

Annual CRS Compliance Certification Form

This certification form must be completed annually by all Bermuda Reporting Financial Institutions ("RFIs") AND Trustee-Documented Trusts ("TDTs"). The form should be completed as at the end of the relevant reporting period.

This form is only for illustrative purposes and is not intended to be submitted to the Ministry. All CRS Compliance Forms must be submitted via the portal.

* indicates a mandatory field

Section 1 General FI Details

1.1. Reporting Entity Name: *

1.2. Reporting Entity Reference: *

1.3. Is the FI Licensed or Registered with the Bermuda Monetary Authority (BMA)? *

Yes

No

1.4. Please confirm the nature of the FI's business (if not regulated by the BMA): **Only enabled and mandatory if answer to 1.3 is 'No'**

Trust

Special purpose vehicle

Unregulated fund

Other

1.5. Please provide explanation if 'Other' is selected:

Section 2 Excluded and Non-Reportable Accounts

2.1. Did the FI identify any Excluded Accounts for the reporting period? *

Yes

No

Unknown

2.2. Please confirm that the only accounts that were excluded from due diligence are those that meet the definitions and/or requirements of Excluded Accounts as set out in the CRS Regulations. **Only enabled and mandatory if 'Yes' is selected in 2.1**

Yes

No

Unknown

2.3. Please provide further explanation if the existence of Excluded Accounts is unknown: **Only enabled or mandatory if 'Unknown' is selected in 2.1 or 2.2**

2.4. Total number of Excluded Accounts: **Only enabled and mandatory if 'Yes' is selected in 2.1**

2.5. Did the FI have any non-reportable accounts for the reporting period? *

Yes

No

Unknown

2.6. Please provide further explanation if the existence of non-reportable accounts is unknown: **Only enabled and mandatory if 'Unknown' is selected in 2.5**

2.7. Please confirm the reason the account(s) are considered to be non-reportable: **Only enabled and mandatory if 'Yes' is selected in 2.5**

Financial account(s) where the account holder is not a Reportable Person but is a Reportable Jurisdiction Person (e.g. FI resident in the United Kingdom)

Financial account(s) where the account holder and all controlling persons are not Reportable Jurisdiction persons (e.g. all resident in Bermuda)

Both

2.8. Total number of non-reportable accounts for the reporting period: **Only enabled and mandatory if 'Yes' is selected in 2.5**

Section 3 Policies & Procedures

3.1. Has the FI established and implemented written CRS written policies and procedures to identify Reportable Accounts and reportable information in relation to such accounts as prescribed in the Regulations? *

Yes

No

3.2. Please upload a copy of the FI's written CRS policies and procedures. **Only mandatory if 'Yes' is selected in 3.1**

Section 4 Due Diligence

4.1. Does the FI apply the ownership threshold as set under current Bermuda AML legislation when determining Controlling Persons? *

Yes

No

4.2. Please provide further explanation if 'No' is selected: **Only enabled and mandatory if 'No' is selected in 4.1**

4.3. Was a self-certification obtained and validated no later than 90 days after opening every new account during the period?

Yes

No

N/A - no new accounts opened

4.4. Please provide further explanation if 'No' is selected. **Only enabled and mandatory if 'No' is selected in 4.3**

4.5. Have the TIN(s) been collected for all Preexisting account holders reported for the reporting period, except where one or more of the following conditions applies:

(i) a TIN is not issued by the relevant jurisdiction(s) of residence or

(ii) the domestic law of the relevant jurisdiction(s) of residence does not require the collection of the TIN issued by such jurisdiction.

Yes

No

4.6. Where TIN(s) have not been collected for all preexisting accounts, has the FI used reasonable efforts to collect the TIN(s) during the reporting period? **Only enabled and mandatory if 'No' is selected in 4.5**

Yes

No

4.7. Please provide further explanation if 'No' is selected: **Only enabled and mandatory if 'No' is selected in 4.6**

4.8. Has the date of birth been collected for all preexisting individual account holders reported for the reporting period? *

Yes

No

4.9. Where the date of birth has not been collected for all preexisting accounts, has the FI used reasonable efforts to collect the date of birth during the reporting period? **Only enabled and mandatory if 'No' is selected in 4.8**

Yes

No

4.10. Please provide further explanation if 'No' is selected: **Only enabled and mandatory if 'No' is selected in 4.9**

Section 5 Outsourcing

5.1. Does the FI rely on third party service providers to fulfill due diligence and/or reporting obligations under the CRS Regulations? *

Yes

No

5.2. Please briefly describe the functions that are outsourced: **Only enabled and mandatory if 'Yes' is selected in 5.1**

5.3. Please briefly describe the procedures to ensure the external service provider is performing its role in the capacity agreed upon: **Only enabled and mandatory if 'Yes' is selected in 5.1**

DECLARATION

By submitting this CRS Compliance Certification to the Bermuda Ministry of Finance, Treaty Unit, the Bermuda RFI:

- (a) Confirms that all information in this CRS Compliance Certification is accurate; and
- (b) Acknowledges that there are sanctions for providing inaccurate information and for contravention of the CRS due diligence and reporting requirements.