

SELF CERTIFICATION FORM FOR AN ENTITY

Utmost Wealth Solutions is the brand name used by a number of Utmost companies. This item has been issued by Utmost PanEurope dac.

IMPORTANT INFORMATION

Please ensure that all sections are fully completed. In this form words in the singular shall include the plural and vice versa.

HOW TO COMPLETE THIS FORM

Refer to the explanatory notes section when completing this form.

Complete this form using **blue or black ink** and **BLOCK CAPITALS**. If you make a mistake, cross it out, put in the correct words and sign your initials next to the correction. **Do not use correction fluid.**

Once complete, return this form and any supporting documents to the following address: **Utmost PanEurope dac, 16 Joyce Way, Park West Business Park, Dublin 12, Ireland.**

PRIVACY STATEMENT

Our Privacy Statement explains when and why we collect personal information about our customers, how we use it, the conditions under which we may share it with others and how we keep it secure. It also explains how long we keep customer information for, how a customer can obtain details of the information we keep and the choices customers have about how we use that information. You can find a copy on our website www.utmostinternational.com/privacy-statements or you can request a copy from our Customer Support team.


A TAX RESIDENCY

Tax regulations¹ require us to collect information about your tax residency². In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account(s) with The Revenue who may in turn share this information with any or all participating tax jurisdictions³.

You must indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s). If you are also a US citizen you must include United States in this table along with your US Tax Identification Number. If you have any questions about your tax residency², contact your tax adviser as Utmost PanEurope dac are not authorised to provide financial advice.

B PERSONAL DETAILS

Policy Number	<input type="text"/>
Entity Name	<input type="text"/>
	<input type="text"/>
Country of Incorporation	<input type="text"/>

This section
must be completed
in full. 

A WEALTH *of* DIFFERENCE

www.utmostinternational.com

Calls may be monitored and recorded for training purposes and to avoid misunderstandings.

Utmost PanEurope dac is regulated by the Central Bank of Ireland (No 311420). Its registered office is Navan Business Park, Athlumney, Navan, Co. Meath C15 CCW8, Ireland.

Utmost PanEurope dac is a Category A Insurance Permit holder with the Jersey Financial Services Commission.

Utmost Wealth Solutions is registered in Ireland as a business name of Utmost PanEurope dac.

UIC PR 00166 | 11/22

Address

Country

Postcode

Correspondence Address (if different)

Country

Postcode

Is the Entity a U.S Person Yes No

If the entity is a US person, (e.g. because it is incorporated or organised under the laws of the United States, or it is the type of trust described in the definition of a US person) provide a completed IRS form W9. The most up to date form can be found together with instructions for completion at www.irs.gov/Forms-&-Pubs or you can contact our Customer Support team for a copy.

C ENTITY TYPE

1 Is the entity tax resident anywhere other than the Republic of Ireland? Yes No
 If **yes**, complete question 2 below.
 If **no**, continue to question 3.

2 Complete the below table to confirm the jurisdiction(s) of the tax entity and Tax Identification Number(s).

In which jurisdiction is the entity tax resident	Tax Identification Number (TIN)
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>

3 Is the Entity a Financial Institution? Yes No

If **yes**, provide details of the type of financial institution, including the Global Intermediary Number (GIN) below.

If a Financial Institution, complete an IRS Form W-8BEN or W-9, as appropriate.

GIN number

4 Is the Entity a Passive NFE? Yes No

If **yes**, continue to question 5.

If **no**, continue to section D, controlling persons details.

If the entity is a Passive NFE, provide a completed IRS form W-8BEN-E unless the entity is a US person. The most up to date form is available on at www.irs.gov/Forms-&-Pubs

5 Does the Passive NFE have one or more controlling persons? Yes No

If **yes**, provide details of the controlling person(s) in section D below.

If **no**, proceed to the Declaration.

D CONTROLLING PERSONS DETAILS

CONTROLLING PERSON A

Name

Date of Birth

Type of Controlling Person

Address

Country

Postcode

Is the Controlling Person a US Citizen Yes No

If **yes**, confirm Social Security Number

Complete the table below if the controlling person is tax resident anywhere other than the Republic of Ireland.

Country of Residence for tax purposes	Tax Identification Number (TIN)
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>

I declare that the information provided on this form is complete and accurate to the best of my knowledge and belief.

I agree to notify Utmost PanEurope dac immediately if any of this information changes in the future.

Signed

SIGNATURE

Date

CONTROLLING PERSON B

Name

Date of Birth

Type of Controlling Person

Address

Country

Postcode

Is the Controlling Person a US Citizen Yes No

If **yes**, confirm Social Security Number

Complete the table below if the controlling person is tax resident anywhere other than the Republic of Ireland.

Country of Residence for tax purposes	Tax Identification Number (TIN)
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>

I declare that the information provided on this form is complete and accurate to the best of my knowledge and belief.

I agree to notify Utmost PanEurope dac immediately if any of this information changes in the future.

Signed

SIGNATURE

Date

CONTROLLING PERSON C

Name

Date of Birth

Type of Controlling Person

Address

Country

Postcode

Is the Controlling Person a US Citizen Yes No

If **yes**, confirm Social Security Number

Complete the table below if the controlling person is tax resident anywhere other than the Republic of Ireland.

Country of Residence for tax purposes	Tax Identification Number (TIN)
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>

I declare that the information provided on this form is complete and accurate to the best of my knowledge and belief.

I agree to notify Utmost PanEurope dac immediately if any of this information changes in the future.

Signed

SIGNATURE

Date

CONTROLLING PERSON D

Name

Date of Birth

Type of Controlling Person

Address

Country

Postcode

Is the Controlling Person a US Citizen Yes No

If **yes**, confirm Social Security Number

Complete the table below if the controlling person is tax resident anywhere other than the Republic of Ireland.

Country of Residence for tax purposes	Tax Identification Number (TIN)
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>

I declare that the information provided on this form is complete and accurate to the best of my knowledge and belief.

I agree to notify Utmost PanEurope dac immediately if any of this information changes in the future.

Signed

Date

SIGNATURE

E DECLARATION

I declare that the information provided in this form is complete and accurate to the best of my knowledge and belief. I agree to advise Utmost PanEurope dac promptly and provide an updated Self-Certification form where any change in circumstance occurs and which causes any of the information contained in this form to be incorrect.

If you are resident for tax purposes in the United States or any other jurisdiction(s) other than the Republic of Ireland please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to a customer’s accounts with relevant tax authorities.

Further information on Automatic Exchange of Information is available on the revenue website www.Revenue.ie or <http://www.oecd.org/tax/automatic-exchange/>.

	On behalf of the entity	On behalf of the entity	
Signed	<input type="text"/>	<input type="text"/>	SIGNATURE
Print Name	<input type="text"/>	<input type="text"/>	
Date	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>	

EXPLANATORY NOTES

For additional information on the definitions and meaning to terms in the Standard for Automatic Exchange of Financial Account Information (otherwise known as the Common Reporting Standard or CRS) refer to the Revenue Commissioner’s Automatic Exchange of Information (AEOI) in relation to tax matters on www.revenue.ie

DEFINITION	MEANING
ACTIVE NFE	<p>The term “Active NFE” means any Non Financial Entity that meets any of the following criteria:</p> <ol style="list-style-type: none"> 1 Less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income; 2 The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market; 3 The NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing; substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; 4 The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE; 5 The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution; 6 The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or

DEFINITION	MEANING
ACTIVE NFE	<p>7 the NFE meets all of the following requirements:</p> <ul style="list-style-type: none"> › It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare; › It is exempt from income tax in its jurisdiction of residence; › It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; › The applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and › The applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents require that, upon the NFE’s liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE’s jurisdiction of residence or any political subdivision thereof.
CONTROLLING PERSON(S)	<p>The term “Controlling Persons” means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” must be interpreted in a manner consistent with the Financial Action Task Force Recommendations, which can be found at www.fatfgafi.org/publications/fatfrecommendations</p>
ENTITY	<p>The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.</p>
FATCA	<p>This means the United States Foreign Account Tax Compliance Act. In December 2012 Ireland signed an agreement with the US in relation to the implementation of FATCA in Ireland (the Irish IGA). The FATCA regulations give legislative effect to the Irish IGA.</p>
FINANCIAL INSTITUTION	<p>The term “Financial Institution” means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.</p>
NFE	<p>An “NFE” is any Entity that is not a Financial Institution</p>
PASSIVE NFE	<p>A “Passive NFE” means any:</p> <ul style="list-style-type: none"> › NFE that is not an Active NFE; and › Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.
TIN	<p>The term “TIN” means Taxpayer Identification Number (or functional equivalent in the absence of a Taxpayer Identification Number). A Taxpayer Identification Number is a unique combination of letters or numbers, however described, assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for purposes of administering the tax laws of such jurisdiction.</p>
US PERSON	<p>The term “U.S. Person” means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if</p> <ul style="list-style-type: none"> › A court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and › One or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States. This shall be interpreted in accordance with the U.S. Internal Revenue Code.

¹ The term “tax regulations” refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

² In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, contact your tax adviser.

³ Those countries that have agreed to exchange information under FATCA and the CRS¹.

You are not required to provide details of your Tax Identification Number (TIN) or Date of Birth if you are:

- › A Republic of Ireland Tax resident and
 - › Not a tax resident anywhere else and
 - › Not a US citizen and
 - › Not resident in a jurisdiction that is reportable under CRS or FATCA.
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