

Individual Self-Certification

Instructions for completion

We are obliged under the Tax information Authority Law, the Regulations, and Guidance Notes made pursuant to that Law, and treaties and intergovernmental agreements entered into by the Cayman Islands in relation to the automatic exchange of information for tax matters (collectively "AEOI"), to collect certain information about each account holder's tax status. Please complete the sections below as directed and provide any additional information that is requested. Please note that we may be obliged to share this information with relevant tax authorities. Terms referenced in this Form shall have the same meaning as applicable under the relevant Cayman Islands Regulations, Guidance Notes or international agreements.

If any of the information below regarding your tax residence or AEOI classification changes in the future, please ensure you advise us of these changes promptly. If you have any questions about how to complete this form, please refer to accompanying guidelines for completion or contact your tax advisor.

Please note that where there are joint account holders each investor is required to complete a separate Self-Certification form.

Section 1: Account Holder Identification

Account Holder Name	Date of Birth (dd/mm/yyyy)	Place and Country of Birth
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Permanent Residence Address:

Number & Street	City/Town
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State/Province/County	Post Code	Country
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Mailing address (if different from above):

Number & Street	City/Town
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State/Province/County	Post Code	Country
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Section 2: Declaration of U.S. Citizenship or U.S. Residence for Tax purposes

Please tick either (a) or (b) or (c) and complete as appropriate.

- (a) ☐ I confirm that **I am** a Specified U.S. Person¹ - U.S. citizen and/or resident in the U.S. for tax purposes (green card holder or resident under the substantial presence test) and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows: _____.
- (b) ☐ I confirm that I was born in the U.S. (or a U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.
- (c) ☐ I confirm that **I am not** a U.S. citizen or resident in the U.S. for tax purposes.

¹ A Specified U.S. person means:

- a) Citizens residing in the U.S. or overseas
- b) Green Card holders
- c) U.S. Passport holders
- d) Tax residents or persons who have stayed in the U.S. for several consecutive days during the past three (3) years. To meet this requirement, you must be physically present in the US for at least:
 - (a) 31 days during the current year, and
 - (b) 183 days during a 3-year period that includes the current year and the 2 years immediately before, counting:
 - All the days you were present in the current year, and
 - 1/3 of the days you were present in the first year before the current year, and
 - 1/6 of the days you were present in the second year before the current year.

Complete section 3 if you have non-U.S. tax residences.

Section 3: Declaration of Tax Residency (other than U.S.)

I hereby confirm that I am, for tax purposes, resident in the following countries (indicate the tax reference number type and number applicable in each country).

Country/countries of tax residency	Tax reference number type	Tax reference number

Please indicate not applicable if jurisdiction does not issue or you are unable to procure a tax reference number or functional equivalent. If applicable, please specify the reason for non-availability of a tax reference number:

Section 4: Declaration and Undertakings

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete. Where legally obliged to do so, I hereby consent to the recipient sharing this information with the relevant tax information authorities.

Signature:	Date: (dd/mm/yyyy):
Print Name of Signatory:	Capacity in which signatory is acting (if form is being signed on behalf of a minor): ☐ Parent ☐ Legal Guardian ☐ Trustee ☐ Individual Authorized by the Courts

The Following Section is to be completed by the Sagicor Team Member

Section 5: Sagicor Team Member Certification

Following my assessment of the AML/KYC information and documentation provided by the client, I confirm that the self-certification provided above seems:

☐ **Reasonable**

☐ **Unreasonable** and the client requested to provide a revised Self-Certification. Please complete additional information in the shaded area below.

Signature: Date: (dd/mm/yyyy):	If 'Unreasonable' is selected, please give reasons for this selection:
Print Name:	
Capacity:	