

# Arif Habib Limited

## Foreign Account Tax Compliance Act (FATCA) Checklist (For Individuals)

Date:          New Account Classification  Change in circumstances of existing account  
Account Title: \_\_\_\_\_ Account Number: \_\_\_\_\_

### Section A. Customer Type (please indicate as applicable)

- Individual / Sole Proprietor Please use Applicant column to provide your responses  
 Joint Please use additional checklist if more than 1 applicants

### Section B. FATCA Status Information

Applicant

#### Name of Applicant

As per instruction given in Customer Type Section

1. Are you a U.S. Citizen, a U.S. Green Card Holder or a U.S. Resident \*  Yes  No

- If **Yes**: Provide Form W-9 and proceed to Section C below
- If **No**: Proceed to Next Question

2. Were you born in the U.S. ?  Yes  No

- If **Yes**: Provide Form W-9 and proceed to Section C below
- If **Yes**: But you claim being a non-U.S. person provide (i) Certificate/Written Explanation of Revocation of U.S. Nationality  
(ii) A non U.S. passport (iii) Signed Form W-8BEN
- If **No**: Proceed to Next Question

3. Do You have a U.S. address or telephone number?  Yes  No

4. Are you assigning signatory authority to a person with a U.S. address?  Yes  No

5. Are you aware of any other information that may indicate U.S. links?  Yes  No

Including U.S. source of funds/income, U.S. nationality, residence status of authorized signatory/mandate holder, expected remittance to/from U.S. etc.

#### For Question 3, 4 and 5 above

- If **Yes** and you accept being a U.S. person. Provide Form W-9 and proceed to Section C below
- If **Yes** and you claim being a non-U.S. person: Provide an ID Document showing your permanent address (which should not be a U.S. address) OR provide Form W-8BEN & proceed to Section C
- If **No**: No FATCA documentation required, proceed to Section C below

### Section C. Applicant Confirmation

I hereby confirm that the information provided above is true, accurate and complete. Subject to applicable local law, I hereby consent for Arif Habib Limited or any of its affiliates, subsidiaries, associates (including branches) (collectively "the Broker") 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 Broker may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives. I also agree and undertake to notify the Broker within 30 calendar days if there is a change in any information which I have provided to the Broker.

Signature of Applicant

Date:

Applicant

\* A person may be a U.S. 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.

# Arif Habib Limited

## For AHL's Use Only

FATCA Documentation Checklist	Applicant
<b>Person with U.S. citizenship / U.S. Green Card / U.S. residence</b> Form W-9	<input style="width: 80px; height: 20px;" type="text"/>
<b>Person born in U.S.</b> Form W-9	<input style="width: 80px; height: 20px;" type="text"/>
<b>Person born in U.S. but claims being a Non-U.S. person</b> Form W-8BEN Certificate/Written Explanation of Revocation of U.S. Nationality And a non- U.S. passport.	<input style="width: 80px; height: 20px;" type="text"/> <input style="width: 80px; height: 20px;" type="text"/> <input style="width: 80px; height: 20px;" type="text"/>
<b>Person with U.S. address/Telephone number/U.S. Signatory/other U.S. links (accepts being a U.S. person)</b> Form W-9	<input style="width: 80px; height: 20px;" type="text"/>
<b>Person with U.S. address/Telephone number/U.S. Signatory/other U.S. links (claim being a Non - U.S. person)</b> Form W-8BEN or ID Documents showing permanent address (which should not be U.S. address)	<input style="width: 80px; height: 20px;" type="text"/> <input style="width: 80px; height: 20px;" type="text"/>
<b>Other documents / U.S. withholding certificate provided by the customer to support a claim (if applicable)</b> Form W8ECI (claim that income is effectively connected with trade or business within the U.S.) Form 8233 / W-4 (claim that applicant is receiving compensation for personal service performed in U.S.) Form W-8IMY (claim that the person is acting as an intermediary)	<input style="width: 80px; height: 20px;" type="text"/> <input style="width: 80px; height: 20px;" type="text"/> <input style="width: 80px; height: 20px;" type="text"/>
<b>No FATCA documentation Required</b>	<input style="width: 80px; height: 20px;" type="text"/>

FATCA Classification of Applicants	Applicant
<b>1. U.S. Person:</b> - 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 U.S. person.  <b>U.S. Tax Identification No. (TIN):</b> U.S. Social Security No. (SSN), Individual Taxpayer Identification No. (TIN) or U.S. Employer Identification No. (EIN) as mentioned in Form W-9 provided by the customer	<input style="width: 80px; height: 20px;" type="text"/> <input style="width: 180px; height: 25px;" type="text"/>
<b>2. Non-U.S. Person:</b> - Applicant responds 'No' to all question from S.No. 1 to 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 style="width: 80px; height: 20px;" type="text"/> <input style="width: 80px; height: 20px;" type="text"/>
<b>3. Recalcitrant:</b> - Applicant refuses to provide required documentation (as per section B) or refuses to provide confirmation (as per section C)	<input style="width: 80px; height: 20px;" type="text"/>

FATCA Classification of Accounts	
<input style="width: 70px; height: 20px;" type="text"/> U.S. Account:	The applicant has been classified as U.S. person.
<input style="width: 70px; height: 20px;" type="text"/> Non-U.S. Account:	The applicant has been classified as non-U.S. person.
<input style="width: 70px; height: 20px;" type="text"/> Recalcitrant Account:	The applicant has been marked as recalcitrant (Account cannot be opened)