

# Fatca Self - Certification For Entity

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دبي التجاري للخدمات المالية  
CBD Financial Services



## Fatca Self – Certification Form For Entity

**To: CBD Financial Service LLC**

Branch: \_\_\_\_\_ CBD RIM No: \_\_\_\_\_

Trading Account No: \_\_\_\_\_

From Entity Name: \_\_\_\_\_

License number: \_\_\_\_\_ Legal Type: \_\_\_\_\_

Entity Address: \_\_\_\_\_

For the purposes of the U.S. Foreign Account Tax Compliance Act (FATCA) and on the instructions of the Securities and Commodities Authorities (SCA), All entities must be classified into specific categories. Please indicate which category applies to the Entity by ticking one of the below boxes.

Please note, that as part of our account onboarding procedures, we will review other documentation provided by you or publicly available and may seek further information from you on the FATCA classification you have selected below.

A. CATEGORY TYPE	DEFINITION
<input type="checkbox"/> Entity Newly Established	An entity newly established less than 2 years.
<input type="checkbox"/> Financial Institution	A bank, Broker dealer, custodian, Insurance companies, pension plans, mutual funds, fund including hedge funds and family investment vehicle.
<input type="checkbox"/> US Incorporated Entity	Incorporated in the US or in a US territory, an affiliate of an entity incorporated in the US or in a US territory? E.g. a subsidiary owned by a listed Company.
<input type="checkbox"/> Publicly listed Entity	Listed on a public securities exchange or on a stock market index such as DFM E.g. Emaar
<input type="checkbox"/> Government Entity	<ul style="list-style-type: none"> <li>A government entity: includes any UAE Government owned entity or any wholly owned agency of the government, any government controlled entities, and any politically subdivisions.</li> <li>An international organization includes any intergovernmental or supranational organization E.g. Islamic development Bank).</li> <li>A non US Central Bank, E.g. the Central Bank of UAE.</li> <li>Bank for international settlements, is a foreign Central Bank of issue.</li> </ul>
<input type="checkbox"/> UAE Authorized Charity	<b>Charity organizations:</b> a charitable organizations under the laws of the country in which the account is maintained.
<input type="checkbox"/> Exempted Trust	<ul style="list-style-type: none"> <li>Broad participation fund: a fund established to provide retirement, disability, or death benefits, or any combination thereof, to beneficiaries that are current or former employees. May include Nonresident investment companies, international mutual funds and other financial institutions.</li> <li>Narrow participating retirement funds. A fund established to provide retirement, disability, or death benefits to beneficiaries that are current or former employee. May include nonresident investment companies, international mutual funds and other financial institutions.</li> </ul>
<input type="checkbox"/> All Others	Entity not classified under the above categories.

**Is the Entity organized or incorporated in the United States of America?**

Yes  No

If Yes, please provide the U.S Employer Identification Number (EIN)

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**Is the entity is a Financial Institutions?**

Yes  No

If Yes, please provide the Global Intermediary Identification Number (GIIN)

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**B. Please tick any of the below boxes as applicable to certify whether the entity has any substantial US Persons:**

<input type="checkbox"/>	I/We hereby certify and confirm that the entity identified above has no substantial U.S. Ultimate / Beneficial Owners, Partners, directors and Authorized Signatories and are not a (U.S. Taxpayers, U.S. Citizens or Residents) and their profiles are not match/ applicable with the below U.S. indicia criteria. <i>(if No, please tick Active NFFE box in part C and sign the form)</i>
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<input type="checkbox"/>	I/We hereby declare and agree that our Ultimate Beneficial Owner(s), Partner(s), Director(s) or controlling shares is/are a U.S. Person (U.S. Taxpayer, U.S. Citizens or Residents) and subject to U.S. Federal income tax purposes. <i>(if yes, Please complete part C and D as applicable and sign the form)</i>
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**U.S. Indicia Criteria:**

- |   |                           |
|---|---------------------------|
| a) Account Holder with U.S. citizenship or residence;   | b) U.S. place of birth;   |
| c) Green Card Holder;   | d) Holding U.S. passport; |
| e) Standing instructions to transfer funds to an account maintained in the U.S.;  | f) U.S. telephone number; |
| g) U.S. mailing or residence address (including a U.S. post office box);  |                           |
| h) Currently effective power of attorney or signing authority granted to U.S. person or have “in-care-of” or “hold mail” address; |                           |

**C. If you Selected “Yes” in Part B, please specify if the entity income is “Passive” or “Active” and complete part D**

<b>Passive Income Definitions</b>	<p><b>Passive Income is typically from a trade or business activities in which you do not materially participate some examples of passive income are:</b></p> <ul style="list-style-type: none"> <li>• Any type of property income (e.g. Rent from property);</li> <li>• Earnings from a business that does not require direct involvement from the owner or merchant;</li> <li>• Interest from a bank account;</li> <li>• Royalties from publishing a book or from licensing a patent or other form of intellectual property, such as computer software product;</li> <li>• Earnings from internet advertisements on websites;</li> <li>• Dividend and interest income from owning securities, such as stocks and bonds, is usually referred to as portfolio income, which may or may not be considered a form of passive income. In the united states, portfolio income is considered a different type of income than passive income;</li> <li>• Pensions</li> </ul>
<input type="checkbox"/> <b>Passive NFFE</b>	I/we are Passive NFFE with controlling persons as U.S Citizen or U.S Tax residents.
<input type="checkbox"/> <b>Active NFFE</b>	<b>Active entity:</b> Less than 50% of its gross income is passive income*, and or less than 50% of the assets that produce or are held for the production of passive income* (Refer to Passive Income description).

**D. Please provide the following information if the entity has US Substantial beneficial owner(s)**

Full Name	Address	U.S Taxpayer Identification Number (TIN)

*I/We hereby certify that the information provided above is true and accurate. I/We understand that providing false information, withholding relevant information or responding in a misleading way may result in the rejection of the application or other appropriate action taken against me and/or the applicant. I/We agree to notify CBD Financial Service (CBDFS) within 30 days of any change in my/our/ultimate beneficial owner’s status as a U.S. Person for the purposes of U.S. Federal Income Tax.*

**I /We Certify that I /we have the capacity to sign for the entity identified above in this form**

Authorized Signatory Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Entity Stamp (if Applicable):**

**FOR BANK USE ONLY**

*Please select one of the below classification to specify the entity category:*

ENTITY FATCA STATUS CLASSIFICATION	DEFINITION
<input type="checkbox"/> <b>FATCA101: FI with US SBOs</b> <i>(Financial Institutions with US substantial owners)</i>	<i>To be selected if the Entity is an FI with US SBOs and registered with IRS and did provide the (Global Intermediary Identification Number) and Signed the self-Certification formTax residents</i>
<input type="checkbox"/> <b>FATCA102: Passive NFFE-US SBOs</b> <i>(Passive Entity with US substantial owners)</i>	<i>To be selected if the Entity does have Us Substantial Beneficial Owners with Passive Income</i>
<input type="checkbox"/> <b>FATCA103: NPFFI</b> <i>(Non-Participating Financial Institutions)</i>	<i>To be selected if the Entity is a Financial Institutions but their GIIN is not provided</i>
<input type="checkbox"/> <b>FATCA105: DR-NFFE</b> <i>(Direct Reporting Non-Financial Foreign Entity)</i>	<i>To be selected if the entity is an Financial Institution with no US SBOs registered with IRS and did provide the GIIN</i>
<input type="checkbox"/> <b>NFFE Recalcitrant</b>	<i>To be selected if the entity did not complete FATCA declaration and not signed the self-Certification form (the account to be closed/ rejected after 14 days if the FATCA declaration is not completed within that period)</i>
<input type="checkbox"/> <b>Non US Entity</b>	<i>To be selected if the Entity complete the FATCA declaration and answered as "No" to all the relevant questions</i>

**Trading Manager / Broker / Branch front officers**

Reviewed and Classified by Full Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Entity Stamp (if Applicable):**

**Operation Manager / Team Leader Operation**

Data input on Wasata by (Full Name): \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Entity Stamp (if Applicable):**