(s) <input type="text"/> <input type="text"/> | Tax Identification number(s) <input type="text"/> <input type="text"/> |
| If no TIN has been given, tick this box if this is because the country of tax residence does not issue TINs to its residents. <input type="checkbox"/> | If no TIN has been given, tick this box if this is because the country of tax residence does not issue TINs to its residents. <input type="checkbox"/> |
| If there is another reason why a TIN is not available, please tell us below: <input type="text"/> | If there is another reason why a TIN is not available, please tell us below: <input type="text"/> |
| 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. | 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. |
| Declaration I confirm that the details given in this form are correct and complete. If the information provided becomes invalid, I agree to advise Prudential International and provide an updated declaration form within 90 days of such change occurring. Signed confirmation is required under each controlling person details. | |
| Signature <input type="text"/> | Signature <input type="text"/> |
| 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"/> | 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"/> |

Please enter one of the following in the box provided to indicate the relevant capacity.

- › Settlor
- › Trustee
- › Protector
- › Beneficiary or class of beneficiaries
- › Shareholder⁵
- › Other

Where a territory permits joint taxation please ensure each individuals TIN is provided

If there are 3 or more Controlling Persons please photocopy this page, complete, sign and submit with this Application.

This declaration may be signed by the Controlling Person or by any person with authority to sign on behalf of the entity. e.g. a trustee may sign on behalf of another Controlling Person of a trust

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

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

- ¹ Enter the most appropriate address for the Entity. In the case of a non –professional managed trust this will be the name of the Trust provided to Prudential International and the address to which correspondence is normally sent. For other types of entity this will normally be the entity name and mailing address.
- ² Tax residency rules for entities vary from country to country and can be quite complicated. For instance, companies will often be tax resident in a country where they are incorporated and may also be resident in any other countries in which they conduct business, whilst trusts may need to consider where their trustees are resident. If there is any doubt about where an entity is tax resident, you should speak to your Adviser.
- ³ Trusts can either be a non-trading investment body or a Financial institution. Trusts will only be classified as financial Institutions where they meet certain conditions, one of which is that the trust is professionally managed. An example of this would be where the trust has appointed another Financial Institution to manage the assets of the trust. Note that where a policy is simply put into trust, this in itself does not make the trust a Financial Institution, please speak to your tax or legal adviser.
- ⁴ Controlling persons – for a trust this includes Settlor(s), Trustee(s), Protector(s) (if any) beneficiary(ies) or classes of beneficiary(ies), regardless of whether or not any of them exercise control over the activities of the trust.

Controlling persons for any entity, which is not a trust, includes a shareholder and other natural person exercising ultimate control over the investment.
- ⁵ A shareholders' 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.



www.pru.co.uk/international

The registered office of Prudential International is in Ireland at Montague House, Adelaide Road, Dublin 2. Prudential International is a marketing name of Prudential International Assurance plc, a life assurance company operating from Ireland. Registration No. 209956. Prudential International Assurance plc is authorised and regulated by the Central Bank of Ireland and in the context of its UK regulated activities only, is deemed authorised by the Prudential Regulation Authority and subject to regulation by the Financial Conduct Authority and limited regulation by the Prudential Regulation Authority. Details of the Temporary Permissions Regime, which allows EEA-based firms to operate in the UK for a limited period while seeking full authorisation, are available on the Financial Conduct Authority's website. Prudential International is part of the same corporate group as The Prudential Assurance Company Limited. Both The Prudential Assurance Company Limited and Prudential International are direct and indirect subsidiaries respectively of M&G plc, a company incorporated in the United Kingdom. The Prudential Assurance Company Limited is not affiliated in any manner with Prudential Financial, Inc, a company whose principal place of business is in the United States of America or Prudential plc, an international group incorporated in the United Kingdom.