

### CONFIRMATION AND ACKNOWLEDGEMENT BY SALES REPRESENTATIVE BRANCH

Customer Name: \_\_\_\_\_

Registration No./Other ID: \_\_\_\_\_

### I. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) CHECKLIST

#### FATCA Checklist for CORPORATE CLIENT (To be Declared by Customer)

FATCA Status Code	Entity's categories	Guidance
01	Specified U.S. person	Obtain Form W-9
02	Non specified U.S. person	Obtain Form W-9
03	Non-United States government entities and Non-United States central bank	
04	Public listed entity that is regularly traded on Bursa Malaysia or another stock exchange outside the U.S., including its subsidiaries	
05	Active NFFE	
06	Nonparticipating FFI (including a limited FFI or limited branch)	
07	Participating FFI	Please refer to Form W-8BEN-E for the entity categories.
08	Reporting Model 1 FFI	
09	Reporting Model 2 FFI	
10	Registered deemed-compliant FFI	
11	Sponsored FFI that has not obtained a GIIN	
12	Certified deemed-compliant non registering local bank.	
13	Certified deemed-compliant FFI with only low-value accounts.	
14	Certified deemed-compliant sponsored, closely held investment vehicle.	
15	Certified deemed-compliant limited life debt investment company	
16	Certified deemed-compliant investment advisors and investment managers	
17	Owner-documented FFI	
18	Restricted distributor	
19	Non reporting IGA FFI	

FATCA Status code	Entity's categories	Guidance
20	Reportable Passive NFFE	- Obtain Form W-8BEN-E
21	Non-reportable Passive NFFE	-
22	International organization	Please refer to Form W-8BEN-E for the entity categories.
23	Exempt retirement plans	
24	Entity wholly owned by exempt beneficial owners	
25	Territory financial institution	
26	Nonfinancial group entity	
27	Excepted nonfinancial start-up company	
28	Excepted nonfinancial entity in liquidation or bankruptcy	
29	501(c) organization	
30	Nonprofit organization	
31	Excepted territory NFFE	
32	Excepted inter-affiliate FFI	
33	Direct reporting NFFE	
34	Sponsored direct reporting NFFE	
35	Non-participating FFI	If <b>None of the above</b> is selected does not complete Form W-8BEN-E
36	Recalcitrant Customer that are passive NFFEs	If the entity is identified as <b>Reportable Passive NFFE</b> but does not complete Form W-8BEN-E
37	Recalcitrant Customer that is U.S. person	If the entity is <b>incorporated in US</b> but does not complete Form W9
38	Recalcitrant Customer that is dormant account	-

#### Definitions

- (1) Financial institutions means any entity that:
  - (i) Accepts deposits in the ordinary course of a banking or similar (depository institution), or
  - (ii) Holds, as a substantial portion of its business, financial assets for the benefit of one or more other persons (custodial institution); or
  - (iii) Is an investment entity; or
  - (iv) Is an insurance company that is obligated to make payments with respect to, a cash value insurance or annuity contract (specified insurance company); or
  - (v) Is an entity that is a holding company or treasury centre (that is part of the group of (i) – (v) as above or formed as a collective investment vehicle, mutual fund, exchange traded fund, private equity fund, hedge fund, venture capital fund, leveraged buyout fund, or any similar investment vehicle established with an investment strategy of investing, reinvesting, or trading in financial assets
- (2) 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.
- (3) Substantial United States owners mean:
  - (i) With respect to any foreign corporation, any specified U.S. person that owns, directly or indirectly, more than 10 percent of the stock of such corporation (by vote or value)
  - (ii) With respect to any foreign partnership, any specified U.S. person that owns, directly or indirectly, more than 10 percent of the profits interests or capital interests in such partnership; and
  - (iii) In the case of a trust:
    - (a) Any specified U.S. person treated as an owner of any portion of the trust under sections 671 through 679; and
    - (b) Any specified U.S. person that holds, directly or indirectly, more than 10 percent of the beneficial interests of the trust.

### CONFIRMATION AND ACKNOWLEDGEMENT BY SALES REPRESENTATIVE / BRANCH (cont'd)

Customer Name: \_\_\_\_\_

Registration No./Other ID: \_\_\_\_\_

### 1. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) CHECKLIST (cont'd)

#### Confirmation and Acknowledgement by Sales Representative/Branch on FATCA for Corporate

Based on the declarations made in Section F (of the Corporate Customer Information Form), the Customer(s)' FATCA classification is:

\_\_\_\_\_ (Please state FATCA status code above)

I confirm that the necessary documents have been provided to the Customer according to the classification declared by the Customer above, where applicable.

### 2. COMMON REPORTING STANDARD (CRS)

#### Confirmation and Acknowledgement by Sales Representative/Branch on CRS for Entity

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: \_\_\_\_\_

### CONFIRMATION BY OPERATIONS / BACK OFFICE / BRANCH

#### 1. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) CHECKLIST

##### FATCA Confirmation by Operations/Back Office/Branch

Based on FATCA Checklist above;

- I have reviewed and confirm that the necessary documents have been completed according to the classification declared by the Customer above, where applicable.
- Based on declaration by the Customer, I have entered into the system the Customer's FATCA status accordingly.

#### 2. COMMON REPORTING STANDARD (CRS)

##### CRS Confirmation by Operations/Back Office/Branch

- I have reviewed and 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
- If the Customer is an Investment Entity located in a non-participating jurisdiction, I have compared its place of incorporation against the updated list of OECD participating jurisdictions and confirm the Customer has correctly certified its status as such.

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

- the Customer's country/jurisdiction of tax residence and the TIN
- the Customer's status as Investment Entity as indicated in PART3 (1) of the Corporate CIF Section CRS (if applicable)

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

Name: \_\_\_\_\_

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

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