

	<b>Passive NFE</b>	If the Entity has identified as a Passive NFE, does the KYC/AML information agree with the classification of a Passive NFE?			If the Entity has not identified as a Passive NFE, mark as 'N/A'. If 'No', this form should be rejected.
Country of Residence for Tax Purposes and related TIN or functional equivalent	<b>Country of Tax Residence</b>	Has a country of tax residence been provided?	X		If the Deutsche Bank entity that requested the form is located in the same country as the account holder's country of tax residency, mark 'N/A'. If 'No', this form should be rejected.
	<b>Local Tax Identification Number (TIN)</b>	If there are TINs provided for KYC/AML purposes, do they match the provided TIN(s) in the 'Country of Residence for Tax Purposes and related TIN or functional equivalent' section of the provided Self-Certification?			If no TIN provided for KYC/AML purposes or if no TINs are provided in the 'Country of Residence for Tax Purposes and related TIN or functional equivalent' on the Self-Certification, mark 'N/A'. If the Deutsche Bank entity that requested the form is located in the same country as the account holder's country of tax residency, mark 'N/A'. If 'No', this form should be rejected.
		Are the TIN(s) Facially Correct, meaning the TIN matches the country's TIN combination?  Please follow the link below to check the most recent OECD guidance for facially correct TINs.  <http://www.oecd.org/tax/automatic-exchange/tin-implementation-and-assistance/tax-identification-numbers/tdn_en_347759>			
	<b>TIN Type</b>	Is a TIN Type provided for the country of tax residencies listed?	X		If 'No' or a TIN was not provided, mark 'N/A'. If the Deutsche Bank entity that requested the form is located in the same country as the account holder's country of tax residency, mark 'N/A'. If the Deutsche Bank entity that requested the form is located in the same country as the account holder's country of tax residency and if this is the only tax residence provided by the Client, mark 'N/A' and insert the following comment in the Notes column 'No TIN is required as the DB entity requesting the form is located in the same jurisdiction as the account holder's country of tax residency'. If all countries of tax residency have provided a TIN, mark 'N/A'. If there is a country without a TIN and no explanation as to why there is no TIN provided (and the Deutsche Bank entity that requested the form is located in a different country as the account holder's country of residency), mark 'No', this form should be rejected. If Reason B is not provided, mark 'N/A'. If 'No', this form should be rejected.
<b>TIN not available</b>	For each Country of Tax Residence, has a TIN been provided or has Reason A, B, or C been provided?  If Reason B has been selected for any countries, has an acceptable reason been provided as to why a TIN was not provided?  See Appendix C for a list of reasons that are acceptable for a TIN not to be provided.				
		Has the account holder identified as a passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution in the 'Country of Residence for Tax Purposes and related TIN or functional equivalent' section of the Self-Certification?  If the account holder identified as passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution, have they checked the box to confirm they don't have a controlling person(s) and does that match the information that is listed for KYC/AML information?  If the account holder identified as passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution, do all the controlling persons listed on the Self-Certification have AML/KYC information on file?  Has the account holder given a first name(s) for the controlling person(s) that are reportable and do the first name(s) of controlling person(s) that are listed for AML/KYC purposes match the name(s) of the controlling person(s) provided on the Self-Certification form?  Has the account holder given a family name(s) / surname(s) of the controlling person(s) that are reportable and do the family name(s) / surname(s) of controlling person(s) that are listed for AML/KYC purposes match the family name(s) / surname(s) of the controlling person(s) provided on the Self-Certification form?  Has the account holder provided an address(es) of the controlling person(s) that are reportable and do the address(es) of controlling person(s) that are listed for AML/KYC purposes match the address(es) of the controlling person(s) provided on the Self-Certification form?  Has the account holder provided the date(s) of birth and place(s) of birth of the controlling person(s) that are reportable and do the date(s) of birth and place(s) of birth of controlling person(s) that are listed for AML/KYC purposes match the date(s) of birth and place(s) of birth of the controlling person(s) provided on the Self-Certification form?  Has the account holder provided the city(s)/town(s) of birth for the controlling person(s) that are reportable and do the city(s)/town(s) of birth for the controlling person(s) that are listed for AML/KYC purposes match the city(s)/town(s) of birth for the controlling person(s) provided on the Self-Certification form?			If 'No', then mark as 'N/A' and mark the remaining questions in the Controlling Person(s) section as 'N/A'.  If 'Yes', mark the remaining questions in the Controlling Person(s) section as 'N/A'.  If 'No' the account holder has not selected the box for controlling person(s) information has been provided, mark as 'N/A'.  If 'No' the account holder has not selected the box to certify and there has been no controlling person(s) information has been provided, this form should be rejected.  If 'No', mark as 'N/A'. Please note if there is no AML/KYC information on file, further outreach will be required to obtain AML/KYC information for the controlling person(s) without documentation on file.  If the account holder has not identified as a passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution, mark as 'N/A'.  If the account holder has certified they do not have controlling person(s), mark as 'N/A'.  If 'No' this form should be rejected.  If the account holder has not identified as a passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution, mark as 'N/A'.  If the account holder has certified they do not have controlling person(s), mark as 'N/A'.  If 'No' this form should be rejected.  If the account holder has not identified as a passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution, mark as 'N/A'.  If the account holder has certified they do not have controlling person(s), mark as 'N/A'.  If 'No' this form should be rejected.  If the account holder has not identified as a passive NFE or an investment Entity located in a Non-Participating Jurisdiction and managed by another Financial institution, mark as 'N/A'.  If the account holder has certified they do not have controlling person(s), mark as 'N/A'.  If 'No' this form should be rejected.

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