

Controlling persons form

Personal Details:

This form requires the provision of personal data. Please refer to our jurisdiction specific privacy notices at <https://www.praxisgroup.com/fair-processing-notice> which individually set out how Praxis and its associated companies handle and process personal data (including special categories of data) relating to you. Each privacy notice is in accordance with applicable data protection legislation and explains your rights in terms of the same.

Full / Legal Name

Title

Mr

Mrs

Miss

Ms

Other

If other, please specify

Surname

Forename(s)

Middle name(s)

Are you known by any other names, or have you have any other previous names?

Yes

No

If yes, please provide details:

Principal Residential Address, including postcode*

*Please note it is not sufficient to provide a PO Box or "care of" address as these do not meet our regulatory requirements.

[Connection to a UK address, click here](#)

If you are a settlor or beneficiary of a trust and your current or previous address during the last 20 years is UK connected, please also refer to [Note⁴](#) and complete all fields.

Indicate this has been completed by ticking this box.

Business telephone number

Residential telephone number

Mobile telephone number

Email address

Nationality

Other Nationalities (please specify)

Please record all nationalities. For U.S. nationals [see note³](#) on page 4 concerning the need to complete Form W-9.

Occupation

Employer

Employers Address, including postcode

Public Positions Held

(i.e. A prominent public function, or elected or appointed to such a function in any country or territory, or a prominent function of an international organisation. (e.g. organisations such as NATO, the UN, the World Bank, International Sporting Federations (e.g. "FIFA"), heads of state or heads of government, senior politicians and other important officials of political parties, senior government officials, senior members of the judiciary, senior military officers, senior executives of state owned body corporates)).

Do you hold any Public Positions?

Yes No

If yes, please provide details:

Do any immediate family members or close associates hold any Public Positions?

Yes No

If yes, please provide details:

Place of birth

Country

City / Town

Date of birth (DD/MM/YYYY)

IMPORTANT INFORMATION

Please note that while collating due diligence information we may obtain certain special category data such as biometric data (this is personal data resulting from specific transactional processing relating to the physical, physiological or behavioural characteristics of an individual, which allows or confirms the unique identification of that individual e.g. fingerprints or retinal images). If any of the information that you provide to us contains biometric data this will be processed in accordance with the relevant data protection legislation.

Tax information Addendum:

A number of jurisdictions have adopted legislation designed to prevent tax evasion through the use of offshore accounts (e.g., the USA has introduced the Foreign Account Tax Compliance Act (“FATCA”) and the OECD, the Common Reporting Standard (“CRS”)). In order to comply with its international obligations, Praxis and its associated companies must identify and report all persons identified as being subject to such legislation, to the relevant tax authorities and such information may be exchanged with tax authorities pursuant to inter-governmental agreements regarding the exchange of financial account information.

In order to facilitate this process, please complete the declaration below (please note that it is your responsibility to determine in which jurisdiction(s) you are tax resident and Praxis and its associated companies accept no liability or responsibility for any incorrect declarations):

I (insert name)

hereby confirm that I am tax resident in the following jurisdiction(s) (please answer at least one of the below 6 sections as applicable):

Jurisdiction of tax residence

1. United Kingdom

2. United States of America (including a Green Card Holder)³

3. Guernsey

4. Jersey

5. Other: If you select other please refer to CBI /RBI Schemes details - [see note²](#)

Jurisdiction

Tax Identification Number¹

(National Insurance Number or UTR)

(US Federal Taxpayer Identification Number)

(Guernsey social security number)

(Jersey Tax Identification Number)

Tax Identification Number

¹ Applicable for points 1-5 only. If you are unable to obtain a Tax Identification Number (“TIN”), please explain why in the box below (e.g. country does not issue TINs).

6. I confirm that I am not tax resident in any jurisdiction for the following reason:

² CBI/RBI Schemes

On 16th October 2018, the OECD published the results of its analysis of over 100 CBI/RBI schemes (Citizenship by Investment and Residence By Investment) offered by CRS-committed jurisdictions, identifying those schemes that could potentially pose a high-risk to the integrity of CRS. If your tax residence is in one of those [jurisdictions](#) please answer the following questions:

1. Did you obtain residence rights under a CBI/RBI scheme?

2. Do you hold residence rights in any other jurisdiction(s)?

3. Have you spent more than 90 days in any other jurisdiction(s) during the previous year?

4. In which jurisdiction(s) have you filed personal income tax returns during the previous year?

If, from the replies to the above questions, you are double tax resident (e.g. resident in the jurisdiction that offers the CBI/RBI scheme and another CRS jurisdiction) you will be reported in both the mentioned jurisdictions for CRS purposes.

³ U.S. citizen U.S. resident alien or tax resident in the United States of America

If you are a U.S. citizen, a U.S. resident alien or tax resident in the United States of America a Form W-9 must be completed and returned with this form. A Form W-9 can be obtained from the IRS by following this link: <https://www.irs.gov/forms-pubs/about-form-w-9>

If you were a US (or US territory) tax resident / citizen or Green Card holder and this no longer applies, please provide further information, including copies of any formal renunciation documents.

⁴ UK Domicile Status

If you are a settlor or beneficiary of a trust, and your current or previous address or tax residence is UK connected, please provide the following information:

Number of years of residence in the UK within the last 20 years

Tax domicile of origin

Current domicile, and date of change, if no longer domicile of origin

Declaration and Signature:

I undertake to advise Praxis within 30 days of any change in circumstances which affects my tax residency status or causes the information contained within this form to be incorrect or incomplete, and to provide Praxis with a suitably updated form and declaration within 30 days of such change in circumstances.

Signature

Date

Print name:

Where signing on behalf of a minor, please confirm your relationship to the minor:

This form may be signed digitally and returned by email to your relationship manager.

E info@praxisgroup.com

praxisgroup.com

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