

## INVESTOR SELF-DECLARATION – INDIVIDUALS (ISD-I, TRACE IP)

Recipient of Declaration: \_\_\_\_\_ (along with any successor-in-interest, the “Recipient”)

Account Number(s) Covered by this Declaration<sup>1</sup>: \_\_\_\_\_

### PART 1 - IDENTIFICATION OF BENEFICIAL OWNER<sup>2</sup>

#### Name of Investor:

Last Name (s): \_\_\_\_\_

Name Prefix: \_\_\_\_\_ Generation Identifier: \_\_\_\_\_

First Name: \_\_\_\_\_ Middle Name(s): \_\_\_\_\_

#### Permanent Address:

Street: \_\_\_\_\_ Number: \_\_\_\_\_

Floor: \_\_\_\_\_ Suite: \_\_\_\_\_ Post Office Box \_\_\_\_\_

City: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Province, State or Locality: \_\_\_\_\_ District: \_\_\_\_\_

Country: \_\_\_\_\_

#### Mailing Address (if different from above)

Street: \_\_\_\_\_ Number: \_\_\_\_\_

Floor: \_\_\_\_\_ Suite: \_\_\_\_\_ Post Office Box \_\_\_\_\_

City: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Province, State or Locality: \_\_\_\_\_ District: \_\_\_\_\_

Country: \_\_\_\_\_

Place and Country of Birth: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

### PART 2 - RESIDENCY FOR TAX PURPOSES OF BENEFICIAL OWNER<sup>3</sup>

1. I hereby certify that I (the “Investor”) am a resident of \_\_\_\_\_ for tax purposes. I further certify that: *(Must either complete (a) or initial (b))*:

(a) my Taxpayer Identification Number (“TIN”) in my country of residence is \_\_\_\_\_; or

(b) my country of residence does not issue TINs to its residents or I am otherwise unable to procure a TIN from my country of residence. [ ]

2. I certify that: (Must either initial (a) or complete (b))

<sup>1</sup> Mandatory information (ISD decision, s 1(1)(1))

<sup>2</sup> Mandatory information excluding the place and country of birth (ISD decision, s 1(1)(4))

<sup>3</sup> Mandatory information, excluding the information of other countries of residence in paragraph 2 (ISD decision, s 1(1)(2-3))

(a) I am not a resident for tax purposes of any country other than that set out in paragraph 1 [ ]; or

(b) I am a resident for tax purposes of the following countries in addition to that set out in paragraph 1 and my TIN in each additional country of residence is set out below or I have initialled to indicate that a TIN is unavailable:

Country: \_\_\_\_\_; TIN \_\_\_\_\_ or TIN Unavailable [ ]

Country: \_\_\_\_\_; TIN \_\_\_\_\_ or TIN Unavailable [ ]

### **PART 3 – ELIGIBILITY FOR TAX TREATY BENEFITS<sup>4</sup>**

3. I certify that, except to the extent set out in this paragraph, I am a resident of the country set out in paragraph 1 for purposes of all that country's tax treaties, am not acting as an agent, nominee or conduit with respect to the income that is to be paid or credited to the account(s) to which this Declaration relates, and am the beneficial owner of such income, and that I meet any additional criteria necessary to claim the benefits of such treaties with respect to the income to be received through my account(s) with the Recipient. I further certify that such income is not attributable to a permanent establishment or fixed base that is maintained by me outside the country set out in paragraph 1. The certifications in this paragraph do not apply to the following treaties with respect to the specified types of income:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### **PART 4 – AUTHORISATIONS AND UNDERTAKINGS**

4. I authorise the Recipient to perform all acts necessary to claim any exemption from or reduced rate of, withholding tax to which I am entitled pursuant to the relevant tax treaties and/or under the national law of the relevant source countries and which may be claimed on my behalf based on the above certifications.

5. I authorise the Recipient to provide, directly or indirectly, to any relevant tax authorities or any party authorised to audit or conduct a similar control of the Recipient for tax purposes, a copy of this form and to disclose to such tax authorities or such party any additional information that the Recipient may have in its possession that is relevant to my qualification for any benefits claimed on the basis of this Investor Self-Declaration. I acknowledge and agree that information contained in this form and information regarding income paid or credited to or for the benefit of the account(s) set out above may be reported to the tax authorities of the country in which such income arises and that those tax authorities may provide the information to the country or countries in which I am a resident for tax purposes.<sup>5</sup>

6. I authorise the Recipient to provide, directly or indirectly, a copy of this form and information regarding income paid or credited to or for the benefit of the account(s) set out above to: (i) any person that has control, receipt, or custody of income to which this form relates; (ii) any person that can disburse or make payments of income to which this form relates; or (iii) any party authorised to audit or conduct a similar control of aforementioned persons for tax purposes.

7. If the Recipient determines that an amount that should have been withheld from a previous payment made to my account(s) has not been withheld (or the amount withheld was too low), I authorise the Recipient to take such action as may be appropriate to remedy the shortfall, including increasing the withholding from future payments made to me, arranging

<sup>4</sup> Mandatory information (ISD decision, s 1(2)(1-4))

<sup>5</sup> Mandatory information, if the applicable legislation requires, and the authorization must be given in the manner and the extent that the applicable legislation requires (ISD decision, s 1(4))

covering payment from me or, if necessary, satisfying the obligation out of property that it holds for me.

8. I undertake to advise the Recipient promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide the Recipient with a suitably updated Self-Declaration within 30 days of such change in circumstances.<sup>6</sup>

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete<sup>7</sup>.

Signed: \_\_\_\_\_

Title: Mr./Ms./etc.

\_\_\_\_\_  
Name of Signatory in block capitals or type

Date: \_\_\_\_\_

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<sup>6</sup> Mandatory information (ISD decision, s 1(2)(5))

<sup>7</sup> Mandatory information (ISD decision, s 1(1))