

To AU Small Finance Bank Ltd.

Customer ID Primary Holder Joint Holder Mandate Holder

Residential Status Resident Non-Resident

FATCA/CRS Declaration Form

Part I- Please fill in the country for each of the following (Applicable for all customers)

1	Country of :	
	a. Birth	
	b. Citizenship	
	c. Residence for tax purposes	
	d. Current Residence (Overseas Country for NRI)	

Part II- Please note

- a.** If in all fields above, the country mentioned by you is India (except in case of seafarers) and if you do not have US person status, please proceed to Part III for signature.
- b.** If for any of the above fields, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or Functional equivalent as issued in the specific country in the table below:

1	<input type="checkbox"/> TIN or	
	<input type="checkbox"/> Functional equivalent (please specify Name & Number)	
	Country of Issue	
2	<input type="checkbox"/> TIN or	
	<input type="checkbox"/> Functional equivalent (please specify Name & Number)	
	Country of Issue	
3	<input type="checkbox"/> TIN or	
	<input type="checkbox"/> Functional equivalent (please specify Name & Number)	
	Country of Issue	

- c.** If you satisfy the criteria mentioned in II (b) above but do not have Tax Payer Identification Number/functional equivalent, please tick the reason for the same as given below:

I am a person resident out of India with (choose only if applicable):

- Country not issuing TIN/Functional equivalent _____
(Mention Visa / Residence / Work permit number)
- Dependent visa _____ (mention dependent visa number)
- Student visa _____ (mention student visa number)
- Seafarer status _____ (mention CDC/visa number)
- Going to the country of residence for first time _____ (mention visa number. TIN/functional equivalent to be communicated to the bank within 90 days, else account will get closed).

OR

I am a person resident in India as well as resident for tax purposes in India (Please also fill Part IV self-certification)

- d.** In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reason/s for not having relinquishment certificate _____
Please also fill Part IV Self-Certification.

Part III- Customer Declaration (Applicable for all customers)

1. Under penalty of perjury, I certify that:
- The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person) OR**
 - The applicant is taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**
2. I understand that the Bank is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. The Bank is not able to offer any tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.
3. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
4. I agree that as may be required by domestic regulators/tax authorities the Bank may also be required to inform reportable details to CDBT or close or suspend my account.
5. I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the tax payer identification number / functional equivalent number of the applicant.

Signature _____ Date _____ Place _____

Part IV- Self-Certification (Not Applicable for NRI customers except for point (b) below):

To be filled only if-

- (a) Any of the indicia parameters is outside India and TIN or functional equivalent is not available since not a resident for tax purpose outside India, or
- (b) Country of Birth is US and US person is mentioned as "No" in Part I

I confirm that I am not a US person or a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and / or residency.

Signature

Document Proof submitted (Please tick document being submitted)

- Passport
- Election ID Card
- PAN Card
- Driving Licence
- UIDAI Letter
Aadhaar
- NREGA Job Card
- Govt. Issued ID Card

Functional Equivalent of TIN includes the following:

A social security/insurance number, citizen/personal identification/services code/national identification number, a resident / population registration number, Alien card number, etc.