

Foreign Account Tax Compliance Act (FATCA) Checklist (For Individuals & Sole Proprietors)

Date: _____ ☐ Change in Circumstances of Existing Account

Account Title _____ Account Number _____

Section A. Customer Type (please indicate as applicable)

- ☐ **Individual/ Sole Proprietor** Please use Applicant 1 column to provide your responses.
- ☐ **Minor** In case of Account of Minor, please use Applicant 1 Column for Minor and Applicant 2 Column for Guardian.
- ☐ **Joint** Please use separate column for each joint account applicant, use additional checklist if more than 2 applicant(s).

Section B. US Status Information

	Applicant 1	Applicant 2
Name of Applicant As per Instructions given in Customer Type Section		
1. Are you a US Citizen, a US Green Card Holder or a US Resident¹?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • If Yes: Provide <u>Form W-9</u> and proceed to <u>Section C</u> below; • If No: Proceed to <u>Next Question</u>. 		
2. Were you born in the US?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • If Yes: Provide <u>Form W-9</u> and proceed to <u>Section C</u> below; • If Yes: But you claim being a non-US person, please provide (i) <u>Certificate/ Written Explanation of Revocation of US Nationality</u> (ii) <u>A non-US passport</u> (iii) <u>Signed Form W-8BEN</u>; • If No: Proceed to <u>Next Question</u>. 		
3. Do you have a US address or telephone Number?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Are you assigning a signatory authority/ mandate to a person with a US address?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Are you aware of any other information that may indicate US links?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Including US source of funds/ income, US nationality, residence status of authorized signatory/ mandate holder, expected remittances to/from US etc.		
For Questions 3, 4 and 5 above: <ul style="list-style-type: none"> • If Yes and you accept being a US person: Provide <u>Form W-9</u> and proceed to <u>Section C</u> below; • If Yes and you claim being a non-US person: Provide an <u>ID Document(CNIC/SNIC/NICOP)</u> showing your permanent address (which should not be a US address), OR provide <u>Form W-8BEN</u> & proceed to <u>section C</u>; • If No: No FATCA documentation required, proceed to <u>Section C</u> below. 		

Section C. Applicant Confirmation ((to be filled by all applicant(s))

I/we hereby confirm that the information provided above is true, accurate and complete. Subject to applicable local laws, I/we hereby consent for Bank Alfalah Limited or any of its affiliates, subsidiaries (including branches) (collectively "the Bank") to share my/our information with domestic or overseas regulators or tax authorities where necessary / applicable to establish my/our tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I/we consent and agree that the Bank may withhold from my/our account(s) such amounts as may be required according to 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 which I/we have provided to the Bank.

Signature of Applicant(s)	Applicant 1	Applicant 2
Date: _____		

For Bank's Use Only

¹ A person may be 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 & procedure manual.

Bank Alfalah		Annexure - E
FATCA Documentation Checklist		
	Applicant 1	Applicant 2
Person with U.S citizenship/ U.S Green Card/ U.S residence Form W-9	<input type="checkbox"/>	<input type="checkbox"/>
Person born in U.S Form W-9	<input type="checkbox"/>	<input type="checkbox"/>
Person born in U.S 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"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Person with U.S address/ Telephone number/ U.S signatory/ Other U.S links (accepts being a U.S person) Form W-9	<input type="checkbox"/>	<input type="checkbox"/>
Person with U.S address/ Telephone number/ U.S signatory/ Other U.S links (claims being a Non-U.S person) Form W-8BEN; OR ID Document showing permanent address (which should not be a US address)	<input type="checkbox"/> <input type="checkbox"/>	<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"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
No FATCA Documentation Required	<input type="checkbox"/>	<input type="checkbox"/>
FATCA Classification of Applicant(s)		
	Applicant 1	Applicant 2
1. US Person; • Applicant responds 'Yes' to S. No. 1 (Section B); or • Applicant responds 'Yes' to any question from S. No. 2 to S. No. 5 (Section B) and accepts being a US person. 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"/>	<input type="checkbox"/>
2. Non-US Person; • Applicant responds 'No' to all questions from S. No. 1 to S. No. 5 (no documentation required); or • Applicant responds 'Yes' to any question from S. No. 2 to 5, claims being a non-US person & provides required documentation (as per section B).	<input type="checkbox"/>	<input type="checkbox"/>
3. Recalcitrant Applicant refuses to provide required documentation (as per section B) or refuses to provide confirmation (as per section C). Accounts of such applicant will not be opened.	<input type="checkbox"/>	<input type="checkbox"/>
FATCA Classification of Account		
<input type="checkbox"/> US Account	Any of the applicants has been classified as US person.	
<input type="checkbox"/> Non-US Account	All of the applicants have been classified as non-US person.	
<input type="checkbox"/> Recalcitrant Account	Any applicant has been marked as Recalcitrant (Only Applicable to Existing Account Holders)	
Branch Authorization		
We confirm that the responses of the applicant(s) to checks in Section B 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 ALL applicants as established through Section C and marked above. Moreover, each applicant has been classified and accordingly the account status has been marked above.		
Signature: Date:	Branch Officer	Operations/ Branch Manager