# QUESTIONNAIRE

# for the Customer - a person [[1]](#footnote-1) in order to implement the requirements of the FATCA Law

**Dear Customer!**

In order to carry out your self-certification in accordance with the requirements of the Federal Law from 28.06.2014 № 173-FZ «On specifics of financial transactions with foreign citizens and legal entities, on introduction of amendments to the Code of the Russian Federation on Administrative Offences and on annulment of certain provisions of legislative acts of the Russian Federation», The U.S. Law «Foreign Account Tax Compliance Act/FATCA» you need to fill out this form. In this form, all items must be completed in order.

|  |  |  |
| --- | --- | --- |
| **№** | **Name** | **Information** |
| **Personal data** | | |
| 1 | Surname, Name and Patronymic (father’s name) (if available) |  |
| 2 | Date of birth |  |
| 3 | Place of birth (indicate only country)  (If you were born in the United States, one of the documents referred to in paragraph 9 must be provided) | □ Russia □ USA □ Other, indicate country \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4 | Nationality (indicating all countries of which you are a national).  (If you are a U.S. citizen or have received a Green Card, Form W-9[[2]](#footnote-2) must be submitted to the Bank as a mandatory requirement) | □ Russia □ USA    □ Other, indicate country \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  □ No citizenship |
| 5 | Identity document details | □ Passport □ Other (name) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Series\_\_\_\_\_\_\_\_ Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date of issue \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 6 | Address of residence (registration) | Country: □ Russia □ USA □ Other (indicate country) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  city \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ street \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  house \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_buildings \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ apartment \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 7 | Information about tax residence (with TIN - if available) | □ Russia, TIN \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (if a/v TIN)  □ USA (SSN, ITIN, ATIN)[[3]](#footnote-3)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ □ Form W-9 provided  □ Country \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ TIN \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 8 | A valid power of attorney issued by you to the person authorized to manage your account | □ no (not issued) □ yes[[4]](#footnote-4) (a valid power of attorney is provided in a bank) |
| **Requirements for supporting documents** | | |
| 9 | If you were born in the United States, would you indicate if you have renounced U.S. citizenship or have other grounds for being stateless?  (Explanations shall be submitted in any form, handwritten, with date and signature) | □ Not applicable (wasn’t born in USA)  □ Haven't renounced (American citizen) □ Form W-9 provided  □ Yes, have renounced. The documents confirming the refusal have been submitted to the Bank:  □ A copy of certificates of loss of US citizenship[[5]](#footnote-5) (in form DS 4083 Bureau of Consular Affairs, Department of USAS), or  □ Written explanation of the reason for rejection of U.S. citizenship, or  □ Written explanation of the reason for not acquiring U.S. citizenship at birth. |
| **Confirmation of the reliability of this information** | | |
| 10 | I hereby represent and warrant that the information provided to the Bank is actual and reliable. In case of changes in the information provided, I undertake to inform the Bank immediately, but not later than within 15 working days from the date of changes, and submit supporting documents. | |
| 11 | I hereby provide the PJSCB "Derzhava" with my consent to the processing of personal data, including information and information about Surname, Name, Patronymic, date and place of birth, nationality, identity document details, TIN, Address of residence (registration), mobile phone, and other information specified in this questionnaire,  including collection, recording, systematization, accumulation, storage, refinement (updating, modification), extraction, use, depersonalization, blocking, removal, destruction of personal data with or without the use of automation means and transfer (distribution, provision, access) of such data to a foreign tax authority, including IRS (U.S. Internal Revenue Service) and or to foreign tax agents, as well as their consent to the transfer of information on transactions, accounts, deposits to the specified persons. | |
| 12 | I hereby confirm that I am familiar with the concept of the U.S. taxpayer[[6]](#footnote-6). | |
| 13 | Full name and signature |  |
| 14 | Date |  |

1. The Customer – a person - a person, as well as for the purposes of this document an individual entrepreneurs and individuals engaged in private practice as set forth by the legislation of the Russian Federation. If a third party (including the legal representative of the potential customer) has applied to the Bank, this Questionnaire must be filled in for both the potential customer and the applicant. [↑](#footnote-ref-1)
2. Form W-9 - a form from the U.S. Internal Revenue Service, which is used to identify the status of the payment recipient. Form W-9 is used by a U.S. tax resident to disclose his or her tax identification number (TIN). (http://www.irs.gov/pub/irs-pdf/fw9.pdf) [↑](#footnote-ref-2)
3. U.S. TIN is divided into the following types of identification numbers: Social Security Number (SSN); Employer Identification Number (EIN); Individual Taxpayer Identification Number (ITIN); Adoption Taxpayer Identification Number (ATIN); Preparer Tax Identification Number (PTIN). [↑](#footnote-ref-3)
4. If you have a power of attorney(s) to manage your account opened in our Bank, each authorized person must fill out this. [↑](#footnote-ref-4)
5. The Certificate of Loss of Nationality of the United States (CLN) - A form from the Bureau of Consular Affairs of the U.S. Department of State, prepared by a United States consular officer, confirming the renunciation of U.S. citizenship. This form is approved by the Secretary of State under the U.S. Immigration and Nationality Act 1952. <http://www.state.gov/documents/organization/81609.pdf> [↑](#footnote-ref-5)
6. The term " U.S. Taxpayer" refers to a person who is a U.S. citizen or a U.S. tax resident. If you are in doubt as to whether you are a U.S. tax resident, we recommend consulting a professional tax advisor.

   As a general rule, you can be recognized as a U.S. tax resident if: You were born in the U.S.; or you are a U.S. citizen or have a U.S. Green Card; or you meet the essential presence criterion. To meet this criterion, you must be physically present in the United States at least: 31 days within the current year, and 183 days within a three-year period that includes the current year and two immediately preceding years, including the following: All days during which you were in the USA during the current year; AND 1/3 of the days during which you were in the USA during the first year preceding the current year; and 1/6 of the days during which you were in the USA during the second year preceding the current year. [↑](#footnote-ref-6)