



FATCA/CRS for Trust Account Self-Certification

This form should be completed if you are opening a Trust account and one or more of the trustees, settlors or beneficiaries are any of the following:

- A non-UK resident
- A non-UK tax resident
- A non-UK national
- A dual national (including UK national)

You should also use this form if any connected party becomes any of the above whilst they are on the Wealthtime platform.

Tax regulations require us to collect information about each client's tax residency. In certain circumstances we may be obliged to share information about your account(s) with HMRC and this may be shared with other tax authorities in other jurisdictions.

If you need assistance completing this form, please contact the client services team on 0345 680 8000.

Please provide certified copies of a passport or driving license for each director along with this form.

You can send this either by Secure Messages via your Adviser Zone login or by any of the below:

Email: clientservices@wealthtime.com

Post: Wealthtime Client Services, PO Box 4328, Bath, BA1 0LR

Investor Details

Investor number (if known):

Name of trust

Country of incorporation:

Registration number:

Legal entity identifier(LEI) number:

Registered address
(including postcode):

Please insert tax identification number and local tax authority for all countries the trust is registered for tax purposes:

Tax identification number	Name of local tax authority

If no TIN available please state the reason why:

Correspondence address
(including postcode):

Trust Registration Number:

You will need to provide an excerpt of the trust registration details with this form.

Nature of trust:

Settlor Details

If more than one Settlor complete this section on a separate form.

Title: Date of birth (dd/mm/yyyy):

Forename(s):

Surname:

Address
(including postcode):

Are you a UK resident
for tax purposes? Yes No

NINO:

Please insert tax identification number and local tax authority for all countries the settlor is registered for tax purposes:

Tax identification number	Name of local tax authority

If no TIN available please state the reason why:

Nationality
(please list all nationalities):

Country and place of birth:

Beneficiary Details

If more than one Beneficiary complete this section on a separate form.

Title: Date of birth (dd/mm/yyyy):

Forename(s):

Surname:

Address
(including postcode):

Are you a UK resident
for tax purposes? Yes No

NINO:

Please insert tax identification number and local tax authority for all countries the Beneficiary is registered for tax purposes:

Tax identification number	Name of local tax authority

If no TIN available please state the reason why:

Nationality
(please list all nationalities):

Country and place of birth:

Individual Trustee Details

Please provide details of all individual trustees. If there are corporate trustees please provide information of these using the **Corporate FATCA form**.

Trustee One

Title: Date of birth (dd/mm/yyyy):

Forename(s):

Surname:

Address
(including postcode):

Are you a UK resident
for tax purposes? Yes No

NINO:

Please insert tax identification number and local tax authority for all countries the Trustee is registered for tax purposes:

Tax identification number	Name of local tax authority

If no TIN available please state the reason why:

Nationality
(please list all nationalities):

Country and place of birth:

Trustee Two

 Title: Date of birth (dd/mm/yyyy):

 Forename(s):

 Surname:

 Address
(including postcode):

 Are you a UK resident for tax purposes? Yes No

 NINO:

Please insert tax identification number and local tax authority for all countries the Trustee is registered for tax purposes:

Tax identification number	Name of local tax authority

 If no TIN available please state the reason why:

 Nationality
(please list all nationalities):

 Country and place of birth:

Trustee Three

 Title: Date of birth (dd/mm/yyyy):

 Forename(s):

 Surname:

 Address
(including postcode):

 Are you a UK resident for tax purposes? Yes No

 NINO:

Please insert tax identification number and local tax authority for all countries the Trustee is registered for tax purposes:

Tax identification number	Name of local tax authority

 If no TIN available please state the reason why:

 Nationality
(please list all nationalities):

 Country and place of birth:

Trustee Four

Title: Date of birth (dd/mm/yyyy):

Forename(s):

Surname:

Address
(including postcode):

Are you a UK resident for tax purposes? Yes No

NINO:

Please insert tax identification number and local tax authority for all countries the Trustee is registered for tax purposes:

Tax identification number	Name of local tax authority

If no TIN available please state the reason why:

Nationality
(please list all nationalities):

Country and place of birth:

Classification under FATCA

If the organisation and/or one or more of the controlling persons is reportable under FATCA then please mark ONE of the below boxes.

If the organisation is a Financial Institution, please specify which type:

- 1. UK Financial Institution or a Partner Jurisdiction Institution.
- 2. Participating Foreign Financial Institution (in a non-IGA jurisdiction).
- 3. Non-Participating Foreign Financial Institution (in a non-IGA jurisdiction).
- 4. Financial Institution resident in the USA or in a US territory.
- 5. Exempt Beneficial Owner.
- 6. Deemed Compliant Foreign Financial Institution (besides those listed above).

If the organisation is not a Financial Institution, please specify the entity's FATCA status below:

- 1. Active Non-Financial Foreign Entity.
- 2. Passive Non-Financial Foreign Entity

If the organisation is any of the following and therefore not a specified US person please mark this box and select one of the below:

- 1. A regularly traded corporation on a recognised stock exchange
- 2. Any corporation that is a member of the same affiliated group as a regularly traded corporation on a recognised stock exchange
- 3. A government entity
- 4. Any bank as defined in section 581 of the US Internal Revenue Code.
- 5. A retirement plan under section 7701(a)(37) or exempt organisation under section 501(a) of the US Internal Revenue Code
- 6. Any other as defined by the US Internal Revenue Code

Organisations classification under the Common Reporting Standard (CRS)

Please select one of the below options with reference to the tax residency of this entity.

- 1. Financial Institution
- 2. A professionally managed Investment Entity outside of a CRS Participating Jurisdiction
- 3. Active Non-Financial Entity which is regularly traded on an established securities market or a governmental entity or an international organisation
- 4. Active Non-Financial Entity other than listed above
- 5. Passive Non-Financial Entity.

Declaration on behalf of the trust's investors

(This section must be completed regardless of submission method)

We will accept the receipt of this form without a signature, provided it is submitted through the Adviser Zone secure email service. If you choose to sign the completed form please arrange for the original to be returned to us. By submitting this form you are confirming the following:

- I declare that the information in this form is true and correct to the best of my knowledge.
- I agree to indemnify Wealthtime against all such claims or losses, including additional tax charges and fines, in the event that the information provided proves to be incorrect.
- I understand that checks may be performed on this instruction to confirm details are correct.
- I confirm that I have the investor's authority to submit this instruction on their behalf.
- I undertake to advise Wealthtime promptly and provide an updated self-certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete.
- Where legally obliged to do so, I hereby consent to Wealthtime sharing this information with HMRC (the UK tax authority) where applicable and I understand and accept that this information may then be shared with the tax authority in the country of residence.

Adviser name:

Position:

Firm name:

Firm FCA number:

Adviser's
signature:

If you are submitting by post,
you must sign here.

Date (dd/mm/yyyy):

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If you require this document in an alternative format please contact us.

Wealthtime is a trading name of Novia Financial plc. Novia Financial plc is a private limited company registered in England and Wales. No. 06467886. Registered office: Royal Mead, Railway Place, Bath, BA1 1SR. Novia Financial plc is authorised and regulated by the Financial Conduct Authority. FCA Number 481600