

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

Account type:

Regular Online A/C Gold Silver

Change in Circumstances of Existing Account

Name of Entity as per constitution document (Certificate of Incorporation, Partnership / Trust Deed, Charter etc); hereinafter referred to as the "Entity"

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 ¹

US Tax Identification No. (TIN):

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

If entity falls into any of the following categories, No FATCA documentation required, please indicate as applicable & proceed directly to Section E.

- Federal, Provincial, Local or Municipal Govt. Entity Wholly Owned or Controlled by Govt. Govt. Department, Judicial Entity or Armed Forces
- Foreign Mission, Embassy, Consulate or Commission Central Bank

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

- International Organisation ² 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 Listed Public Limited 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 ³ 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 & W-8BEN-E for the entity& proceed to Section E;
• If No: Proceed to Next Question.

Name of Substantial US Owner	Complete Address	US Tax Identification # (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 & 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

- If Yes: Provide: A Constitution Document showing the non-US country of incorporation or registered address OR alternatively provide a Form W-8BEN-E & 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& proceed to Section E • If No: Please proceed to Next Question

Global Intermediary Identification Number (GIIN) for PFFI:

2. Being a Non-Participating FFI (including Limited Branch of FFI), does the entity consent for **Aba Ali Habib Sec.(Pvt) Ltd to report its relevant information to relevant authority as required under FATCA?**

3. Please indicate if the entity claims any other FATCA status; Owner Documented FFI Certified Deemed Compliant FFI

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 **Aba Ali Habib Sec. (Pvt) Ltd.** to comply with its obligations under FATCA and hereby confirm the information provided above is true, accurate and complete. Subject to applicable local laws, I/ we hereby consent for the company to share 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. I/ we consent and agree that, if applicable, the Company may withhold from the account of the Entity 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 of the Entity, which has been provided to the Company.

For and on behalf of (Name of the Entity)

Authorised Signatory	Authorised Signatory

Date:

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FATCA Documentation Checklist

<p>Entities Incorporated in the US (as per Section A)</p> <input type="checkbox"/> Duly completed & signed Form W-9 for the entity with TIN #	<p>Foreign (Non-US) Financial Institution (as per Section D)</p> <input type="checkbox"/> Duly completed & signed Form W-8BEN-E for the entity with GIIN #
<p>FATCA Exempt Entity (as per Section B)</p> <input type="checkbox"/> Duly completed & signed Form W-8BEN-E for the entity	<p>FFIs claiming other status (as per Question 3, Section D)</p> <input type="checkbox"/> Duly completed & signed Form W-8BEN-E for the entity <input type="checkbox"/> Owner Reporting Statement ⁴ (for ODFFI only) <input type="checkbox"/> Form W-9 or W-8BEN forms for person in ODFFI reporting statement
<p>Non-Financial Foreign (Non-US) Entities (NFFE) (as per Section C)</p> <input type="checkbox"/> Duly completed & signed Form W-8BEN-E for the entity <input type="checkbox"/> Constitution document as per Question 4 & 5	<input type="checkbox"/> No FATCA Documentation Required
<p>NFFE having Substantial US Owners (as per Question 3, Section C)</p> <input type="checkbox"/> Duly completed & signed Form W-8BEN-E for the entity <input type="checkbox"/> Duly completed & signed Form W-9 for each Substantial US Owner <input type="checkbox"/> Constitution document as per Question 4 & 5	

FATCA Classification of Account

<input type="checkbox"/> US Entity	<ul style="list-style-type: none"> Applicant completes Section A and provides Form W-9 (for the entity)
<input type="checkbox"/> Non-US Entity	<ul style="list-style-type: none"> Applicant identifies itself in Section B & 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
<input type="checkbox"/> Recalcitrant	<ul style="list-style-type: none"> Applicant REFUSES or FAILS to provide required documentation and confirmation (as per section E). (only applicable to Existing Account Holders)

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.

Date and signature of authorised representative of **Aba Ali Habib Sec. (Pvt) Ltd.**

1. 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 U.S. or state;

2. Public International organization entitled to enjoy privileges, exemptions, and immunities as an international organisation under the International Organisations Immunities Act

3. Income from other than core activities includes income from passive sources such as returns on investments, profit from sales of property etc.

4. A statement providing the name, address, TIN (if any), and chapter 4 status of every specified U.S. person that owns an equity / debt interest in the ODFFI.