



FATCA Annexure – New Entity Accounts
FATCA 附录 – 新实体账户

In 2010 the United States of America (“US”) passed legislation called the Foreign Account Tax Compliance Act (FATCA). FATCA requires all Financial Institutions located outside of the US to identify customers who are US persons and where required to share this information with the US tax authority, the Internal Revenue Service (IRS). In June 2014 PRC and US Government have reached agreements in substance a Model 1 IGA in relation to the implementation of the FATCA in the PRC. To be prepared for the reporting information in relation to US accounts to the PRC competent authority, it would be appreciated if you could confirm your US Tax Residency status by completing this form as part of the Bank Account Opening procedure.

Thank you.

美利坚合众国（「美国」）于二零一零年通过外国账户税务合规法案 (FATCA)。FATCA 要求所有位于美国以外的金融机构识别属于美国人士的客户并按要求与美国税务机关，即国家税务局 (IRS)，分享此数据。中国已与美国就 FATCA 在中国的施行模式 1 的 IGA 以及 IGA 的实质性内容达成一致。为准备未来 IGA 实施后分行向主管当局报送美国账户信息，作为开立银行账户程序的一部份，请填写此表格确认阁下的美国税务居民状况。

谢谢

**US Foreign Account Tax Compliance Act (FATCA): Confirmation of Tax Residency Status
Self-Certification and Consent Form for New Entities**

**美国外国账户税务合规法案 (FATCA): 确认税务居民身份状况
新实体的声明及同意表格**

Please tick [✓] only one box
请以 [✓] 选取下列一个空格

I/We confirm that I/we am/are a “U.S. Person”^{*note}
本人/吾等确认本人/吾等为「美国人士」^{*附注}

If you are a U.S. Person, please provide your US Taxpayer Identification number (TIN): _____
You will also need to complete the W-9 Form and provide necessary supporting documents.
倘阁下为美国人士，请提供阁下的美国纳税人识别号码 (TIN): _____
阁下亦需要填妥 W-9 表格并提供所需证明文件。

I/We confirm that I/we am/are **NOT** a “U.S. Person”^{*note}
本人/吾等确认本人/吾等**并非**「美国人士」^{*附注}

I/We confirm that I/we am/are **NOT** a “U.S. Person”^{*note} but have substantial U.S. Owners (U.S. person with more than 10% interest by vote or value in a foreign corporation, partnership or trust)
本人/吾等确认本人/吾等**并非**「美国人士」^{*附注}，但存在主要美国拥有人(于外国公司、合伙企业或信托的投票权或价值拥有超过 10% 权益的美国人士)

Please provide details in the FATCA Annexure on the next page for substantial ownership and controlling authority.
请予就主要拥有权及控制权，于下一页的 FATCA 附录提供详情。

If you are a “U.S. Person” or have substantial U.S. Owners, please tick [✓] any one box below:
倘阁下为「美国人士」或存在主要美国拥有人，请以 [✓] 选取以下任何一个空格：

I consent to ICICI Bank providing my data to the US Government under the Foreign Account Tax Compliance Act (FATCA).
本人同意 ICICI Bank 根据外国账户税务合规法案 (FATCA) 向美国政府提供本人资料。

I **DO NOT** consent to ICICI Bank providing my data to the US Government under the Foreign Account Tax Compliance Act (FATCA). Please note that if you choose not to provide us with consent and an appropriate identity document, it will be necessary to classify your account as Non-Consenting US Account.



本人不同意 ICICI Bank 根据外国账户税务合规法案 (FATCA) 向美国政府提供本人资料。请注意倘若阁下选择不给予本行同意及适当的身份证明文件, 则 ICICI Bank 必须将阁下账户分类为不同意美国账户。

***Note: Definition of 'U.S. Person'**

***附注: 「美国人士」定义**

A U.S. Person is a citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

美国人士为美国的公民或居民、合伙企业或公司, 或倘 (i) 美国境内法院有权根据适用法律就大致上所有有关信托管理的问题颁布法令或判决, 及 (ii) 一名或以上美国人士有权控制信托所有主要决策, 或属美国国民或居民的遗产继承人, 根据美国或其任何州份的法律下的信托。

The Definition should be interpreted in accordance with the U.S. Internal Revenue Code.

定义应按美国国内收入法诠释。

I confirm that I will report any change in our tax status / ownership pattern in future to ICICI Bank Shanghai Branch within 30 days of such change.

本人确认本人将于未来税务状况 / 所有权模式发生任何变更的三十日内向 ICICI Bank Shanghai Branch 通报该等变更。

Name 姓名 : _____

Signature 签署 : _____

Date 日期 : _____

Annexure - Entity Accounts

附录- 实体账户

(To be filled by customer)

(由客户填写)

Substantial US owners (U.S. person with more than 10% interest by vote or value in a foreign corporation, partnership or trust)

主要美国拥有人 (于外国公司、合伙企业或信托的投票权或价值拥有超过 10% 权益的美国人士)

Business title 商业名称	Main country of residence for tax purposes 就税务目的而言的主要居住国家	Tax identification number in that country (mandatory for residents of the US for tax purposes) 于该国家的纳税人识别号 (就税务目的而言的美国居民必须填写)
Substantial U.S. owner 1 主要美国拥有一		
Substantial U.S. owner 2 主要美国拥有二		
Substantial U.S. owner 3 主要美国拥有三		
Substantial U.S. owner 4 主要美国拥有四		
Substantial U.S. owner 5 主要美国拥有五		

We confirm that we will report any change in our tax status / ownership pattern in future to ICICI Bank Shanghai Branch. within 30 days of such change.

本人确认本人将于未来税务状况 / 所有权模式变更任何发生的三十日内向印度爱西爱西爱银行有限公司上海分行通报该等变更。

Signature & Stamp 签署及盖章 _____

Date 日期 _____



(To be filled by RM for each FATCA indicia holder)

Customer Name _____

Customer ID _____ Account Number _____
(To be filled after the account is opened)

US indicia identified (if any) (Tick whichever is applicable):

- US place of incorporation /registration;
- US Business address;
- US Communication address; or
- Substantial owners being U.S. citizen or resident

Note – Above indicia not to be checked for corporations, the stock of which is regularly traded on one or more established securities markets. Such accounts are classified as Non U.S. accounts.

Is the Entity

- U.S. Person
- Non U.S. Person
- Non U.S. Person with Substantial U.S. owners

Supporting documents to be provided along with application form

For U.S. Persons

Any one document (in original or certified copy form) provided in section “**Documentary evidence**” below along with IRS form W-9.

For Non U.S. Persons where US Indicia found is to be cured

Any one document (in original or certified copy form) provided in section “**Documentary evidence**” below along with appropriate IRS W 8 form.

For Non U.S. Persons with Substantial U.S. owners

Any one document (in original or certified copy form) provided in section “**Documentary evidence**” below along with IRS form W-9 for all substantial U.S. Owners.

Documentary evidence for U.S. Persons / Non U.S. Persons

- Partnership deed/Copy of certificate of incorporation, Memorandum and articles of association/ Trust deed
- Any official documentation issued by an authorised Government body that includes the name of the Entity and either the address of its principal office in the jurisdiction in which it claims to be resident or the jurisdiction in which the Entity was incorporated or organized
- Any financial statements, third party credit report, bankruptcy filing or US Securities and Exchange Commission report.

Documentary evidence for substantial U.S. Owners

- Passport
- Identity card
- A Certificate of Residence issued by an authorized government body of your country of residence.
- Any valid identification issued by an authorised Government body (for example, a government or agency thereof, or a municipality), that includes the individual’s name and is typically used for identification purposes.
- Any financial statement, third party credit report, bankruptcy filing, or US Securities and Exchange Commission report.

Account opening form scrutinized by: Employee No. _____

Signature of Employee _____



For Back-office only

Account opening form checked by: Employee No. _____

Signature of Employee _____