

FOR INFORMATIONAL PURPOSES ONLY

Periodic Certification - Trustee of a Trustee-Documented Trust

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. Did you have any trustee-documented trusts that are subject to a Model 2 IGA during the certification period?²
3. Enter the legal name and country/jurisdiction of each trustee-documented trust subject to a Model 2 IGA that is included in this certification.

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

PERIODIC CERTIFICATION - CERTIFICATION OF COMPLIANCE OF TRUSTEES OF A TRUSTEE-DOCUMENTED TRUST⁶

I, the responsible officer of the trustee, certify that:

1. I have established a compliance program for purposes of satisfying the requirements of an applicable Model 2 IGA with respect to each trustee-documented trust that is in effect as of the date of this certification.
2. I have conducted a periodic review of the sufficiency of the compliance program and the trustee's compliance with the requirements of an applicable Model 2 IGA with respect to each trustee-documented trust during the certification period.
3. The trustee reported to the IRS on Form 8966, "FATCA Report," (or such other form as the IRS may prescribe), all of the information required to be reported pursuant to the applicable Model 2 IGA with respect to all U.S. accounts of each trustee-documented trust for which the trustee acts during the certification period by the due date of Form 8966 (including extensions).

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: Radio button (values: Yes, No). If Yes is selected, display question 3.

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 you are unable to certify at this time. 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 you are not required to certify. Field type: Text box (1-2,500 characters).

⁶ Questions 1 & 2: Field type: Radio button (values: Yes, No). Question 3: Field type: Radio button (values: Yes, No, Not Applicable).