

FATCA_CRS QUESTIONNAIRE – Banks

#	Question
1	Entity Name
2	Entity Code
3	Does the entity have processes in place to identify, assess, and manage risks associated with FATCA and CRS?
4	Does the entity have a risk management framework in place that includes CRS and FATCA-specific risks?
5	Does the entity have a descriptive list of the products and services offered to clients? (Analyze how the accounts are affected because of CRS and FACTA)
6	Comments on section 1.
7	Does the entity have documentation proving cooperation with the departments involved in the initial implementation of CRS and FACTA? e.g., internal meeting minutes or correspondence about key decisions.
8	Does the entity have supporting documentation of cooperation with the departments involved to comply with ongoing CRS and FACTA requirements? e.g., internal meeting minutes, job responsibility assignment sheet, etc.
9	Comments on section 2.
10	Does the entity have a descriptive delimitation for the tasks the CRS and FATCA Responsible Officers must perform?
11	Does the entity require mandatory training for the CRS and FATCA Responsible Officers?
12	Does the entity have specific training for the responsible officers for reporting and validating documentation? e.g., self-certification and W-8S forms.
13	Are FATCA and CRS reports are submitted directly by the financial institution or external supplier?
14	Does the entity have a record of CRS and FACTA Responsible Officers?
15	Does the entity have processes to inform clients of CRS and FATCA-related updates?
16	Does the entity inform clients of their CRS and FATCA obligations?
17	Does the entity have specific staff assigned responsibility for a specific High-Value Account holder on an ongoing basis, advising accountholders on financial matters, and/or arranging the rendering of any financial product, service, or assistance to meet their needs?
18	Comments on section 3.
19	Does the entity have policies and procedures in place to implement, comply, and maintain CRS and FATCA documentation?
20	Does the entity have strong documentation that describes and supports the entity's implementation plan and efforts?
21	Comments on section 4
22	Does the entity have an electronic file where policies and procedures are categorized and stored?
23	Does the entity have a period for safeguarding information regarding reportable accounts?
24	Are the records and documentation of each reportable account are kept in electronic format?
25	Comments on section 5.
26	1. Does the entity's system allow the identification of the moment when a Low-Value Account becomes a High-Value Account?

TRANSLATION

27	When the entity has not reported or applied due diligence standards to undocumented accounts, are there procedures to identify the circumstances that lead to undocumented accounts?
28	Does the entity have data or statistics of the reportable accounts registered as undocumented account?