

This form has six sections A-D, E (if applicable), & F that need to be completed. Should you require guidance on completing this form or further information relating to the Foreign Account Tax Compliance Act (FATCA) or Common Reporting Standard (CRS) and the options within this form please refer to:-  
[www.natwest.com/taxresidency](http://www.natwest.com/taxresidency)

### Section A - Customer Identification

Name of entity

BALLPARKENG PENSION SCHEME

Country of incorporation

UNITED KINGDOM

Permanent registered address (Do not use a P.O. Box or an 'in care of' address)

Address line 1

14 VIEWFIELD ROAD

Address line 2

SOUTHFIELDS

City or town

LONDON

County, region, state or province

Post/zip code

SW18

1NA

Country

UNITED KINGDOM

Mailing address (if different from permanent address)

Address line 1

Address line 2

City or town

County, region, state or province

Post/zip code

Country

## Section B – Tax Residency Information

**B1. Is the entity/organisation resident for income or corporation tax purposes in the United Kingdom?**

- Answer: United Kingdom only ☒ → Move to Section C
- United Kingdom and other ☐ → Provide your other tax residency details below (B2) and move to Section C
- Other only ☐ → Provide your other tax residency details below (B2) and move to Section C

**B2. If the entity/organisation is resident for income or corporation tax purposes outside the United Kingdom, please list the countries and tax reference numbers below:**

Please provide details for each country where your entity/organisation is tax resident of:

- Your Tax Identification Number (TIN) or local equivalent in each country. This could be your Employer Identification Number, Unique Business Reference or Corporation Tax Number dependant on the format used in your country of tax residency. Please visit [www.natwest.com/taxresidency](http://www.natwest.com/taxresidency) for further information and guidance
- Where you do not have a TIN, we need to understand why this is, please indicate that a TIN is unavailable & provide an explanation in the box below (e.g. The country where you are a tax resident of does not issue TINs or local equivalent)
- The dates that the entity has been tax resident in the country(s)

Country of Tax Residency (list all)	Tax Identification Number (TIN)	TIN unavailable (Go to B2.1)	Tax residency dates (DDMMYYYY)	
			From	To
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		

**B2.1** If you cannot provide a Tax Identification Number (TIN) or local equivalent, please detail the reason below:

If you need more space, please continue on a separate sheet, sign it, date it, and attach to this form.

## Section C – Foreign Account Tax Compliance Act (FATCA) Tax Status Classification

### C1. Is the entity/organisation incorporated/organised in the USA?

- Answer: No ☒ → Move to Section C2
- Specified US Person ☐ → Provide your TIN below and move to Section D
- Other US person ☐ → Provide your TIN below and move to Section D

Tax Identification Number (TIN)

### C2. Is the entity/organisation a Foreign Financial Institution (FFI)?

*An FFI is a non-US financial institution and is one or more of the following:*

- Answer: No ☐ → Move to Section C3
- Reporting FFI ☐ → Provide your GIIN below (C2.1) and move to Section D
- Sponsored FFI ☐ → Provide your GIIN below (C2.1) and move to Section D
- Other FFI ☒ → Provide tax status below (C2.2) and move to Section D

C2.1 Global Intermediary Identification Number (GIIN)

 -  -  - 

If you cannot provide a GIIN, please detail the reason below:

C2.2 If you are an Other FFI, please detail your tax status below:

EXEMPT BENEFICIAL OWNER

### C3. Is the entity/organisation a Non Financial Foreign Entity (NFFE)?

*An NFFE is a non US company, partnership, trust, foundation or any other legal entity that isn't an FFI*

- Answer: Active NFFE ☐ → Move to Section D
- Passive NFFE ☐ → Complete Section E1 and move to Section D
- Other NFFE ☐ → Complete Section E2 and move to Section D

For help on Active and Passive Non Financial Foreign Entities, please refer to the FATCA - Active NFFE Decision Tree which can be found within the 'Support and Guidance' section of the website- [www.natwest.com/taxresidency](http://www.natwest.com/taxresidency).

## Section D – Common Reporting Standard (CRS) Tax Status Classification

### D1. Is the entity/organisation a Financial Institution (FI) or Investment Entity (IE)?

A **FI** is a 'Custodial Institution', a 'Depository Institution', an 'Investment Entity', or a 'Specified Insurance Company'. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to an FI.

An **IE** includes two types of Entities:

- (i) An Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer: Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading. Individual and collective portfolio management; or otherwise investing, administering, or managing Financial Assets or money on behalf of other persons. Such activities or operations do not include rendering non-binding investment advice to a customer.
- (ii) An Investment Entity ('Investment Entity managed by another Financial Institution') is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

Answer: No

☐ → Move to Section D2

Investment Entity located in a Non Participating Jurisdiction & managed by another Financial Institution

☐ → Complete Section E1 and move to Section F

Other Investment Entity

☒ → Move to Section F

Other FI – including Depository, Custodial or Specified Insurance Company

☐ → Move to Section F

### D2. Is the entity/organisation a Non Financial Entity (NFE)?

An **NFE** is any Entity that is not a Financial Institution.

Answer: Active NFE where the stock of the entity (or an affiliated entity) is regularly traded on an established securities market

☐ → Move to Section F

Active NFE – Government Entity

☐ → Move to Section F

Active NFE – International Organisation

☐ → Move to Section F

Active NFE which is none of the above

☐ → Move to Section F

Passive NFE

☐ → Complete Section E1 and move to Section F

For a guide on the Active and Passive Non Financial Entity options please refer to the to the CRS – Active NFE Decision Tree which can be found within the 'Support and Guidance' section of the website [www.natwest.com/taxresidency](http://www.natwest.com/taxresidency)

## Section E – Supporting Information

### E1. Controlling person(s) (Refer to Glossary section for additional information on controlling persons)

Only complete this section if you've ticked that you're a Passive NFFE (in Section C3) or a Passive NFE (in Section D2) or an Investment Entity located in a Non-Participating Jurisdiction (in Section D1).

'Control' over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 50%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, then under the CRS the Reportable Person is deemed to be the natural person.

Please provide details of each controlling person. If you need more space, please continue on a separate sheet, sign it, date it, and attach it to this form.

(Name in full) <input type="text"/>	
Date of birth (DD/MM/YYYY) <input type="text"/>	
Permanent residence address of the controlling person (Don't use a P.O. box or an 'In care of' address)	
<hr/>	
<hr/>	
Country of Tax Residency (list all)	Tax Identification Number (TIN) or local equivalent (list all)
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

(Name in full) <input type="text"/>	
Date of birth (DD/MM/YYYY) <input type="text"/>	
Permanent residence address of the controlling person (Don't use a P.O. box or an 'In care of' address)	
<hr/>	
<hr/>	
Country of Tax Residency (list all)	Tax Identification Number (TIN) or local equivalent (list all)
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

**F2. Other NFFE tax status** (Refer to Glossary section for additional information on NFFE options)

**Only complete this section if you have indicated that you are an Other NFFE (in Section C3).**

Please confirm your 'Other NFFE' tax status from the list below.

Please refer to the Glossary, which contains key Entity Classifications definitions or: [www.natwest.com/taxresidency](http://www.natwest.com/taxresidency) for further information on NFFE tax statuses. If you're in any doubt, please speak to your tax adviser.

Publicly traded NFFE or NFFE affiliate of a publicly traded Corporation

☐

Exempted Territory NFFE

☐

Exempted Nonfinancial Group Entity

☐

International Organisation

☐

Foreign Government, Government of a US Possession, or Foreign Central Bank of Issue

☐

Exempted Nonfinancial Start-up Company

☐

Exempted Nonfinancial Entity in Liquidation or Bankruptcy

☐

Exempt Retirement Plans

☒

Non-Profit Organisation

☐

Direct Reporting NFFE

☐

Sponsored Direct Reporting NFFE

☐

501 (c) Organisation

☐

**Section F – Declaration and Signature**

An authorised signatory from the account operating mandate should sign this section on behalf of the entity.

I declare that I have examined the information on this form and to the best of my knowledge and belief, it is true, correct and complete. I undertake to inform the Bank promptly of any change in circumstances which causes the information contained herein to be incorrect and to provide the Bank with a suitably updated declaration within 30 days of such changes.

Furthermore, I certify that I have the capacity to complete and sign this form on behalf of the Entity named on this document.

Customer signature

Name (Print in full)

ANDREW EMANUEL

Date signed  
(DD/MM/YYYY)

Please indicate the capacity in which you have acted here

TRUSTEE

Please refer to: [www.natwest.com/taxresidency](http://www.natwest.com/taxresidency) for further information on FATCA and CRS, the above options and how to contact us if necessary. If you're in any doubt, please speak to your tax adviser.