

Appendix	Controlling Person(s)	Has the account holder provided the State(s)/ Province(s) of residency for the controlling person(s) that are reportable and do the State(s)/ Province(s) of residency for the controlling person(s) that are listed for AML/KYC purposes match the State(s)/ Province(s) of residency for the controlling person(s) provided on the Self Certification form?	Mandatory for Passive NFE	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'.	
		Has the account holder provided the postal code(s) of Residency for the controlling person(s) that are reportable and do the postal code(s) of residency for the controlling person(s) that are listed for AML/KYC purposes match the postal code(s) of residency for the controlling person(s) provided on the Self Certification form?		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'.	
		Has the account holder provided the Countries of residency for the controlling person(s) that are reportable and do the countries of residency for the controlling person(s) that are listed for AML/KYC purposes match the countries of residency for the controlling person(s) provided on the Self Certification form?		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'.	
		Has the account holder provided at least one country of tax residency of the controlling person(s) that are reportable?		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 there are TINs provided for KYC/AML purposes, do they match the TINs of the controlling persons on the provided Self-Certification?		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'.	
		Are the TIN(s) of the Controlling Person(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/tin-identification-numbers/ld-en347799>		If no TINs were provided for KYC/AML purposes or if no TINs are provided on the Self Certification, mark 'N/A'.	
		Has the account holder provided TIN type for each country of tax residence of the controlling person(s) that are reportable?		If the Deutsche Bank entity that requested the form is located in the same country as the account holder's country of tax residence and if this is the only tax residence provided by the controlling person(s), mark 'N/A'.	
		For each Country of Tax Residence, has a TIN been provided or has Reason A, B, or C been provided?		If the Deutsche Bank entity that requested the form is located in the same country as the controlling person's country of tax residence and if this is the only tax residence provided by the controlling person(s), mark 'N/A'.	
		If the account holder has not provided a TIN for a controlling person, and has selected reason B, has a valid 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.		If the Deutsche Bank entity that requested the form is located in the same country as the account holder's country of tax residence and if this is the only tax residence provided by the controlling person(s), mark 'N/A'.	
		Has the account holder identified controlling person(s) type by marking one box in one of the sections labeled: Person, Legal Arrangement - Trust or Legal Arrangement - Others of the controlling person(s) that are reportable?		If No, this form should be rejected.	
Certification and Signature	Certification	Has the box certifying that the signer has the capacity to sign for the entity identified in Part 1 of this form, in respect to all the accounts to which this form relates been marked?	X	If No, this form should be rejected.	
	Print Name	Has the signer's name been printed on the form?	X	If No, this form should be rejected.	
	Date	Is the form dated properly?		If No, mark 'N/A' and use the stamp date of the date the form was received.	
Client Consent	Consent	If Client Consent is required because the Client is being onboarded in a data privacy location, has the Client Consent form been collected?		If the date listed on the form is past the current date, mark 'No' as this form should be rejected.	
		If Client Consent is applicable, process the Client Consent form as per applicable procedures.		If No, mark as 'N/A'.	
<b>Classification Section</b>					
Instructions	The user should utilize the provided instructions to answer the following questions to determine a classification for the account holder following the selected Entity Classification. Once a classification has been determined, the user will document the classification for each country of tax residence that was provided in the "Classification" Section.				

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