



Bank Alfalah

Foreign Account Tax Compliance Act (FATCA) Checklist  
(For Sole Proprietors/Establishments)

Date 

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New Account

Change in Circumstances of Existing Account

Account Title \_\_\_\_\_ Account Number 

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**Section A: US Status Information** **Applicant**

Name of Applicant (please use applicant column to provide your responses)

1. Are you a US Citizen, a US Green Cardholder or a US Resident ?  Yes  No  
• If Yes: Provide Form W-9 and proceed to Section B below  
• If No: Proceed to next question

2. Were you born in the US?  Yes  No  
• If Yes: Provide Form W-9 and proceed to Section B below  
• If Yes: But you claim being a non-US person, please provide (i) Certificate/Written Explanation of Revocation of US Nationality (ii) A non-US passport (iii) Signed Form W-8BEN  
• If No: Proceed to next question

3. Do you have a US address or telephone number?  Yes  No  
4. Are you assigning a signatory authority/mandate to a person with a US address?  Yes  No  
5. Are you aware of any other information that may indicate US links?  Yes  No  
Including US source of funds/income, US nationality, residence status of authorised signatory/mandate holder, expected remittances to/from US, etc.  
For Questions 3, 4 and 5 above:  
• If Yes and you accept being a US person: Provide Form W-9 and proceed to Section B below  
• If Yes and you claim being a non-US person: Provide an ID Document (Emirates ID/Driving License/Passport) showing your permanent address (which should not be a US address), OR provide Form W-8BEN and proceed to Section B below  
• If No: No FATCA documentation required, proceed to Section B below

**Section B: Applicant Confirmation (to be filled by all applicant(s))**

I hereby confirm that the information provided above is true, accurate and complete. Subject to applicable local laws, I hereby provide my consent to Bank Alfalah Limited or any of its affiliates, subsidiaries (including branches) (collectively 'the Bank') to share my information with domestic or overseas regulators or tax authorities where necessary/applicable to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that the Bank may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I also agree and undertake to notify the Bank within 30 calendar days, if there is a change in any information which I have provided to the Bank.

Signature of Applicant

Date \_\_\_\_\_

<b>Applicant</b>

A person maybe a US resident if the person was present for the period of 183 days or more during the current and last two preceding years. For further details, please refer to Tactful Questioning guidelines under the FATCA policy and procedure manual.



Bank Alfalah

For Bank Use Only

FATCA Documentation Checklist	Applicant Details
Person with US citizenship/US Green Card/US residence Form W-9	<input type="checkbox"/>
Person born in US Form W-9	<input type="checkbox"/>
Person born in US, but claims being a Non-US person Form W-8BEN Certificate/Written Explanation of Revocation of US Nationality and A Non-US passport	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Person with US address/Telephone number/US signatory/Other US links (accepts being a US person) Form W-9	<input type="checkbox"/>
Person with US address/Telephone number/US signatory/Other US links (claims being a non-US person) Form W-8BEN; or ID Document showing permanent address (which should not be a US address)	<input type="checkbox"/> <input type="checkbox"/>
Other document/US withholding certificate provided by the customer to support a claim (if applicable) Form W-8ECI (claim that income is effectively connected with trade or business within the US) Form 8233/W-4 (claim that applicant is receiving compensation for personal services performed in US) Form W-8IMY (claim that the person is acting as an intermediary)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
No FATCA Documentation Required	<input type="checkbox"/>

FATCA Classification of Applicant	Applicant Details
<b>1. US Person</b> <ul style="list-style-type: none"> <li>Applicant responds 'Yes' to S. No. 1 (Section A); or</li> <li>Applicant responds 'Yes' to any question from S. No. 2 to S. No. 5 (Section A) and accepts being a US person.</li> </ul> US Tax Identification No. (TIN), US Social Security No. (SSN), Individual Taxpayer Identification. No. (ITIN); or US Employer Identification No. (EIN) as mentioned in Form W-9 provided by the customer.	<input type="checkbox"/> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
<b>2. Non-US Person</b> <ul style="list-style-type: none"> <li>Applicant responds 'No' to all questions from S. No. 1 to S. No. 5 (no documentation required); or</li> <li>Applicant responds 'Yes' to any question from S. No. 2 to S. No. 5, claims being a non-US person and provides required documentation (as per Section A).</li> </ul>	<input type="checkbox"/>

FATCA Classification of Account	
<input type="checkbox"/> US Account    Applicant has been classified as US person.	<input type="checkbox"/> Non-US Account    Applicant has been classified as non-US person.

Branch Authorisation					
We confirm that the response of the applicant to checks in Section A has been cross verified against information provided by him/her in the Account Opening Form and during the KYC process and that no discrepancy has been found therein. We also confirm that duly signed and completed FATCA Documentation has been obtained from the applicant as established through Section B and marked above. Moreover, applicant has been classified and accordingly the account status has been marked above.					
Signature _____  Date _____	<table border="1"> <thead> <tr> <th>Branch Officer</th> <th>Operations/Branch Manager</th> </tr> </thead> <tbody> <tr> <td style="height: 60px;"></td> <td style="height: 60px;"></td> </tr> </tbody> </table>	Branch Officer	Operations/Branch Manager		
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