Pru
part of M&G plc

Tax Residency Self-Certification Declaration Form

How to fill out this form

Please use black ink and CAPITAL LETTERS or tick ☑ as necessary.

Any corrections must be initialled; do not use correction fluid.

If you are an Adviser and have questions about this form, please call our Adviser Centre on **0808 234 2200**. Lines are open Monday to Friday between 8.30am and 6pm.

If you are a prospective Policyholder, please speak with your Financial Adviser or call our Policyholder Service Centre on **0800 000 000**. Lines are open Monday to Friday between 8am and 6pm.

Please send the completed form to **Prudential International Assurance, PO Box 13395, Chelmsford, CM99 2GH**

Our web addresses are **pruadviser.co.uk** for financial advisers and **pru.co.uk** for policyholders.

Some important information before you start

Policy number (if known)

- You should complete either Part 1a and Part 1b of this form for individual plan owner(s) or solely Part 2 (entities). An entity means any plan owner who is not an individual, e.g. a company or trust.
- If you are completing the application acting on someone else's behalf under a court order you do not have to complete this form.

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

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 tax 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.

Please note that all references to UK in this form refer to England, Scotland, Wales and Northern Ireland only. It does not include Channel Islands and Isle of Man.

Mandatory field

Please use black ink and CAPITAL LETTERS or tick ☑ as necessary.

1a Plan Owner 1

Title Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Dr ☐ Other

Surname

Forename

Permanent residential address (including postcode)

Daytime phone number

Email address

Are you tax resident in, or do you complete tax returns in any country other than the UK? Yes ☐ No ☐

If **yes**, please continue with completion of the form. If **no** and you are the sole plan owner then sign and return the completed form. **If others need to complete then move to 1b**.

Gender Female ☐ Male ☐ Date of birth D D M M Y Y Y Y

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

Country/countries of tax residency	TIN
1	1
2	2
3	3

If **no** TIN has been supplied, 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 state the reason.

1a Declaration

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.

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

Signature

Date signed D D M M Y Y Y Y

Mandatory field

Please use black ink and CAPITAL LETTERS or tick ☑ as necessary.

If there are more than two individual Plan Owners please photocopy this page and submit with this application form.

1b Plan owner 2

Policy number (if known)

Title Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Dr ☐ Other

Surname

Forename

Permanent residential address (including postcode)

Daytime phone number

Email address

Are you tax resident in, or do you complete tax returns in any country other than the UK? Yes ☐ No ☐

If **yes**, please continue with completion of the form. If **no** and you are the sole plan owner then sign and return the completed form. **If others need to complete then move to 1b**.

Gender Female ☐ Male ☐ Date of birth D D M M Y Y Y Y

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

Country/countries of tax residency	TIN
1	1
2	2
3	3

If no TIN has been supplied, 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 state the reason.

If there are more than two Individual plan owners, please copy this page to provide details.

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.

1b Declaration

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

Signature

Date signed D D M M Y Y Y Y

2 For an Entity

Policy number (if known)

Please enter the most appropriate name and address for the Entity. In the case of a non-professionally managed trust this will be the name of the Trust provided to Prudential and the address to which correspondence is normally sent. For other types of entity, this will normally be the entity name and mailing address.

2.1 Name and Address of entity (including postcode)

2.2 Is the Entity a resident for tax purposes anywhere other than the UK[1]?

☐ **Yes**, go to Question 2.3 ☐ **No**, go to Question 2.4a

2.3 If you answered **Yes** to Q2.2, please list the non-UK country or countries in which the entity is resident for tax purposes[1], together with any Tax Identification Number(s) ("TIN"), if relevant:

Country/countries of tax residency	TIN
1	1
2	2
3	3

If **no** TIN has been supplied, tick this box if this is because the country of tax residence does not issue TINs. ☐

If there is another reason why a TIN is not available please state the reason.

2.4a In relation to this policy, is the entity:

A Financial Institution (including a professionally managed trust)[2]? Yes ☐ No ☐

If **Yes**, please provide the entity's GIIN* and sign the declaration.

If **No** please go to 2.4b.

* Global Intermediary Identification Number

2.4b Is the entity a UK registered pension fund? Yes ☐ No ☐

If **Yes**, go to declaration, if **No** go to question 2.4c.

2.4c Is the entity an Actively trading non-financial institution[3]? Yes ☐ No ☐

If **Yes**, go to declaration, if **No** go to question 2.4d.

2.4d Is the entity a Non-trading investment body[7]? Yes ☐ No ☐

If **Yes**, go to question 2.5. If **No**, go to question 2.4e.

2.4e If none of the entity types listed above apply, please specify the type of entity here.

Go to the declaration.

2.5 Are any of the Controlling Persons[4] of the non-trading investment body resident for tax purposes anywhere other than the UK? Yes ☐ No ☐

If **Yes**, sign the declaration and go to Question 2.6. If **No**, sign the declaration.

2 Declaration – In respect of an entity

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

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

Signature

Date signed D D M M Y Y Y Y

Capacity of signatory

2 For an Entity – continued

Policy number (if known)

2.6 If you answered Yes to question 2.5, for the Controlling Persons who are not tax resident in the UK please provide details and the country or countries in which they are tax resident, together with any "TIN" that may be relevant. If you require further guidance please speak to your tax or legal adviser.

If there are more than 2 Controlling Persons please copy this page to supply additional details.

Controlling Person 1

Surname

Forename

Date of birth D D M M Y Y Y Y

Permanent residential address (including postcode)

In what capacity is this individual a controlling person of the entity?*

Country/countries of tax residency
1
2
3

TIN
1
2
3

If **no** TIN has been supplied, 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 state the reason.

Controlling Person 2

Surname

Forename

Date of birth D D M M Y Y Y Y

Permanent residential address (including postcode)

In what capacity is this individual a controlling person of the entity?*

Country/countries of tax residency
1
2
3

TIN
1
2
3

If **no** TIN has been supplied, 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 state the reason.

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

- Settlor
- Trustee
- Protector
- Beneficiary[5] or class of beneficiaries
- Shareholder[6]
- Other

2 Declaration for controlling persons

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

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 other Controlling Persons of a trust.

Signature

Date D D M M Y Y Y Y

Capacity of signatory

Signature

Date signed D D M M Y Y Y Y

Capacity of signatory

Notes

The UK Government has and will be agreeing a number of inter-governmental agreements to share information about holders of UK financial accounts with the tax authorities in other jurisdictions. The UK has therefore introduced legislation which requires UK financial institutions to collect and report certain information about their customers. We are asking for your tax residency and tax identification number(s) (where applicable) and will record this on our records now, but will only disclose this information to HMRC if you are tax resident in a jurisdiction with which the UK has entered into an agreement to exchange information. HMRC may then transfer this information to the government of another jurisdiction under an inter-governmental agreement.

Further background information may be found in the Automatic Exchange of Information section of the OECD website: **oecd.org**

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

1 Tax residency rules for entities vary from country to country, and can be quite complicated. For instance, companies will often be tax resident in the country where they are incorporated and may also be resident in any other countries in which they conduct business, while trusts may need to consider where their trustees are resident. If there is doubt about where an entity is tax resident, you should speak to your tax or legal adviser.

2 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. If you are unsure about whether a trust should be classified as a Financial Institution, please speak to your tax or legal adviser.

3 UK registered charities are likely to be able to tick this box, in which case they are not required to provide information about their Controlling Persons. If the entity is another type of not for-profit entity, it may also fall into this category. In either case, please contact your tax or legal adviser for assistance. In some cases we may contact you to request additional information.

4 For a trust, the Controlling Persons include a settlor, trustee, protector (if any) or beneficiary or class of beneficiaries. For any other entity, the Controlling Persons include the shareholders and any other natural person exercising ultimate control over the entity. Note that where anti-money laundering ("AML") and know your customer checks ("KYC") apply, e.g. where a new policy is being taken out, then the Controlling Persons who should complete section 2.6 are the same as those persons who are required to be identified for AML and KYC purposes.

5 A beneficiary's details only need to be included if they own or are entitled to at least 25% of the trust property.

6 A shareholder's details only need 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. if they own less than 25% but their percentage of ownership is significantly higher than that of any other shareholders.

7 Includes a non-professionally managed trust e.g. individual policies put into trust.

How We Use Your Personal Data

The Prudential Assurance Company Limited, its group companies * and its business partners will use your information together with other information for administration, credit decisions, customer services, marketing and profiling your purchasing preferences. We will pass your information to them (including our service providers and agents) for these purposes. If you are a joint applicant, we will also pass your information to the other joint applicant/s.

To help us to make credit decisions about you, to prevent fraud, to check your identity and to prevent money laundering, we may search the files of credit reference agencies who will record any credit searches on your file. We may also disclose details of how you conduct your account to such agencies. The information will be used by other credit grantors for making credit decisions about you and the people with whom you are financially associated for fraud prevention, money-laundering prevention and occasionally for tracing debtors.

We will pass your information to any legal or regulatory body if required to do so.

You also consent to our transferring your information to countries, which do not provide the same level of data protection as the UK if necessary for the above purposes. If we do make such a transfer we will put a contract in place to ensure your information is protected

You have a right to obtain a copy of your personal information (for which we may charge a fee) and to have any inaccuracies corrected by writing to: The Information Risk & Security Team, Prudential, Lancing BN15 8GB. To make sure we follow your instructions correctly and to improve our service to you through training of our staff, we may monitor or record communications.

Acting On Someone's Behalf?

When giving us information about another person, you confirm that they have appointed you to act on their behalf. This includes providing consent to:

- the processing of their personal and sensitive data
- receive any data protection notices on their behalf
- receive marketing information as indicated.

* The Prudential Assurance Company Limited is part of M&G plc which at the time of printing includes Prudential UK & Europe and the M&G Investments Group.

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