

FATCA Self-Certification Form (For ENTITIES)

Full legal name of the Entity: _____

Registered address: _____

Address of corporate head office (if different from the above): _____

Why Have I / We Received This Form?

You have received this form because you are an Entity holding an account with The Saudi British Bank (SABB) in the Kingdom of Saudi Arabia ("KSA").

The concept of an 'Entity' covers all legal persons (such as a company, a financial institution or a governmental body) and all legal arrangements (such as a joint enterprise, a trust or a waqf). However, it excludes individuals (also known as natural persons).

In order to comply with the local regulation relating to Foreign Account Tax Compliance Act - FATCA, all customers are required to certify their US status with the banks at On-boarding and on-going basis.

What Must I / We Do With This Form?

Please review and respond to Questions 1 through 11 in the questionnaire below on **pages 2 and 3** of this form. All Entities holding an account with the Bank must provide a response to **Questions 1 through 11** in the questionnaire.

Please certify yourself as belonging to one of the classifications of account-holder by ticking **"YES"** in response to **only one of Questions 1 through 11** in the questionnaire. In response to every other question in **Questions 1 through 11** in the questionnaire, please tick **"NO"**.

In addition, if you tick **"YES"** in response to **Question 11** in the questionnaire, also please review and respond to **Questions 12 and 13** in the questionnaire. Only Entities who tick **"YES"** in response to **Question 11** are required to respond to **Questions 12 and 13**.

Further details about the classifications of account-holder under FATCA are set out in Appendix 1 to this form. If you do not know, or are unsure of, the classification to which you as an Entity belong, please obtain the advice of a licensed tax advisor in the KSA.

Additional Instructions

If you tick **"YES"** in response to **Question 1 or Question 12** in the questionnaire, please also provide your US Tax Identification Number ("**US TIN**"), as provided to you by the US Internal Revenue Service ("**US IRS**").

If you tick **"YES"** in response to **Question 3, Question 4 or Question 5** in the questionnaire, please also provide your Global Intermediary Identification Number ("**GIIN**"), as per the list published by the US IRS.

Questionnaire		Yes	No
US Entities & US Financial Institutions	1. Are you a Specified US Person? US TIN - <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2. Are you a US Person who is not a Specified US Person?	<input type="checkbox"/>	<input type="checkbox"/>
Non-US Financial Institutions	3. Are you a KSA Financial Institution or a Financial Institution organized in a country with an intergovernmental agreement with the US regarding FATCA? GIIN - <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. Are you a Participating Non-US Financial Institution? GIIN - <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. Are you a Registered Deemed-Compliant Non-US Financial Institution? GIIN - <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6. Are you a Certified Deemed-Compliant Non-US Financial Institution?	<input type="checkbox"/>	<input type="checkbox"/>
	7. Are you a Non-Participating Non-US Financial Institution?	<input type="checkbox"/>	<input type="checkbox"/>

Please note that the Bank is not providing tax advice in connection with this form.

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Exempt Entities	8. Are you an Exempt Beneficial Owner?		<input type="checkbox"/> Y	<input type="checkbox"/> N
Non-US Entities that are not Financial Institutions	9. Are you an Excepted Non-Financial Non-US Entity? (This classification is also commonly known as an Excepted NFFE)		<input type="checkbox"/> Y	<input type="checkbox"/> N
	10. Are you an Active Non-Financial Non-US Entity? (This classification is also commonly known as an Active NFFE)		<input type="checkbox"/> Y	<input type="checkbox"/> N
	11. Are you a Passive Non-Financial Non-US Entity? (This classification is also commonly known as an Passive NFFE)		<input type="checkbox"/> Y	<input type="checkbox"/> N
Passive Non-Financial Non-US Entities (Passive NFFEs)	Only Entities who tick "YES" in response to Question 11 above are required to respond to Questions 12 and 13 below.			
	12. Do you have a US TIN? <div>US TIN - <input type="text"/></div>		<input type="checkbox"/> Y	<input type="checkbox"/> N
13. Please also provide in full the details requested below with respect to any of your owners who are US Controlling Persons. A US Controlling Person is any individual who is either a US citizen or a resident of the US for tax purposes, who in either case holds more than a 10% stake in you by vote or value.				
No.	Name of US Controlling Person	Address of US Controlling Person	Percentage Ownership held by US Controlling Person	US TIN of US Controlling Person
1			%	<input type="text"/>
2			%	<input type="text"/>
3			%	<input type="text"/>
4			%	<input type="text"/>
5			%	<input type="text"/>
<p>I/We hereby certify the information that I/we have provided in this form is true, correct and complete.</p> <p>I/We confirm that under no circumstances shall the Bank, its employees or its contractors be liable for any direct, indirect, incidental, special, punitive or consequential damages that may result in any way from their reliance on the information that I/we have provided.</p> <p>I/We confirm that I/we have completed and provided this form willingly without advice or help from the Bank.</p> <p>I/We understand that providing false information, withholding relevant information or responding in a misleading way may result in rejection of my/our application and/or other appropriate action taken against me/us.</p> <div><div>Name: <input type="text"/></div><div>Name: <input type="text"/></div><div>Signature: <input type="text"/></div><div>Signature: <input type="text"/></div><div>Capacity of Signatory (i.e. account-holder or power of attorney)</div><div>Capacity of Signatory (i.e. account-holder or power of attorney)</div><div>Date: <input type="text"/></div></div>				
To be completed by the Bank RM				
Customer Number: <input type="text"/>				
Bank RM/CSR Name: <input type="text"/> RM signature				

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Appendix 1 Discription of Fatca Entity Classifications

FATCA Entity Classifications	
US Entities & US Financial Institutions	<p>1. Specified US Person This classification covers a privately-owned US corporation; a US partnership; a US trust; an individual who is a US citizen; an individual who is not a US citizen but who is resident in the US for tax purposes; or the estate of either of the above-mentioned category of individual.</p> <p>Example: A privately-owned US corporation operating in the KSA pursuant to a license from the KSA Government, or the KSA branch of a privately-owned US corporation licensed in the KSA by the Saudi Arabian General Investment Authority (SAGIA).</p>
	<p>2. US Person who is not a Specified US Person This classification covers the US itself; any State or Territory of the US; the US Government; any wholly-owned agency of the US Government; a US bank; a US corporation whose stock is regularly traded on an established stock exchange; or a US regulated investment company.</p>
Non-US Financial Institutions	<p>3. KSA Financial Institution or Financial Institution organized in a country with an intergovernmental agreement with the US regarding FATCA</p> <p>4. Participating Non-US Financial Institution This classification is also known as a Participating Foreign Financial Institution or PFFI.</p> <p>This classification covers a non-US financial institution that is organized in a country which has not entered into an intergovernmental agreement with the US regarding FATCA, but where the financial institution itself has entered into an agreement with the US IRS regarding FATCA.</p>
	<p>5. Deemed-Compliant Non-US Financial Institution This classification is also known as a Deemed-Compliant Foreign Financial Institution or Deemed-Compliant FFI.</p> <p>This classification covers a non-US financial institution that is organized in a country which has not entered into an intergovernmental agreement with the US regarding FATCA, but where:</p> <ul style="list-style-type: none"> (i) the financial institution has registered itself with the US IRS to declare its status; or (ii) the financial institution is not required to register with the US IRS and has certified itself accordingly. <p>The type of non-US financial institution described at item (i) above is a Registered Deemed-Compliant Non-US Financial Institution (also known as a Registered Deemed-Compliant Foreign Financial Institution or Registered Deemed-Compliant FFI).</p> <p>The type of non-US financial institution described at item (ii) above is a Certified Deemed-Compliant Non-US Financial Institution (also known as a Certified Deemed-Compliant Foreign Financial Institution or Certified Deemed-Compliant FFI).</p> <p>6. Non-Participating Non-US Financial Institution This classification is also known as a Non-Participating Foreign Financial Institution or Non-Participating FFI.</p> <p>This classification covers a non-US financial institution that is organized in a country which has not entered into an intergovernmental agreement with the US regarding FATCA, where the non-US financial institution itself is not (i) a Participating Non-US Financial Institution, (ii) a Registered Deemed-Compliant Non-US Financial Institution, or (iii) a Certified Deemed-Compliant Non-US Financial Institution.</p>
Exempt Entities	<p>7. Exempt Beneficial Owner This classification covers a governmental entity (other than a US governmental entity); an international organization; a central bank (other than the US Federal Reserve); a non-US retirement fund; or a non-US investment entity that is wholly-owned by any of the above.</p>

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<p>Excepted NFFE</p>	<p>8. Excepted Non-Financial Non-US Entity This classification is also known as an Excepted Non-Financial Foreign Entity or Excepted NFFE. This classification covers an entity that meets the following criteria:</p> <ul style="list-style-type: none"> (i) it is not a US entity; (ii) it is not a financial institution; and (iii) it is classified as an 'Excepted NFFE' under US Treasury Regulations.
<p>Active NFFE</p>	<p>9. Active Non-Financial Non-US Entity This classification is also known as an Active Non-Financial Foreign Entity or Active NFFE. This classification covers an entity that meets the following criteria:</p> <ul style="list-style-type: none"> (i) it is not a US entity; (ii) it is not a financial institution; and (iii) it meets any one of the following further criteria: <ul style="list-style-type: none"> (1) It holds less than 50% of its assets in shares, properties, bonds or similar investment assets, and it derives less than 50% of its gross income from the distribution of dividends, rental income, interest or other investment income; or (2) It is a listed company whose stock is regularly traded on an established securities market, or it is related to an entity whose stock is regularly traded on an established securities market; or (3) It is organized in a US Territory, and all of its owners are bona fide residents of that US Territory; or (4) It is a government (other than the US Government); a government of a US Territory; an international organization; a central bank of issue (other than of the US); or an entity wholly owned by one or more of the above; or (5) Its activities consist substantially of holding shares of, or providing financing to, subsidiaries that engage in trades or businesses other than the business of a financial institution; and it does not function (or hold itself out as) an investment fund; or (6) It is in its set-up phase (with no prior operating history), is investing capital into assets with the intention of operating a business other than the business of a financial institution, and less than twenty-four (24) months have passed since it was initially organized; or (7) It was not a financial institution in the past five (5) years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a financial institution; or (8) It engages primarily in financing and hedging transactions with or for related entities that are not financial institutions, and it does not provide financing or hedging services to any entity to which it is not related; or (9) It meets all of the following criteria: <ul style="list-style-type: none"> (i) It is established in its country of residence exclusively for religious, charitable, scientific, artistic, cultural, or educational purposes; or it is a professional organization, chamber of commerce or labor organization; and (ii) It is exempt from income tax in its country of residence; and (iii) It has no shareholders who have a proprietary or beneficial interest in its income or assets; and (iv) The laws of its country of residence or its formation documents do not permit: <ul style="list-style-type: none"> (a) any of its income or assets to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of its charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which it has purchased; and (b) upon its liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of its country of residence or any political subdivision thereof.
<p>Passive NFFE</p>	<p>10. Passive Non-Financial Non-US Entity This classification is also known as a Passive Non-Financial Foreign Entity or Passive NFFE. This classification covers an entity that meets the following criteria:</p> <ul style="list-style-type: none"> (i) it is not a US entity; (ii) it is not a financial institution; and (iii) it does not meet the criteria to be either an Excepted NFFE or an Active NFFE.

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