

CONFIRMATION AND ACKNOWLEDGEMENT BY SALES REPRESENTATIVE / BRANCH

Customer Name: _____ **NRIC/Passport/Other ID:** _____

1. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) CHECKLIST

Fill in below only if Customer has declared him/herself to be a "Non-U.S. person" in their Individual Customer Information Form Part I

FATCA Checklist	Confirmed / Not Confirmed	Instruction:
Passport		
Customer has not provided a U.S. passport.	<input type="checkbox"/> Confirmed <input type="checkbox"/> Not confirmed	If any of the checklist on the left have "Not confirmed" answers, please request that the Customer change the declaration in his/her form to "U.S. Person".
Nationality		
Customer does not have U.S. citizenship.	<input type="checkbox"/> Confirmed <input type="checkbox"/> Not confirmed	
Non U.S. Passport		
Customer's country of birth is not in the U.S. <u>Note:</u> If country of birth is in U.S. , check that the Customer has either: 1) Provided a "Certificate of Loss of Nationality" or 2) Checked the declaration (1) in Section G-1 (FATCA) of their Individual Customer Information Form.	<input type="checkbox"/> Confirmed <input type="checkbox"/> Not confirmed	If any of the checklist on the left have "Not Confirmed" answers, to obtain Form W-8BEN from Customer.
Address		
(i) Customer has not provided a permanent address, mailing address, P.O.Box or "in care of" address within the U.S.	<input type="checkbox"/> Confirmed <input type="checkbox"/> Not confirmed	
Telephone Number		
Customer has not provided only a U.S. telephone number (country code +1).	<input type="checkbox"/> Confirmed <input type="checkbox"/> Not confirmed	
Others		
Customer has not provided any other indication of being U.S. citizen or resident. If "Not confirmed", please list the identified indication: _____	<input type="checkbox"/> Confirmed <input type="checkbox"/> Not confirmed	

Definitions

- (1) The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code:
- (i) a citizen or resident of the United States,
 - (ii) a United States partnership,
 - (iii) a United States corporation,
 - (iv) any estate (other than an estate the income of which, from sources without the United States which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under the Internal Revenue Code), and
 - (v) any trust if—
 - (a) A court within the United States is able to exercise primary supervision over the administration of the trust, and
 - (b) One or more United States persons have the authority to control all substantial decisions of the trust.

Part II – Confirmation and Acknowledgement by Sales Representative/Branch on FATCA for Individual

Based on the abovementioned declarations and assessments, the Customer(s)' FATCA classification is:

- ☐ 1. U.S. Person ☐ 3. Recalcitrant Customer with U.S. Indicia. (Non U.S. Customers with U.S. Indicia who do not provide Form W-8BEN)
☐ 2. Non U.S. Person ☐ 4. Recalcitrant Customer that is U.S. Person (U.S. Customers who do not provide Form W-9)

- ☐ I confirm that the required account opening checks have been performed for the Customer listed above, and the necessary documents have been provided to the Customer, where applicable.

2. COMMON REPORTING STANDARD (CRS)

Confirmation and Acknowledgement by Sales Representative / Branch on CRS for Individual

- ☐ I confirm that based on the information obtained in connection with the opening of accounts, including any documentation collected pursuant to the KYC/AML procedures, there is no reason to know that the self-certification provided by the Customer is incorrect or unreliable

Confirmation and Acknowledgement by Sales Representative / Branch on compliance with Section 1 (FATCA) and Section 2 (CRS)

Name:	Signature:	Date:
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CONFIRMATION BY OPERATIONS / BACK OFFICE / BRANCH

Customer Name: _____

NRIC/Passport/Other ID: _____

1. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) CHECKLIST

FATCA Confirmation by Operations/Back Office/Branch

Based on FATCA Part I and II above;

- ☐ I have reviewed and verified the information against the documents received, and confirm that the necessary documents have been completed, where applicable.
- ☐ I have entered into the system, the Customer(s)' FATCA status accordingly as stated in FATCA Part II above.

2. COMMON REPORTING STANDARD (CRS)

CRS Confirmation by Operations/Back Office/Branch

- ☐ I confirm that based on the information obtained in connection with the opening of accounts, including any documentation collected pursuant to the KYC/AML procedures, there is no reason to know that the self-certification provided by the Customer is incorrect or unreliable

Based on the declaration by the Customer, I have entered into the system the following:

- ☐ the Customer's name, residence address, date of birth, country/jurisdiction of tax residence and the TIN

Confirmation and Acknowledgement by Operations / Back Office / Branch on compliance with Section 1 (FATCA) and Section 2 (CRS)

Name:

Signature:

Date:

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