

FOR INFORMATIONAL PURPOSES ONLY

Periodic Certification - Registered Deemed-Compliant FFI - Qualified Collective Investment Vehicle

Identifying Information

1. The periodic certification 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 periodic certification for the period of <start date> to <end date>:

- I am completing the periodic certification of compliance.³
- I am unable to complete a periodic certification at this time.⁴
- I am not required to complete a periodic certification for this certification period.⁵

Expanded Affiliated Group of Qualified Collective Investment Vehicles

1. This certification is being provided collectively for the registered deemed-compliant FFI's expanded affiliated group.⁶
2. Select each member FI that is included in this certification. You must include at least one member in the certification.⁷

PERIODIC CERTIFICATION – CERTIFICATION OF COMPLIANCE WITH THE REQUIREMENTS OF THE REGISTERED DEEMED-COMPLIANT FFI CATEGORY – QUALIFIED COLLECTIVE INVESTMENT VEHICLE⁸

I, the responsible officer of the registered deemed-compliant FFI, certify that:

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 (1-1000 characters).

³ If this statement is selected, continue with questions.

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

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

⁶ Field type: Radio button (values: Yes, No). If No is selected, continue with certification questions. If Yes is selected, display question 2. Note: This question will only display if filer is a lead. If there are no eligible members, it will display an error message if yes is selected.

⁷ Eligible members will be displayed as a prefilled list from the FI's registration.

⁸ Questions 1 & 2: Field type: Radio button (values: Yes, No). Question 3: Field type: Radio button (values: Yes, No, Not Applicable).

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1. The FFI is an FFI solely because it is an investment entity, and it is regulated as an investment fund either in its country of incorporation or organization or in all of the countries in which it is registered and all of the countries in which it operates.
2. Each holder of record of direct debt interests in the FFI in excess of \$50,000, of any direct equity interests in the FFI (for example the holders of its units or global certificates), and of any other account holder of the FFI is a participating FFI, a registered deemed-compliant FFI, a retirement plan, a non-profit organization, a U.S. person that is not a specified U.S. person, a nonreporting IGA FFI, an exempt beneficial owner, or, if the FFI is a registered deemed-compliant FFI under an applicable Model 2 IGA, an active NFFE.
3. In the case of an FFI claiming deemed-compliant status under the Treasury regulations (rather than an applicable Model 2 IGA) that is a member of an expanded affiliated group, each member FFI is a participating FFI, registered deemed-compliant FFI, sponsored FFI, nonreporting IGA FFI, or an exempt beneficial owner.