



Tax Regulations require us to verify investors' nationality and collect information about investors' tax residency. Under the Regulations for relevant reportable countries, we are required to share information with HM Revenue & Customs.

**This form must be completed and signed by the Investors' Financial Adviser, who is authorised to complete it on the Investor's behalf.**

**This form needs to be completed if your Investor is any of the following:**

- / A non-UK resident
- / A non-UK tax resident
- / A non-UK national
- / A dual national (including UK national)

**We require certified copies of a passport, or driving licence, for each investor, to be sent with this self-certification form.**

Investors' applications are accepted at our discretion and there will be high risk countries which we cannot accept. Importantly, we cannot accept any US citizens (which includes Dual status) or, persons resident in the USA for tax purposes.

Should any of the investor information you have provided change in the future, please ensure you notify us using the self-certification form.

Novia will accept the receipt of this form without a signature, **provided it is submitted through the Adviser Zone secure email service.** If you choose to sign the completed form please arrange for the original to be returned to Novia.

If you need assistance completing this form please contact the Client Services Team on 0345 680 8000.

## Investor details

### Investor 1

Investor number	<input type="text"/>		
Title	<input type="text"/>	Date of birth	<input type="text"/>
Forename(s)	<input type="text"/>		
Surname	<input type="text"/>		
Address (inc Postcode)	<input type="text"/>		
NINO	<input type="text"/>		
Tax Identification Number	<input type="text"/>		
Name of local Tax Authority	<input type="text"/>		
Name of Tax Identification Number (if not TIN)	<input type="text"/>		
Are you UK resident for tax purposes?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Do you hold tax residency in another country? If so, please list.	<input type="text"/>		
Nationality (please list all nationalities)	<input type="text"/>		
Country and place of birth	<input type="text"/>		

# / FATCA/CRS for Individual/Joint Self-Certification Form

## Investor 2

Investor number	<input type="text"/>		
Title	<input type="text"/>	Date of birth	<input type="text"/>
Forename(s)	<input type="text"/>		
Surname	<input type="text"/>		
Address (inc Postcode)	<input type="text"/>		
NINO	<input type="text"/>		
Tax Identification Number	<input type="text"/>		
Name of local Tax Authority	<input type="text"/>		
Name of Tax Identification Number (if not TIN)	<input type="text"/>		
Are you UK resident for tax purposes?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Do you hold tax residency in another country? If so, please list.	<input type="text"/>		
Nationality (please list all nationalities)	<input type="text"/>		
Country and place of birth	<input type="text"/>		

### Adviser Declaration (This section must be completed regardless of submission method)

Novia will accept the receipt of this form without a signature, **provided it is submitted through the Adviser Zone secure email service**. If you choose to sign the completed form please arrange for the original to be returned to Novia. By submitting this form you are confirming the following:

- / I declare that the information in this form is true and correct to the best of my knowledge.
- / I agree to indemnify Novia Financial Plc against all such claims or losses, including additional tax charges and fines, in the event that the information provided proves to be incorrect.
- / I understand that checks may be performed on this instruction to confirm details are correct.
- / I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete of my investor(s).
- / I undertake to advise Novia promptly and provide an updated Self-Certification form within 30 days, of any changes are required to any information provided.
- / Where legally obliged to do so, Novia will share this information with HMRC (UK Tax Authority) with the tax authority in the investor(s) country of residence, as applicable.
- / I declare that I have written authority as the Investor(s) appointed Financial Adviser to sign this self-certification form.

Adviser Name	<input type="text"/>		
Position	<input type="text"/>		
Firm name	<input type="text"/>		
Firm FCA number	<input type="text"/>		
Adviser's Signature	<input type="text"/>	Date	<input type="text"/>

If you are submitting by post,  
you must sign here.