

Self-Certification for Entities

Under automatic exchange of financial account information

All Entities must complete sections A, B, C, D and F and may also need to complete section E and/or the Annex.

Financial Institutions are required under UK law to review and collect details of accounts held by all accountholders and to report details about US persons and those who are tax resident outside the UK. We, Vartan Ravenscroft, have to ascertain whether there are any reportable US persons (section C) or other reportable non-UK tax residents (Section D)

Please refer to the accompanying explanatory notes and glossary and/or contact your tax advisor to help complete this form.

SECTION A: ENTITY INFORMATION

Entity name (full)	
Registered address (including postcode and country)	
Mailing address (if different from registered address)	
Country of incorporation/organisation	
Account number(s)*	

* To be completed by Vartan Ravenscroft

SECTION B: ENTITY TAX RESIDENCY

Please indicate ALL countries in which the Entity is resident for tax purposes and the relevant Tax Identification Number (TIN) or functional equivalent (FE); a UK National Insurance Number (NI) is also acceptable.

If the Entity is resident in the United States you must also complete and return an Internal Revenue Service (IRS) form W-9 and include any additional tax residencies in the table below.

Country of tax residency	Tax Identification Number (TIN) or functional equivalent (FE); a UK National Insurance Number (NI) is also acceptable	No TIN, FE or NI*

*If you have ticked the No TIN, FE or NI box, please explain below why you do not have one.

SECTION C: ENTITY CLASSIFICATION FOR THE PURPOSES OF FATCA

Under FATCA, any non-US Entity will either be a Financial Institution (FI) or a Non-Financial Foreign Entity (NFFE/NFE)*. If you are an FI please complete section C1 below and if you are an NFE please complete section C2 below to determine the status of the Entity. You will also need to complete section D.

* For the rest of this form "NFFE" will be referred to as "NFE" (Non-Financial Entity), the term used in the CRS (see section D below).

C1. The Entity is a Financial Institution

(a) The Entity is able to provide a Global Intermediary Identification Number (GIIN)

- i) The Entity has registered as an FI (including 'Sponsored Investment Entity') - please provide the Entity's GIIN; or
- ii) The Entity is a 'Sponsored closely held Investment Vehicle' - please provide the GIIN of the sponsoring FI

Please provide your GIIN here: _ _ _ _ _ . _ _ _ _ _ . _ _ _ _ _

(b) If unable to provide a GIIN, please give a reason by ticking one of the boxes below:

- i) The Entity is an 'Exempt Beneficial Owner' (e.g. International Organisation)
- ii) The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity)
- iii) The Entity is a Non-Participating FI
- iv) Other reason (please specify below):

C2. The Entity is NOT a Financial Institution

If the Entity is not an FI, it will be considered to be an NFE. It can be an Active or Passive NFE. Under FATCA, Passive NFEs also have the option of being a Direct Reporting or Sponsored Direct Reporting NFE.

Please note that the concepts of a "Direct Reporting NFE" and a "Sponsored Direct Reporting NFE" are only applicable to FATCA and do not apply to the CRS.

Active NFE		Please complete sections D and F
Passive NFE		Please complete sections D, E and F
a) Direct Reporting NFE	Please provide the NFE's GIIN	_ _ _ _ _ . _ _ _ _ _ . _ _ _ _ _
b) Sponsored Direct Reporting NFE	Please provide the GIIN of the NFE's Sponsoring Entity	_ _ _ _ _ . _ _ _ _ _ . _ _ _ _ _

Please now complete section D overleaf

SECTION D: ENTITY CLASSIFICATION FOR THE PURPOSES OF THE COMMON REPORTING STANDARD (CRS)

Please tick one of the boxes below:

(a) The Entity is a Managed Investment Entity

(More than 50% of the Entity's gross income is attributable to investment activities AND the Entity has appointed a Financial Institution to manage its assets (in part or in whole) on a discretionary basis).

(b) The Entity is a Financial Institution (other than a Managed Investment Entity)

(c) The Entity is a Non-Reporting Financial Institution (i.e. Governmental Entity)

(d) The Entity is an Active NFE

(e) The Entity is a Passive NFE - if you tick this box please complete section E below

If you have ticked (a) or (b) above you may be responsible for reporting any reportable persons to your local tax authority that are tax resident in a Reportable Jurisdiction.

SECTION E: 'PASSIVE NFE' CONTROLLING PERSONS SELF-DECLARATION OF TAX RESIDENCY

Please complete this section **only** if

- i. you have declared the Entity to be a 'Passive NFE' in sections C or D, or
- ii. the Entity is a Managed Investment Entity tax resident in a jurisdiction that is not a Participating Jurisdiction (see glossary).

Please list in the table on Page 4 EACH Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers (TIN) or functional equivalent (FE). A UK National Insurance Number (NI) is also acceptable. If a Controlling person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

SECTION F: DECLARATION SECTION (TO BE COMPLETED BY ALL ENTITIES)

- 1) I confirm that as per UK guidance I am authorised to sign this form and that the information provided is, to the best of my knowledge and belief, accurate and complete.
- 2) I undertake to advise Vartan Ravenscroft promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Vartan Ravenscroft with an updated declaration within 30 days of such a change in circumstances.
- 3) I am aware that in certain circumstances Vartan Ravenscroft will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
- 4) If the Entity is classified as a Passive NFE I can confirm that I have provided information relating to all Controlling Persons in the table on page 4.

Signature:

Print name:

Date:

Capacity:

SECTION E: 'PASSIVE NFE' TABLE

Please list in this table EACH Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers, or functional equivalent; a UK National Insurance Number is also acceptable. If a Controlling Person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

Full name	Type of Controlling Person	Country of Tax Residency	Permanent residence address (including postcode and country)	Tax Identification Number (TIN) or functional equivalent (FE); a UK National Insurance Number (NI) is also acceptable	Country of birth	Place of birth	Date of birth (DD-MM-YY)

Disclaimer Vartan Ravenscroft is a trading name of A Vartan Limited (AVL) (FCA number 609277) whose registered office address is at The Singing Men's Chambers, 19 Minster Precincts, Peterborough, PE1 1XX. AVL is authorised and regulated by the Financial Conduct Authority. All calls to AVL will be recorded and monitored for training and security purposes.

Ravenscroft is a trading name of Ravenscroft Limited (RL) (company number 42906) and Ravenscroft Investment Management Limited (RIML) (company number 49397) both of which have their registered office addresses at P.O. Box 222, 20 New Street, St Peter Port, Guernsey, GY1 4JG. The business address for Ravenscroft Limited Jersey office is PO Box 419, First Floor, Weighbridge House, Liberation Square, St Helier, Jersey JE2 3NA.

RL is licensed and regulated by the Guernsey Financial Services Commission to conduct investment business and the Jersey Financial Services Commission to conduct investment and funds services business.

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