# 🚵 NATIONAL BANK OF PAKISTAN

Foreign Account Tax Compliance Act (FATCA) Checklist (For Entity Accounts) Only to be used for accounts other than Individuals				
Date:         D         M         M         Y         Y         Y         New Account Classification         Change in Circumstances of	f existing acc	count		
Account Title       Account Number         Name of Entity as per constitution document (Certificate of Incorporation, Partnership/ Trust Deed, Charter etc.); hereinafter referred	ed to as the	"Entity"		
Section A (U.S. Entities): For Entities Incorporated in the U.S. or under the Laws of U.S. 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 U.S. Person         U.S. Tax Identification No. (TIN):	) <sup>1</sup>			
Section B (Non U.S. Entities): Exempt Entities (Exempt Beneficial Owners)         • If entity falls into any of the following categories, Form W-8EXP is required, please indicate as applicable & proceed directly to Section E.            Federal, Provincial, Local or Municipal Govt.           Entity Wholly Owned or Controlled by Govt.             Foreign Mission, Embassy, Consulate or Commission           Central Bank           International Organisation             • If the entity falls into any of the following categories, please indicate as applicable, provide W-8BEN-E form & proceed directly to Section E.             Charitable Trust, Club, Association or Society           Non-Government or Non-Profit Organisation             Registration No.           Registration No.           Section E.				
Section C (Non U.S. Entities): For Non-Financial Entities (NFFE)				
1. Is the Entity a Listed Public Limited Company or a subsidiary of such a company?         • If Yes: Proceed directly to Question 4 below;         • If No: Proceed to Next Question.	Yes I	No		
2. Did the entity earn more than 50% of its gross income for the preceding tax year from other than core activities <sup>2</sup> • If Yes: Proceed to Next Question;         • If No: Proceed directly to Question 4 below.	Yes	No		
3. Does any Specified U.S. 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 U.S. Owner & W-8BEN-E for the entity & proceed to Section E;       • If No: Proceed to Next Question.       No				
Name of Substantial U.S. Owner         Complete Address         U.S. Tax Identification # (TIN)         Percention	centage Hold	ling		
4. Does the entity have a Registered, Head Office or Mailing Address which is in the U.S. or a U.S. telephone number?     Yes     Yes     Yes     Yes     Yes     Section E.     If No: Proceed to Next Questions.				
5. Has the entity assigned power of attorney or signatory authority to a person with U.S. address?       Yes       No         6. Is the entity aware of any other information which may indicate to the entity's U.S. status?       Yes       No         • If Yes: Provide: A Constitution Document showing the non-U.S. country of incorporation or registered address OR alternatively provide a Form W- <u>8BEN-E</u> & proceed to Section E.       • If No: No FATCA documentation required, please proceed to Section E.				
Section D (Non-U.S. Entities): Financial Institutions (FFI)				
1. Is the entity a Participating Foreign (Non-U.S.) Financial Institution (PFFI)?         • 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:	Yes	No		
2. Being a Non-Participating FFI (including Limited Branch of FFI), does the entity consent for NBP to report its       Yes       No         relevant information to relevant authority as required under FATCA?       No				
3. Please indicate if the entity claims any other FATCA status; Owner Documented FFI Certified Deemed Compliant FFI				
<ul> <li>For ODFFI: Provide (i) <u>W-8BEN-E</u> for entity (ii) <u>Owner Reporting Statement</u> (iii) <u>W-9 or W-8BEN</u> for persons identified in Reporting statement &amp; proceed to <u>Section E</u>.</li> <li>For others: Provide Form <u>W-8BEN-E</u> indicating the claimed status and proceed to <u>Section E</u>.</li> </ul>				



## 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 National Bank of Pakistan, it's branches, affiliates, and/ or subsidiaries (collectively "the Bank") to comply with its obligations under FATCA and hereby confirm the information provided above is true, accurate and complete. I/ we hereby consent for the Bank 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 (except where specified against Question 2, Section D above). I/ we consent and agree that, if applicable, the Bank 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 Bank within 30 calendar days if there is a change in any information of the Entity, which has been provided to the Bank.

#### For and on behalf of (Name of the Entity)

Date:

ne bunk.	
Authorised Signatory	Authorised Signatory

# For Bank's Use Only

FATCA Documentation Checklist				
Entities Incorporated in the U.S. (As per Section A)	Foreign (Non-U.S.) Financial Institution (As per Section D)			
Duly completed & signed Form W-9 for the entity with TIN #	Duly completed & signed Form W-8BEN-E for the entity with GIIN #			
FATCA Exempt Entity (As per Section B)	FFIs claiming other status (As per Question 3, Section D)			
Duly completed & signed Form W-8BEN-E for the entity <b>or</b>	Duly completed & signed Form W-8BEN-E for the entity (for All Entities)			
Duly completed & signed Form W-8EXP for the entity	Owner Reporting Statement (for ODFFI only)			
Non-Financial Foreign (Non-U.S.) Entities (NFFE) (As per Section C)				
Duly completed & signed Form W-8BEN-E for the entity	Other FATCA Form provided by entity to support a claim (if applicable)			
Constitution document as per Question 4, 5 & 6 W-8ECI (income effectively connected with business within the				
NFFE having Substantial U.S. Owners (As per Question 3, Section C)				
Duly completed & signed Form W-8BEN-E for the entity	No FATCA Documentation Required			
Duly completed & signed Form W-9 for each Substantial U.S. Owner				
Constitution document as per Question 4, 5 & 6				
FATCA Classification of Account				
U.S. Entity • Applicant completes Section A and provides Form W-9 (for the entity)				
Non-U.S. Entity • 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 or D, and fulfills FATCA documentation requirements				
Recalcitrant     Applicant REFUSES or FAILS to provide required documentation and confirmation (Account cannot be open)				

### Branch 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.

	Account Opening Officer	Operations Manager/ Branch Manager
Branch Authorisation Signature		
Date:		

<sup>1</sup> Mark as "Not a Specified U.S. Person" if any of the following; otherwise mark as "Specified U.S. Person"

\*A listed company with regularly traded stock, \*A Bank, \*A company exempt from taxation in the U.S., \*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;

<sup>2</sup> Income from other than core activities includes income from passive sources such as returns on investments, profit from sales of property etc.