

NATIONAL BANK OF PAKISTAN

Foreign Account Tax Compliance Act (FATCA) Checklist (For Individuals & Sole Proprietors)		
Date: D M M Y Y Y Y New Account Cl.	v Account Classification Change in Circumstances of existing account	
Account TitleAccount 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 applicants.		
Section B. Beneficial Ownership (please indicate as applicable)		
Self Please use Applicant 1 column to provide your responses. Other Please use Applicant 1 column for Account Holder and Applicant 2 column for Beneficial Owner.		
Trease use Applicant 1 column for Account holder and Applicant 2 column for Beneficial Owner.		
Section C. FATCA Status Information	Applicant 1	Applicant 2
Name of Applicant As per instructions given in Customer Type & Beneficial Owner Section above		
1. Are you a U.S. Citizen, a U.S. Green Card Holder or a U.S. Resident¹? Yes No Yes No If Yes: Provide Form W-9 and proceed to Section D below; If No: Proceed to Next Question.		
 2. Were you born in the U.S.? If Yes: Provide Form W-9 and proceed to Section D below; If Yes: But you claim being a non-U.S. person, please 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? 4. Are you assigning signatory authority to a person with a U.S. address? Yes No Yes No Yes No S. Are you aware of any other information that may indicate U.S. links? Yes No Yes No Yes No Including U.S. source of funds/ income, U.S. nationality, residence status of authorised signatory/ mandate holder, expected remittances to/ from U.S. etc. For Questions 3, 4 and 5 above: If Yes and you accept being a U.S. person: Provide Form W-9 and proceed to Section D below;		
 If Yes and you claim being a non-U.S. person: Provide an <u>ID Document</u> showing your permanent address (which should not be a U.S. address), OR provide <u>Form W-8BEN</u> & proceed to <u>section D</u>; If No: No FATCA documentation required, proceed to <u>Section D</u> below. 		
Section D. Applicant Confirmation (to be filled by all applicants)		
I hereby confirm that the information provided above is true, accurate and complete. Subject to applicable local laws, I hereby consent for National Bank of Pakistan or any of its affiliates, subsidiaries (including branches) (collectively "the Bank") 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 Bank may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I also agree and undertake to notify the Bank within 30 calendar days if there is a change in any information which I have provided to the Bank.		
Signature of Applicant(s)	Applicant 1	Applicant 2

Date:

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¹ 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.



NATIONAL BANK OF PAKISTAN

For Bank's Use Only **FATCA Documentation Checklist** Applicant 1 **Applicant 2** Person with U.S. citizenship/ U.S. Green Card/ U.S. residence Form W-9 Person born in U.S. Form W-9 Person born in U.S. but claims being a Non-U.S. person Form W-8BEN; Certificate/ Written Explanation of Revocation of U.S. Nationality; and A non-U.S. passport Person with U.S. address/ Telephone number/ U.S. signatory/ Other U.S. links (accepts being a U.S. person) Form W-9 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 U.S. address) Other document/ U.S. 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 U.S.) Form 8233/ W-4 (Claim that applicant is receiving compensation for personal services performed in U.S.) Form W-8IMY (Claim that the person is acting as an Intermediary) No FATCA Documentation Required **FATCA Classification of Applicants Applicant 1 Applicant 2** 1. U.S. Person: Applicant responds 'Yes' to S. No. 1 (Section C); or Applicant responds 'Yes' to any question from S. No. 2 to S. No. 5 (Section C) and accepts being a U.S. person. U.S. Tax Identification No. (TIN); U.S. Social Security No. (SSN), Individual Taxpayer Identification. No. (ITIN) or U.S. Employer Identification No. (EIN) as mentioned in Form W-9 provided by the customer. 2. Non-U.S. 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-U.S. person & provides required documentation (as per section C). 3. Recalcitrant; Applicant refuses to provide required documentation (as per section C) or refuses to provide confirmation (as per section D). **FATCA Classification of Account U.S. Account** Any of the applicant has been classified as U.S. person. Non-U.S. Account All of the applicants have been classified as non-U.S. person. **Recalcitrant Account** Any applicant has been marked as recalcitrant (Account cannot be opened). **Branch Authorisation** We confirm that the responses of the applicant(s) to checks in Section C 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. **Account Opening Officer Operations Manager/ Branch Manager** Signature: Date:

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