

# Controlling Persons



## Attachment

Please provide the information requested below on the Account Holder's controlling person(s) if you have indicated that the Account Holder is:

- a. for FATCA purposes a Passive NFFE, or
- b. for CRS purposes a Passive NFE or an investment entity managed by a financial institution with a tax residence in a non-CRS jurisdiction.

Controlling Persons – 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 (See FATF Recommendation 10 – Customer Due Diligence).

**This attachment is considered an integral part of the self-certification to which it is associated.  
If there is a change in Controlling Persons, please submit an updated attachment within 30 days.**

Controlling Person	First name		Family Name/Surname				
	Residential Address Line 1						
	City	State	Postcode	Country			
	Country of Tax Residence 1	Taxpayer Identification Number 1		Date of Birth (DD/MM/YYYY)			
	Country of Tax Residence 2	Taxpayer Identification Number 2		City of Birth			
	Country of Tax Residence 3	Taxpayer Identification Number 3		Country of Birth			
	TIN Unavailable Explanation(s) – If TIN is not provided above, please provide an explanation.		Controlling Person Type	Legal Person	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Others Means	<input type="checkbox"/> Senior Managing Official
		Legal Agreement – Trust		<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector	<input type="checkbox"/> Beneficiary <input type="checkbox"/> Other
		Legal Agreement – Other		<input type="checkbox"/> Settlor Equivalent	<input type="checkbox"/> Trustee Equivalent	<input type="checkbox"/> Protector Equivalent	<input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Other Equivalent

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	City	State	Postcode	Country			
	Country of Tax Residence 1	Taxpayer Identification Number 1		Date of Birth (DD/MM/YYYY)			
	Country of Tax Residence 2	Taxpayer Identification Number 2		City of Birth			
	Country of Tax Residence 3	Taxpayer Identification Number 3		Country of Birth			
	TIN Unavailable Explanation(s) – If TIN is not provided above, please provide an explanation.		Controlling Person Type	Legal Person	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Others Means	<input type="checkbox"/> Senior Managing Official
		Legal Agreement – Trust		<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector	<input type="checkbox"/> Beneficiary <input type="checkbox"/> Other
		Legal Agreement – Other		<input type="checkbox"/> Settlor Equivalent	<input type="checkbox"/> Trustee Equivalent	<input type="checkbox"/> Protector Equivalent	<input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Other Equivalent

Controlling Person	First name		Family Name/Surname				
	Residential Address Line 1						
	City	State	Postcode	Country			
	Country of Tax Residence 1	Taxpayer Identification Number 1		Date of Birth (DD/MM/YYYY)			
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	Country of Tax Residence 3	Taxpayer Identification Number 3		Country of Birth			
	TIN Unavailable Explanation(s) – If TIN is not provided above, please provide an explanation.		Controlling Person Type	Legal Person	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Others Means	<input type="checkbox"/> Senior Managing Official
		Legal Agreement – Trust		<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector	<input type="checkbox"/> Beneficiary <input type="checkbox"/> Other
		Legal Agreement – Other		<input type="checkbox"/> Settlor Equivalent	<input type="checkbox"/> Trustee Equivalent	<input type="checkbox"/> Protector Equivalent	<input type="checkbox"/> Beneficiary Equivalent <input type="checkbox"/> Other Equivalent

\*If Account Holder has additional Controlling Persons, provide multiple Controlling Persons attachments.