

Annex 1

Only for Passive NFFEs or Passive NFEs

Self Certification for Controlling Person/s of a Passive NFFE or NFE (Controlling Person/s means those natural persons that effect ultimate effective control over the applicant – for example directors, shareholders, senior managers, trustees, beneficiaries, founders, settlors or partners). *We are providing you with only one copy of this page, for simplicity and to avoid unnecessary wastage of paper. Please print/make as many copies as required so that you provide us with the information requested below on each of your Controlling Persons.*

* Tax Country below means any country where a Controlling Person has tax residency, obligations, reporting or filing requirements.

Information related to Controlling Person	Controlling Person 1	Controlling Person 2	Controlling Person 3
Capacity/relationship of Controlling Persons to applicant (eg directors, shareholders, senior managers, trustees, beneficiaries, founders, settlors or partners)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Full name (individual or entity)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Physical address	<input type="text"/>	<input type="text"/>	<input type="text"/>
Postal address (if different to physical address)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of birth (individual only)	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>
RSA identity number	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport number	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport country of issue	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport expiry date	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>
2nd passport number (if relevant)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport country of issue	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport expiry date	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>

* Tax Country below means any country where a Controlling Person has tax residency, obligations, reporting or filing requirements.

Information related to Controlling Person	Controlling Person 1	Controlling Person 2	Controlling Person 3
3rd passport number <i>(if relevant)</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport country of issue	<input type="text"/>	<input type="text"/>	<input type="text"/>
Passport expiry date	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>
Country of birth/incorporation/establishment	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of operation/where the applicant trades (entities only)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contact telephone number	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of contact number	<input type="text"/>	<input type="text"/>	<input type="text"/>
Is the Controlling Person a US Person/Specified US Person	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Countries of citizenship (individuals only)	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Controlling Person's Tax Country*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tax reference/Tax Identification Number (TIN)	<input type="text"/>	<input type="text"/>	<input type="text"/>
If no TIN, provide reason	<input type="text"/>	<input type="text"/>	<input type="text"/>
Controlling Person's 2nd Tax Country* <i>(if relevant)</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tax reference/Tax Identification Number (TIN)	<input type="text"/>	<input type="text"/>	<input type="text"/>
If no TIN, provide reason	<input type="text"/>	<input type="text"/>	<input type="text"/>
Controlling Person's 3rd Tax Country* <i>(if relevant)</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tax reference/Tax Identification Number (TIN)	<input type="text"/>	<input type="text"/>	<input type="text"/>
If no TIN, provide reason	<input type="text"/>	<input type="text"/>	<input type="text"/>