

****For use by Controlling Persons of entities or trusts that are NOT financial institutions and that are not US entities only****

Controlling Persons Form - Country of residence for tax purposes

For guidance on what constitutes a “Controlling Person” for the purposes of this form, and why we are requesting this information, please refer to the Frequently Asked Questions document on the website at the following location: www.sucdenfinancial.com/ClientDocumentation

1. Legal name of prospective Account Holder(s) at Sucden Financial Limited of which you are a Controlling Person

2. Name of Controlling Person completing this form

3. Current Residence Address

4. Date of birth

5. Place of birth (please specify the town/city & country)

6. Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent (“TIN”)

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder’s TIN for each Reportable Jurisdiction indicated.

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

Reason A – The country where I am liable to pay tax does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number

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)

	Country of Residence	TIN	If no TIN available enter Reason A, B or C
1			
2			
3			

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	
2	
3	

If you are unsure as to your residency for tax purposes you should seek independent tax advice. Sucden Financial Limited is unable to give any tax advice.

7. Type of Controlling Person *(Please tick the applicable statement(s) below)*

- Controlling Person of a legal person – **control by ownership**
- Controlling Person of a legal person – **control by other means**
- Controlling Person of a legal person – **senior managing official**

8. Declarations and Signature

- **I certify that I am the Controlling Person of the Account Holder to which this form relates.**
- **I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported 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 I, the Controlling Person, may be tax resident pursuant to intergovernmental agreements to exchange financial account information.**
- **I confirm that all the details given in this form are correct and complete.**
- **I will inform Sucden Financial Limited immediately in writing of any changes to the details contained herein.**

Signature	
Name (Print)	
Position / Title	
Date	

Should Sucden Financial Limited and the prospective Account Holder enter into an agreement this form and the information set out in it will constitute part of the contract