

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

Nature of account:

Single Joint

Change in Circumstances of Existing Account

MAILING ADDRESS

[To be used for all correspondence between **Aba Ali Habib Sec. (Pvt) Ltd** and the account holder(s)]

Section A. Customer Type (please indicate as applicable)

Individual/Sole Proprietor

Please use Account holder 1 column to provide your responses.

Joint

Please use separate column for joint account holder.

Section B. - Part 1 - US Status Information (For Account Holder)

Name of Account holder:

1. Are you a US Citizen, a US Green Card Holder or a US Resident*?

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

Yes

No

2. Were you born in US?

- **If Yes:** Provide **Form W-9** and proceed to **Section C** 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**

Yes

No

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

Section B. - Part 2 - US Status Information (For Joint Account Holder)

Name of Joint Account holder:

1. Are you a US Citizen, a US Green Card Holder or a US Resident*?

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

Yes

No

2. Were you born in US?

- **If Yes:** Provide **Form W-9** and proceed to **Section C** 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**

Yes

No

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

For Questions 3 and 4 above:

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

General

1. Will there be instructions to transfer funds to U.S. accounts or directions regularly received from a U.S. address?

Yes

No

2. Will there be address on file which is "in care of" or "hold mail" or U.S. P.O. Box and/or U.S. telephone number?

Yes

No

Section C. Account holder Confirmation [(to be filled by all Account holder(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 **Aba Ali Habib Sec.(Pvt) Ltd** (the Company) 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 Company 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 Company within 30 calendar days if there is a change in any information which I/we have provided to the Company.

Signature of Account holder(s)

Account Holder

Joint Account Holder

Date:

* A person may be a US resident if the person was present for the period of 183 days or more during the current last two preceding years. For further details please refer to Tacful Questioning guidelines under the FATCA policy & procedures manual.

For Office Use Only

FATCA Documentation Checklist	Account Holder	Joint Account Holder
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"/>
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 (accepts 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"/>
No FATCA Documentation Required	<input type="checkbox"/>	<input type="checkbox"/>

FATCA Classification of Account holder(s)				
1. US Person; ▪ Account holder responds 'Yes' to S. No. 1 (Section B); or ▪ Account holder responds 'Yes' to any question from S. No. 2 to S. No. 4 (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"/>		
		<table border="1"> <tr> <td style="width: 100px; height: 20px;"></td> <td style="width: 100px; height: 20px;"></td> </tr> </table>		
2. Non-US Person ▪ Account holder responds 'No' to all question from S. No. 1 to S. No. 4 (Section B) (no documentation required) ▪ Account holder responds 'Yes' to any question from S. No. 2 to S. No. 4 (Section B) claims being a non-US person & provides required documentation (as per Section B).	<input type="checkbox"/>	<input type="checkbox"/>		
3. Recalcitrant Account holder refuses to provide required documentation (as per Section B) or refuses to provide confirmation (as per Section C). Accounts of such Account holder will not be opened.	<input type="checkbox"/>	<input type="checkbox"/>		

FATCA Classification of Account	
<input type="checkbox"/> US Account	Any of the Account holders has been classified as US person.
<input type="checkbox"/> Non-US Account	All of the Account holders have been classified as non-US person.
<input type="checkbox"/> Recalcitrant Account	Any Account holder has been marked as Recalcitrant. (Only Applicable to Existing Account Holders)

Authorization

We confirm that the responses of the Account holder(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 Account holders as established through Section C and marked above. Moreover, each Account holder has been classified and accordingly the account status has been marked above.

Date and signature of authorised representative of
Aba Ali Habib Securities (Pvt) Ltd