

FOR INFORMATIONAL PURPOSES ONLY

Certification of Compliance with the Due Diligence Requirements for Pre-existing Accounts of Registered Deemed-Compliant FFIs – Restricted Funds

Identifying Information

1. The certification of pre-existing accounts can only be completed by the Responsible Officer (RO). Confirm the RO information and make updates as needed. Any updates made will be saved to your registration account.¹
2. Describe the registered deemed-compliant FFI's business (or each line of business):²

Select the applicable option for the pre-existing accounts certification:

- I am completing the certification of compliance with the due diligence requirements for pre-existing accounts.³
- I am unable to complete the certification of compliance with the due diligence requirements for pre-existing accounts at this time.⁴
- I am not required to complete the certification of compliance with the due diligence requirements for pre-existing accounts.⁵

CERTIFICATION OF COMPLIANCE WITH THE DUE DILIGENCE REQUIREMENTS FOR PRE-EXISTING ACCOUNTS OF REGISTERED DEEMED-COMPLIANT FFIS - RESTRICTED FUNDS⁶

I, the responsible officer of the registered deemed-compliant FFI that is a restricted fund, certify that:

1. With respect to each pre-existing direct account held by the beneficial owner of the interest in the restricted fund, the restricted fund has reviewed those accounts that it is required to review in accordance with the procedures (and time frames) applicable to pre-existing accounts to identify any U.S. account or account held by a nonparticipating FFI.
2. With respect to any accounts identified as U.S. accounts or accounts held by nonparticipating FFIs, the restricted fund will redeem such accounts, transfer such accounts to an affiliate or other FFI that is a participating FFI (including a reporting Model 2 FFI), reporting Model 1 FFI, or U.S. financial institution, or withhold and report on such accounts as would be required if it were a participating FFI.

¹ The RO information to be confirmed includes the name of the RO, address and other contact information. This section will be pre-populated with all the registration data for the RO fields (question 10). Any changes made to the RO information will be saved in the registration account.

² Field type: Text box (1-1,000 characters).

³ If this statement is selected, continue with questions.

⁴ If this statement is selected, the filer will need to provide a reason/explanation as to why he/she is unable to certify. Field type: Text box (1-2,500 characters).

⁵ If this statement is selected, the filer will need to provide a reason/explanation as to why he/she is not required to certify. Field type: Text box (1-2,500 characters).

⁶ **Questions 1 & 2:** Field type: Radio button (values: Yes, No, Not Applicable).