

INSTRUCTIONS

CRS Individual Self-Certification Form

Please read these instructions before completing the form

Why are we asking you to complete this form?

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (the “CRS”).

Under the CRS, PROVEN Bank (Saint Lucia) Limited (**PBSL or we**) is required to determine where you are ‘tax resident’ (this will usually be where you are liable to pay income taxes). If you are tax resident outside the country where your account is held, we may need to give the national tax authority this information, along with information relating to your accounts that may then be shared between different countries’ tax authorities.

Completing this form will ensure that we hold accurate and up to date information about your tax residency.

If your circumstances change and any of the information provided in this form becomes incorrect, please inform PBSL immediately and provide an updated Self-Certification.

Who should complete the CRS Individual Self-Certification Form?

Personal banking customers should complete this form.

If you need to self-certify on behalf of an entity (which includes all companies, trusts and partnership) complete an “Entity Tax Residency Self-Certification Form” (CRS-E). Similarly, if you are a controlling person of an entity, complete a “Controlling Person Self-Certification Form” (CRS-CP). You can find these forms at www.stlucia.provenbank.com.

For joint account holders, each individual will need to complete a copy of this form.

Even if you have already provided information in relation to the United States Government’s Foreign Account Tax Compliance Act (FATCA), you may still need to provide additional information for the CRS as this is a separate regulation.

If you are completing this form on behalf of an Account Holder, please ensure that you inform them that you have done so and state in what capacity you are signing in Part 3. For example, you may be completing as a nominee of an account, under a Power of Attorney or as a legal guardian on behalf of an account holder who is a minor.

Where to go for further information?

If you have any questions about this form or these instructions please visit: www.stlucia.provenbank.com or contact your Client Relations Officer.

The Organisation for Economic Co-operation and Development (OECD) has developed the rules to be used by all governments participating in the CRS and these can be found on the OECD’s ‘Automatic Exchange of Information’ (AEOI) website: www.oecd.org/tax/automatic-exchange/

If you have any questions on how to define your tax residency status, please visit the OECD website or speak to a professional tax adviser as we are not allowed to give tax advice.

You can find a list of definitions in the separate Appendix found under the **CRS FORMS** tab.

INDIVIDUAL PERSON TAX RESIDENCY SELF-CERTIFICATION FORM CRS-I

Please Complete Parts 1-3 in BLOCK CAPITALS

PART 1 - IDENTIFICATION OF INDIVIDUAL ACCOUNT HOLDER

A. Name of Account Holder:

Family Name or Surname: _____

Title: _____

First Name: _____

Middle Name(s): _____

B. Current Residence Address:

House/Apt/Suite No./Street: _____

Town/City/ State/Province: _____

Country: _____

Postal Code: _____

C. Mailing Address: (please complete if different from the address shown in Section B above)

House/Apt/Suite No./Street/ _____

P. O. Box: _____

Town/City/ State/Province: _____

Country: _____

Postal Code: _____

D. Date of Birth (dd/mm/yyyy): _____

E. Place of Birth:

Town/City of Birth: _____

Country of Birth: _____

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PART 2 - JURISDICTION(S) OF RESIDENCE FOR TAX PURPOSES AND RELATED TAXPAYER IDENTIFICATION NUMBERS (TIN) OR FUNCTIONAL EQUIVALENT

Please complete the following table indicating:

- (I) where the Account Holder is tax resident;
- (II) the Account Holder's TIN for each country/jurisdiction indicated.

If the Account Holder is tax resident in more than three (3) jurisdictions please use a separate sheet.

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate.

Reason A - The country where the Account Holder is liable to pay tax does not issue TINs to its residents

Reason B - Despite the country/jurisdiction of residence for tax purposes generally issuing TINs, the Account Holder is not required to obtain a TIN.

Reason C - The Account Holder is otherwise unable to obtain a TIN. Please explain why you are unable to obtain a TIN in the below table.

Jurisdiction(s) of Tax Residence	TIN	If no TIN available enter Reason A, B or C
1 _____	_____	_____
2 _____	_____	_____
3 _____	_____	_____

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason C above.

1 _____

2 _____

3 _____
