



Bank Alfalah

## Foreign Account Tax Compliance Act (FATCA) Checklist (For Entity Accounts)

Date 

D	D	M	M	Y	Y	Y	Y
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☐ New Account

☐ Change in Circumstances of Existing Account

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

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### Section A - (US Entities): For Entities incorporated in the US or under the Laws of US or Branch thereof;

Please provide Form W-9 for the Entity, complete the following details and proceed directly to Section E.

Entity's FATCA Classification for Reporting Purposes ☐ Specified US Person ☐ Not a Specified US Person<sup>1</sup>

US Tax Identification No. (TIN)

### Section B - (Non US Entities): Exempt Entities (Exempt Beneficial Owners)

• If the Entity falls into any of the following categories, no FATCA documentation required, please indicate as applicable and proceed directly to Section E.

- ☐ Government of UAE, Government of any Emirate of UAE, local municipality of any Emirate
- ☐ Entity Wholly Owned or Controlled by Government of UAE, Government of any Emirate of UAE
- ☐ Any department of Government of UAE, Government of any Emirate of UAE, Judicial Entity or Armed Forces
- ☐ Foreign Mission, Embassy, Consulate or Commission
- ☐ Central Bank of UAE

• If the Entity falls into any of the following categories, please indicate as applicable, provide W-8BEN-E form and proceed directly to Section E.

- ☐ International Organisation<sup>3</sup>
- ☐ Charitable Trust, Club, Association or Society
- ☐ Non-Governmental or Non-Profit Organisation
- Registration No. \_\_\_\_\_

### Section C - (Non US Entities): For Non-Financial Entities (NFFE)

1. Is the Entity a Public Joint Stock Company or a subsidiary of such a company? ☐ Yes ☐ No

- If Yes: Proceed directly to Question 4 below; • If No: Proceed to Next Question.

2. Did the Entity earn more than 50% of its gross income for the preceding tax year from other than core activities<sup>2</sup> ☐ Yes ☐ No

- If Yes: Proceed to Next Question; • If No: Proceed directly to Question 4 below.

3. Does any Specified US person (Individual or Entity) hold more than 10% direct or indirect shareholding in the Entity? ☐ Yes ☐ No

- If Yes: Complete Table below, provide W-9 for each Substantial US Owner and W-8BEN-E for the Entity and proceed to Section E;
- If No: Proceed to Next Question.

Name of Substantial US Owner	Complete Address	US Tax Identification No. (TIN)	Percentage Holding

4. Does the Entity have a Registered, Head Office or Mailing Address which is in the US or a US telephone number? ☐ Yes ☐ No

- If Yes: Provide (i) A Constitution Document showing the non-US country of incorporation or registered address AND (ii) Form W-8BEN-E and proceed to Section E • If No: Proceed to Next Questions.

5. Has the Entity assigned power of attorney or signatory authority to a person with US address? ☐ Yes ☐ No

6. Is the Entity aware of any other information which may indicate to the Entity's US status? ☐ Yes ☐ No

- If Yes: Provide: A Constitution Document showing the non-US country of incorporation or registered address OR alternatively provide a Form W-8BEN-E and proceed to Section E • If No: No FATCA documentation required, please proceed to Section E.

### Section D - (Non-US Entities): Financial Institutions (FFI)

1. Is the Entity a Participating Foreign (Non-US) Financial Institution (PFFI)? ☐ Yes ☐ No

- If Yes: Provide Form W-8BEN-E, mention GIIN below and proceed to Section E. • If No: The account cannot be opened.

Global Intermediary Identification Number (GIIN) For PFFI:

2. Please indicate if the Entity claims any other FATCA status; ☐ Owner Documented FFI ☐ Certified Deemed Compliant FFI  
☐ Sponsored/Sponsoring FFI ☐ Other (please specify) \_\_\_\_\_

• If ODDFI: Provide (i) W-8BEN-E for Entity (ii) Owner Reporting Statement (iii) W-9 or W-8BEN for persons identified in reporting statement and proceed to Section E. • For others: Provide Form W-8BEN-E indicating the claimed status and proceed to Section E.

### Section E - Confirmation (to be signed by authorised signatories)

I/We, on behalf of the Entity, understand that the information provided above is being submitted to enable Bank Alfalah Limited, its branches, affiliates, and/or subsidiaries (collectively 'the Bank') to comply with its obligations under FATCA and hereby confirm the information provided above is true, accurate and complete. I/We hereby consent to the Bank sharing the Entity's required information with regulators or tax authorities, including relevant authorities as required under FATCA, where necessary/applicable to establish Entity's tax liability in such jurisdiction(s) where required by regulators or tax authorities (except where specified against Question 2, Section D above). I/We consent and agree that, if applicable, the Bank may withhold from the account of the Entity such amounts as may be required according to the applicable laws, regulations and directives. I/We also agree and undertake to notify the Bank within 30 calendar days if there is a change in any information of the Entity, which has been provided to the Bank.

For and on behalf of (Name of the Entity)

Date \_\_\_\_\_

Authorised Signatory

Authorised Signatory

### For Bank's (Branch) Use Only

#### FATCA Documentation Checklist

<b>Entities incorporated in the US (as per Section A)</b> <input type="checkbox"/> Duly completed and signed Form W-9 for the Entity with TIN	<b>Foreign (Non-US) Financial Institution (as per Section D)</b> <input type="checkbox"/> Duly completed and signed Form W-8BEN-E for the Entity with GIIN
<b>FATCA Exempt Entity (as per Section B)</b> <input type="checkbox"/> Duly completed and signed Form W-8BEN-E for the Entity	<b>FFIs claiming other status (as per Question 3, Section D)</b> <input type="checkbox"/> Duly completed and signed Form W-8BEN-E for the Entity (for all entities) <input type="checkbox"/> Owner Reporting Statement <sup>4</sup> (for ODDFI only) <input type="checkbox"/> W-9 or W-8BEN forms for person in ODDFI reporting statement
<b>Non-Financial Foreign (Non-US) Entities (NFFE) (as per Section C)</b> <input type="checkbox"/> Duly completed and signed Form W-8BEN-E for the Entity <input type="checkbox"/> Constitution document as per Question 4, 5 & 6	<b>Other FATCA forms provided by Entity to support a claim (if applicable)</b> <input type="checkbox"/> W-8EXP (certain claims by EBOs) <input type="checkbox"/> W-8ECI (income effectively connected with business within the US) <input type="checkbox"/> W-8IMY (claim that the Entity is acting as an Intermediary)
<b>NFFE having Substantial US Owners (as per Question 3, Section C)</b> <input type="checkbox"/> Duly completed and signed Form W-8BEN-E for the Entity <input type="checkbox"/> Duly completed and signed Form W-9 for each Substantial US Owner <input type="checkbox"/> Constitution document as per Question 4, 5 & 6	<input type="checkbox"/> No FATCA Documentation Required

#### FATCA Classification of Account

☐ US Entity • Applicant completes Section A and provides Form W-9 (for the Entity)

☐ Non-US Entity • Applicant identifies itself in Section B and provides Form W-8BEN-E to that effect (indicating same status as marked on checklist)  
 • Applicant identifies itself in Section C and fulfills FATCA documentation requirements  
 • Applicant identifies itself in Section D and fulfills FATCA documentation requirements

### Branch Authorisation

We confirm that the responses of the applicant(s) to relevant sections of the checklist have been cross verified against information provided by them 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 applicant as established through the checklist and marked above. Moreover, the account has been classified and accordingly the account's FATCA status has been marked above.

Branch Authorisation  
Signature

Date \_\_\_\_\_

Branch Officer

Operations/Branch Manager

<sup>1</sup> Mark as 'Not a Specified US Person' if any of the following; otherwise mark as 'Specified US Person'

\*A listed company with regularly traded stock, \*A Bank, \*A company exempt from taxation in the US, \*A real estate investment trust, \*A regulated investment company, \*A common trust fund, \*A trust that is exempt from tax, \*A broker or a dealer in securities, commodities, or derivative financial instruments that is registered under the laws of US or state;

<sup>2</sup> Income from other than core activities includes income from passive sources such as returns on investments, profit from sales of property, etc.;

<sup>3</sup> Public international organisation entitled to enjoy privileges, exemptions, and immunities as an international organisation under the International Organisations Immunities Act;

<sup>4</sup> A statement providing the name, address, TIN (if any), and chapter 4 status of every specified US person that owns an equity/debt interest in the ODDFI.