

## FOR INFORMATIONAL PURPOSES ONLY

### Certification of Compliance with the Due Diligence Requirements for Pre-existing Accounts of Registered Deemed-Compliant FFIs – Local FFI

#### 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.<sup>1</sup>
2. Describe the registered deemed-compliant FFI's business (or each line of business).<sup>2</sup>

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

#### **CERTIFICATION OF COMPLIANCE WITH THE DUE DILIGENCE REQUIREMENTS FOR PRE-EXISTING ACCOUNTS OF REGISTERED DEEMED-COMPLIANT FFIs - LOCAL FFIs<sup>6</sup>**

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

1. With respect to each pre-existing account held by a nonresident of the country in which the local FFI is organized or held by an entity, the local FFI has reviewed those accounts in accordance with the procedures 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 local FFI has closed such accounts or transferred such accounts to a participating FFI (including a reporting Model 2 FFI), reporting Model 1 FFI, or U.S. financial institution, or the local FFI will withhold and report on such accounts as would be required if it were a participating FFI.

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<sup>1</sup> 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.

<sup>2</sup> Text box (1-1,000 characters).

<sup>3</sup> If this statement is selected, continue with questions.

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

<sup>5</sup> 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).

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