

# Tax Residency Self-Certification Declaration Form

## How to fill out this form

Please use black ink and CAPITAL LETTERS or tick  as necessary.

## About this form

Policy number (if known)

- You should complete either Part 1a and Part 1b of this form for individual plan owner(s) or solely Part 2. An entity means any plan owner who isn't an individual, e.g. a company or trust.
- If you're completing the application acting on someone else's behalf under a court order you do not have to complete this form.
- The form is divided into sections and we have added notes on page 7 to help you fill in this form.

## How we use your personal information

For a copy of our latest Data Protection Notice, please visit [pru.co.uk/mydata](https://pru.co.uk/mydata). This details how and why we use your personal information (including any sensitive personal information), who we may share it with and your rights around your personal information. Alternatively, you can request a hard copy to be sent to you by writing to The Data Protection Officer, Customer Service Centre, Lancing BN15 8GB.

Please note that we collect personal information from you that is necessary for us to either provide you with the product or service you've requested or to comply with statutory or contractual requirements. Unfortunately if you don't provide all of the information we require this may mean we are unable to provide our products and services to you.

## Questions about this form?

### Advisers

- in the first instance, get in touch with your usual Prudential contact
- or please call our Adviser Centre on **0808 234 0808**

We might record your call for training and quality purposes.

### Policyholders

- please speak to your financial adviser

Our web addresses are [pruadviser.co.uk](https://pruadviser.co.uk) for financial advisers and [pru.co.uk](https://pru.co.uk) for policyholders.

## 1a. Plan Owner 1

### Please read the information below

The UK Government has a number of inter-governmental agreements to share tax information, (where applicable), with the tax authorities in other jurisdictions. UK legislation requires us to collect certain information about our customers tax residency. We are asking for your tax residency and tax ID numbers (where applicable) and we will record this on our records. We will only pass this information to HMRC if and when we are required to under UK law. HMRC might pass this information to the government of another jurisdiction under an inter-governmental agreement.

Your tax residence is the country in which you live for more than 6 months. There are special circumstances which might mean you are a resident elsewhere or in more than one country (dual residency) such as studying abroad, working overseas, or extended travel. The country/countries in which you pay income tax are likely to be your country/countries of tax residence.

If you are a US citizen or hold a US passport or green card, you will also be considered tax resident in the US even if you live outside the US.

Please note that all references to UK in this form refer to England, Scotland, Wales and Northern Ireland only. It doesn't include Channel Islands and Isle of Man.

This declaration may be signed by the plan owner or by someone with legal authority to sign on their behalf e.g. through a power of attorney.

Policy number (if known)

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname  Forename

Are you a resident for tax purposes anywhere other than the UK? Yes  No

If yes, please continue with the rest of the form. If no and you're the sole plan owner then please sign and return the completed form.

If others need to complete then move to 1b.

Permanent residential address

  
  
 Postcode

Daytime telephone number  Email address

Gender Female  Male  Date of birth

Please list the non-UK country or countries in which you're resident for tax purposes, together with any Tax Identification Number(s) ("TIN"), if you have one.

Country/countries of tax residency	TIN
1.	1.
2.	2.
3.	3.

If no TIN has been given, tick this box if this is because the country of tax residence doesn't issue TINs to its residents.

If there is any other reason why a TIN is not available please let us know the reason below:

## 1a. Declaration

I confirm that the details given in this form are correct and complete. If the information provided above becomes invalid, I agree to advise Prudential and provide an updated declaration form within 90 days of such change occurring.

Signature

Date signed

## 1b. Plan Owner 2

Policy number (if known)

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Are you a resident for tax purposes anywhere other than the UK?

Yes  No

If yes, please continue with the rest of the form. If no and you're the sole plan owner then please sign and return the completed form.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Daytime telephone number

Email address

Gender

Female

Male

Date of birth

D	D	M	M	Y	Y	Y	Y
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Please list the non-UK country or countries in which you're resident for tax purposes, together with any Tax Identification Number(s) ("TIN"), if you have one.

Country/countries of tax residency	TIN
1.	1.
2.	2.
3.	3.

If no TIN has been given, tick this box if this is because the country of tax residence doesn't issue TINs to its residents.

If there is any other reason why a TIN is not available please let us know the reason below:

If there are more than two Individual plan owners, please copy this page to provide details.

## 1b. Declaration

I confirm that the details given in this form are correct and complete. If the information provided above becomes invalid, I agree to advise Prudential and provide an updated declaration form within 90 days of such change occurring if the information provided above becomes invalid.

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

This declaration may be signed by the plan owner or by someone with legal authority to sign on their behalf e.g. through a power of attorney.

## 2. For an Entity

Policy number (if known)

### 2.1 Name and address of entity

  
  

Postcode

### 2.2 Is the entity a resident for tax purposes anywhere other than the UK<sup>1</sup>?

- Yes – go to **question 2.3**
- No – go to **question 2.4a**

### 2.3 If you answered Yes to Q2.2, please list the non-UK country or countries in which the entity is resident for tax purposes<sup>1</sup>, together with any Tax Identification Number(s) ("TIN"), if you have one.

Country/countries of tax residency	TIN
1.	1.
2.	2.
3.	3.

If no TIN has been given, tick this box if this is because the country of tax residence doesn't issue TINs to its residents.

If there is any other reason why a TIN is not available please let us know the reason below:

### 2.4a In relation to this policy, is the entity:

A Financial Institution (including a professionally managed trust)<sup>2</sup>?

Yes  No

If Yes, please provide the entity's GIIN\* and sign the declaration.

If No, please go to **question 2.4b**.

### 2.4b Is the entity a UK registered pension fund?

If Yes, go to declaration, if No go to **question 2.4c**.

Yes  No

### 2.4c Is the entity an Actively trading non-financial institution<sup>3</sup>?

If Yes, go to declaration, if No go to **question 2.4d**.

Yes  No

### 2.4d Is the entity a non-trading investment body (this includes an individual policy put into trust, see note 2)?

If Yes, go to **question 2.5**. If No, go to **question 2.4e**.

Yes  No

### 2.4e If none of the entity types above apply, please let us know the type of entity here:

Please go to the declaration.

### 2.5 Are any of the Controlling Persons<sup>4</sup> of the non-trading investment body resident for tax purposes anywhere other than the UK?

If Yes, sign the declaration and go to **question 2.6**. If No, sign the declaration.

Yes  No

An entity means any plan owner who isn't an individual, e.g. a company or trust.

Please enter the most appropriate name and address for the entity. In the case of a non-professionally managed trust this will be the name of the Trust provided to Prudential and the address to which correspondence is normally sent. For other types of entity, this will normally be the entity name and mailing address.

\* Global Intermediary Identification Number.

## 2. Declaration – In respect of an entity

Policy number (if known)

I confirm that the details given in this form are correct and complete. If the information provided above becomes invalid, I agree to advise Prudential and provide an updated declaration form within 90 days of such change occurring if the information provided above becomes invalid.

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
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Capacity of signatory

## 2. For an Entity – continued

2.6 If you answered Yes to question 2.5, for the Controlling Persons who are not tax resident in the UK please provide details and the country or countries in which they are tax resident, together with any "TIN" that may be relevant. If you need more help please speak to your tax or legal adviser.

If there are more than two Controlling Persons please make a copy of this page to give us the extra details.

### Controlling Person 1

Surname

Forename

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Full Address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

In what capacity is this individual a controlling person of the entity?\*

### Controlling Person 2

Surname

Forename

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Full Address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

In what capacity is this individual a controlling person of the entity?\*

This declaration may be signed by any person with authority to sign on behalf of the entity.

Please enter one of the following in the box provided to indicate the relevant capacity:

- Settlor
- Trustee
- Protector
- Beneficiary<sup>5</sup> or class of beneficiaries
- Shareholder<sup>6</sup>
- Other

## 2. For an Entity – continued

Policy number (if known)

Country/countries of tax residency
1.
2.
3.
TIN
1.
2.
3.

Country/countries of tax residency
1.
2.
3.
TIN
1.
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If no TIN has been given, tick this box if this is because the country of tax residence doesn't issue TINs to its residents.

If no TIN has been given, tick this box if this is because the country of tax residence doesn't issue TINs to its residents.

If there is any other reason why a TIN is not available please let us know the reason below:

If there is any other reason why a TIN is not available please let us know the reason below:

## 2. Declaration for controlling persons

### Controlling Person 1

### Controlling Person 2

I confirm that the details given in this form are correct and complete. I agree to advise Prudential and provide an updated declaration form within 90 days of such change occurring if the information provided above becomes invalid

Signature

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Capacity of signatory

Capacity of signatory

This declaration may be signed by the Controlling Person or by any person with authority to sign on behalf of the entity. E.g. a trustee may sign on behalf of other Controlling Persons of a trust.

## Notes

The UK Government has a number of inter-governmental agreements to share information about holders of UK financial accounts with the tax authorities in other jurisdictions. The UK has introduced legislation which requires UK financial institutions to collect and report certain information about their customers. We are asking for your tax residency and tax identification number(s) (where applicable) and we will record this on our records. We will only pass this information to HMRC if you are tax resident in a jurisdiction with which the UK has entered into an agreement to exchange information. HMRC might pass this information to the government of another jurisdiction under an inter-governmental agreement.

You can find more information in the Automatic Exchange of Information section of the OECD website. Please visit: [oecd.org](https://www.oecd.org)

If you have any questions on how to complete this form please speak to your tax or legal adviser.

- <sup>1</sup> Tax residency rules for entities vary from country to country, and can be quite complicated. For example, companies will often be tax resident in the country where they are incorporated and may also be resident in any other countries in which they conduct business, while trusts may need to consider where their trustees are resident. If you're unsure about where an entity is tax resident, you should speak to your tax or legal adviser.
- <sup>2</sup> Trusts can either be a non-trading investment body or a Financial Institution. Trusts will only be classified as Financial Institutions where they meet certain conditions, one of which is that the trust is professionally managed. An example of this would be where the trust has appointed another Financial Institution to manage the assets of the trust. Note that where a policy is simply put into trust, this in itself does not make the trust a Financial Institution. If you're unsure about whether a trust should be classified as a Financial Institution, please speak to your tax or legal adviser.
- <sup>3</sup> UK registered charities are likely to be able to tick this box, so they don't need to provide information about their Controlling Persons. If the entity is another type of not-for-profit entity, it might also fall into this category. In either case, please contact your tax or legal adviser for assistance.
- <sup>4</sup> For a trust, the Controlling Persons include a settlor, trustee, protector (if any) or beneficiary or class of beneficiaries. For any other entity, the Controlling Persons include the shareholders and any other natural person exercising ultimate control over the entity. Note that where anti-money laundering ("AML") and know your customer checks ("KYC") apply, e.g. where a new policy is being taken out, then the Controlling Persons who should complete section 2.6 are the same as those persons who are required to be identified for AML and KYC purposes.
- <sup>5</sup> You only need to provide a beneficiary's details if they own or are entitled to at least 25% of the trust property.
- <sup>6</sup> You only need to include shareholders details if they own or control more than 25% of the shares or voting rights or exercise control of the management e.g. if they own less than 25% but their percentage of ownership is significantly higher than that of any other shareholders.

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