

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

<b>Nature of account:</b> <input type="checkbox"/> Single <input type="checkbox"/> Joint	<b>Account type:</b> <input type="checkbox"/> Regular <input type="checkbox"/> Online A/C <input type="checkbox"/> Gold <input type="checkbox"/> Silver	<input type="checkbox"/> Change in Circumstances of Existing Account
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**MAILING ADDRESS**  
[To be used for all correspondence between IGI FINEX SECURITIES LIMITED and the account holder(s)]

**Section A. Customer Type (please indicate as applicable)**

<input type="checkbox"/> <b>Individual/Sole Proprietor</b>	Please use Account holder 1 column to provide your responses.
<input type="checkbox"/> <b>Joint</b>	Please use separate column for joint account holder.

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

<b>Name of Account holder:</b>		
<b>1. Are you a US Citizen, a US Green Card Holder or a US Resident*?</b> ▪ <b>If Yes:</b> Provide <b>Form W-9</b> and proceed to <b>Section C</b> below; ▪ <b>If No:</b> Proceed to <b>Next Question</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>2. Were you born in US?</b> ▪ <b>If Yes:</b> Provide <b>Form W-9</b> and proceed to <b>Section C</b> below; ▪ <b>If Yes:</b> 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; ▪ <b>If No:</b> Proceed to <b>Next Question</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>3. Do you have a US address or telephone Number?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>4. Are you assigning a signatory authority/mandate to a person with a US address?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

<b>Name of Joint Account holder:</b>		
<b>1. Are you a US Citizen, a US Green Card Holder or a US Resident*?</b> ▪ <b>If Yes:</b> Provide <b>Form W-9</b> and proceed to <b>Section C</b> below; ▪ <b>If No:</b> Proceed to <b>Next Question</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>2. Were you born in US?</b> ▪ <b>If Yes:</b> Provide <b>Form W-9</b> and proceed to <b>Section C</b> below; ▪ <b>If Yes:</b> 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; ▪ <b>If No:</b> Proceed to <b>Next Question</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>3. Do you have a US address or telephone Number?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>4. Are you assigning a signatory authority/mandate to a person with a US address?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> 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.

**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 **IGI FINEX SECURITIES LIMITED** (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)	<b>Account Holder</b>	<b>Joint Account Holder</b>
Date:		

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\* 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 Tactful Questioning guidelines under the FATCA policy & procedures manual.

**For Office Use Only**

FATCA Documentation Checklist	Account Holder	Joint Account Holder
<b>Person with U.S. citizenship / U.S. Green Card / U.S. residence</b> ▪ Form W-9	<input type="checkbox"/>	<input type="checkbox"/>
<b>Person born in U.S.</b> ▪ Form W-9	<input type="checkbox"/>	<input type="checkbox"/>
<b>Person born in U.S. But claims being a Non-US person</b> ▪ Form W-8BEN; ▪ Certificate / Written Explanation of Revocation of US Nationality; and ▪ A non-US passport	<input type="checkbox"/>	<input type="checkbox"/>
<b>Person with U.S. address / Telephone number / U.S. signatory / Other U.S. links (accepts being a U.S. person)</b> ▪ Form W-9	<input type="checkbox"/>	<input type="checkbox"/>
<b>Person with U.S. address / Telephone number / U.S. signatory / Other U.S. links (accepts being a Non-U.S. person)</b> ▪ Form W-8BEN; OR ▪ ID Document showing permanent address (which should not be a US address)	<input type="checkbox"/>	<input type="checkbox"/>
<b>No FATCA Documentation Required</b>	<input type="checkbox"/>	<input type="checkbox"/>

**FATCA Classification of Account holder(s)**

<b>1. US Person;</b>  ▪ 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.  ▪ <b>US Tax Identification No. (TIN);</b> 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"/>
<b>2. Non-US Person</b>  ▪ 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"/>
<b>3. Recalcitrant</b>  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"/> <b>US Account</b>	Any of the Account holders has been classified as US person.
<input type="checkbox"/> <b>Non-US Account</b>	All of the Account holders have been classified as non-US person.
<input type="checkbox"/> <b>Recalcitrant Account</b>	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.

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Date and signature of authorised representative  
of IGI FINEX SECURITIES LIMITED