

# Personal Identification Form (DFC-006)

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## United States International Development Finance Corporation

1100 New York Avenue, NW Washington, DC 20527-0001

An Agency of the United States Government

Statements of fact provided in this document must be accurate as of the date of submission. Responses to questions which call for estimates or projections, if any, should take the form of good faith statements made to the best of the applicant's knowledge and belief. Anyone who knowingly makes a false statement with the intent to influence DFC's guarantees, loans, or other investments may be criminally prosecuted. Such false statements are also grounds for DFC to terminate a commitment or declare a contract default. These rights are in addition to any other rights or remedies available to United States government. Neither submission nor acceptance of this application implies that the proposed transaction is eligible for support or that support will be provided.

Information provided in this form will be deemed designated as "confidential commercial information" in accordance with Freedom of Information Act (FOIA) regulations at 22 C.F.R. Part 706, and will be treated as such to the extent permitted by applicable law.

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and to the DFC Desk Officer at the Office of Information and Regulatory Affairs, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, DC 20503.

**Personal Identification Form (“PIF”)**  
United States International Development Finance Corporation  
1100 New York Avenue, NW, Washington, D.C. 20527-0001  
*An Agency of the United States of America*

**INSTRUCTIONS**

**Certain Definitions Used in this Form:** As used herein, the following terms, when capitalized, have the meanings ascribed to them below:

“**Address**” means full street address, including street and location, municipality, province, state, country, and postal or zip code. For an individual, the “Address” to be provided must be such individual’s permanent residence or domicile.

“**Affiliate**” means, with respect to any Person, any other Person that is directly or indirectly controlled by, or under common control with, such Person; except that, with respect to a Reporting Company, only other Persons covered by or subject to SEC reporting requirements applicable to such a Reporting Company.

“**Control**” means (including, in addition to “control”, the terms “controlling” and “controlled by”) means possession, directly or indirectly, of the power to direct or cause the direction of the management and policies of any Person, whether through the ownership of partnership interests or voting securities, by contract or otherwise.

“**DFC**” means the United States International Development Finance Corporation, an agency of the United States of America.

“**Name**” means:

- (i) with respect to an individual, such individual’s full legal name (including first name, middle name, last name) and if such individual is not a U.S. resident and:
  - (a) is of Arabic origin, please include the full four-part last name through the generation of the grandfather in the correct order or indicate that such individual does not have a four-part last name; or
  - (b) is of Spanish or Hispanic origin, please include the mother’s maiden name.
- (ii) with respect to a Person other than an individual, the legal name as it appears on a Certificate of Incorporation, Certificate of Partnership, or similar document.

“**Person**” includes, without limitation, individuals, corporations, limited liability companies, joint stock companies, partnerships, associations, trusts, banks, trust companies, business trusts or other organizations, or limited liability companies, whether or not a legal entity, as applicable.

“**PIF Submitting Party**” means the party (either an individual or a business entity) submitting this DFC Form 006.

“**Project**” means the activity for which an application for DFC support has been submitted. In the case of DFC support for an investment fund, a “Project” is such investment fund.

**“Project Company”** means the entity identified as such in the Summary Information section of this form. In the case of an investment fund transaction, the “Project Company” is the investment fund. In the case of a political risk insurance transaction, the “Project Company” is the entity into which the investment is being made, commonly referred to as the “foreign enterprise.”

**“Reporting Company”** means either a Person whose securities are registered pursuant to Section 15 USC 78(m) of the Securities Act of 1933, as amended, or is required to file reports with the SEC pursuant to the SEC Acts.

**“SEC”** means the U.S. Securities & Exchange Commission (or successor thereof).

**“SEC Acts”** means, individually or collectively, as the context requires, the Securities Act of 1933, the Securities Exchange Act of 1934, or the Investment Company Act of 1940, each as amended from time to time.

**“Subsidiary”** means, with respect to any person, any other Person that is directly or indirectly, more than fifty percent (50%) owned or is otherwise controlled by such Person; except that, with respect to a Reporting Company, only other Persons covered by or subject to SEC reporting requirements applicable to such Reporting Company.

**Who Should File this Form:** This form is required of certain Persons as determined by DFC. Reporting Companies may respond to certain questions, as designated by this form, by attaching responsive information from applicable SEC filings.

**When Should this Form Be Filed:** This form must be received from each PIF Submitting Party by DFC *before* DFC may issue a commitment. DFC reserves the right to seek additional information from the provider of this form regarding the information contained herein or the submission of this form from other Persons in connection with the Project *prior* to issuing a commitment.

**Things to Remember when Completing this Form:** All requested information must be provided completely and accurately. If the answer to a question is “not applicable” or “none”, please so indicate by stating “N/A” or “NONE”, as the case may be, or as otherwise instructed for a specific question.

Note: Some of the questions in the Form DFC 006 refer to specific defined terms that the user should understand before answering the question. To read and print the form instructions and defined terms, please click [here](#). Please note that if you would like to provide additional/explanatory information on any item, you may attach supporting documentation at any time by clicking on the “Supporting Documentation” link at the bottom of each screen.

## 1. PIF SUBMITTING PARTY SUMMARY INFORMATION

Name of the PIF Submitting Party:
What type of entity is the PIF Submitting Party? (check only one)
<input type="checkbox"/> Individual
<input type="checkbox"/> Corporation, Limited Liability Company, or Company
<input type="checkbox"/> Partnership
<input type="checkbox"/> Trust, Business Association or other entity
If the user chooses any type other than “Individual,” then the fields described in the following two rows should come up. If they did choose “Individual,” then they should not come up.
Name of the authorized representative submitting this report on behalf of the PIF Submitting Party (if the PIF Submitting Party is not an individual):
Contact Information for authorized representative– insert fields for physical address, phone, fax and email address
Name of the Project Company or Project (if the Project Company does not yet exist) – <b>[Pre-populate with the name of the Project Company/Project]</b>
What is the relationship between the PIF Submitting Party and the Project? (check all that apply)
<input checked="" type="checkbox"/> Project Company/Project itself
<input type="checkbox"/> Direct or indirect, beneficial owner of 10% or more of the Project Company
<input type="checkbox"/> Will provide credit support to the Project
<input type="checkbox"/> Bears a significant managerial relationship to the Project
<input type="checkbox"/> General partner (or managing member) of the Project Company
<input type="checkbox"/> Investment fund manager of the Project Company
<input checked="" type="checkbox"/> Will provide insurance support to the Project
<input checked="" type="checkbox"/> Direct or indirect, beneficial owner of 10% or more of the proposed insured lender

## 2. PIF SUBMITTING PARTY IDENTIFICATION INFORMATION

If the user has chosen “Individual” as the entity type on the first screen, then the following questions should come up:

<b>Identification Information for Individuals</b>
Name – this should pre-populate from the previous Screen
Nicknames or Aliases (if applicable):
Maiden Name and Married Name(s) (if applicable):
Date of Birth; Place of Birth
Please list all addresses where this individual resides and has resided over the course of the ten years immediately preceding the date hereof (for locations in the United States, include all states, territories, possessions, and the District of Columbia), beginning with place of current residence:
Choose one of the following with respect to this individual: <input type="checkbox"/> Never resided in the United States. <input type="checkbox"/> Currently resides in the United States at the most recent Address indicated above. <input type="checkbox"/> Last resided in the United States at the following Address:
Is the PIF Submitting Party doing business as a <b>sole proprietorship</b> ? <input type="checkbox"/> Yes <input type="checkbox"/> No  (If the user answers “yes,” three text boxes should coming up asking for: trade (DBA) name, jurisdiction of registration (if any), and registration number (if any))
Country of citizenship - Insert a drop-down menu. Allow them to enter more than one country for dual citizenship.  Please complete all of the following that apply. U.S. Citizens are required to provide driver’s license information and social security number; non-U.S. citizens are required to provide passport number and any other information that may be applicable.  US Driver’s License Number: US Driver’s License State of Issuance: US Social Security Number: Passport Number:

If the user has chosen “Corporation, Limited Liability Company or Company” as the entity type on the first screen, then the following questions should come up:

<b>IDENTIFICATION INFORMATION FOR CORPORATIONS, LLCs AND COMPANIES</b>
Name of PIF Submitting Party:
Jurisdiction of Formation/Establishment: State (if applicable); Country
Address of the PIF Submitting Party:
Is the PIF Submitting Party a Reporting Company? <input type="checkbox"/> Yes <input type="checkbox"/> No

If the user has chosen “Partnership” as the entity type on the first screen, then the following questions should come up:

<b>IDENTIFICATION INFORMATION FOR PARTNERSHIPS</b>
Name of PIF Submitting Party:
Jurisdiction of Formation/Establishment: State (if applicable); Country
Address of the PIF Submitting Party:
Is the PIF Submitting Party also the general partner of the Project Company? <input type="checkbox"/> Yes <input type="checkbox"/> No
(If the user answers “no,” provide a field for the user to enter the name of the general partner, if applicable)
Is the PIF Submitting Party a Reporting Company? <input type="checkbox"/> Yes <input type="checkbox"/> No

If the user has chosen “Trust, Business Association or Other Entity” as the entity type on the first screen, then the following questions should come up:

<b>IDENTIFICATION INFORMATION FOR TRUSTS, BUSINESS ASSOCIATIONS OR OTHER ENTITIES</b>
Name of PIF Submitting Party:
Jurisdiction of Formation/Establishment: State (if applicable); Country
Address of the PIF Submitting Party:
Is the PIF Submitting Party a trust? <input type="checkbox"/> Yes <input type="checkbox"/> No
(If the user answers “yes,” then the following question should come up, if “no,” then it shouldn't)
Name of the trustee:
Is the PIF Submitting Party a Reporting Company? <input type="checkbox"/> Yes <input type="checkbox"/> No

**Unless** the PIF Submitting Party is submitting this form in conjunction with the processing of a Project for DFC political risk insurance or if the user has chosen **the entity type of “Individual”** on the first screen, then the following questions should also come up:

**3A. For each director, member, general partner, and executive officer (as applicable or as otherwise specified by DFC) of the PIF Submitting Party, please provide the following identification information. If the PIF Submitting Party is a non-profit entity, the identification information for trustees or directors shall only be required as requested by DFC.**

Name:
Previous Names or Aliases (if applicable):
Title/Relationship to PIF Submitting Party (e.g. CEO, Director):
Address:
Date of Birth:
Country of Citizenship – Have a drop-down box.
Fields asking for 1) SSN, 2) U.S. driver’s license number, 3) jurisdiction of U.S. driver’s license, and 4) passport should come up. U.S. citizens are required to enter #1-3. Non-U.S. citizens are required to enter #4 and any others that apply.
Has the individual ever resided in the US? <input type="checkbox"/> Yes <input type="checkbox"/> No

**3B. For each director, member, general partner, and executive officer (as applicable or as otherwise specified by DFC) of each Subsidiary of the PIF Submitting Party, please provide the following identification information. If the Subsidiary of the PIF Submitting Party is a non-profit, the identification information for trustees shall only be required as requested by DFC.**

Name:
Previous Names or Aliases (if applicable):
Title (e.g. CEO, Director):
Name of the Subsidiary of the PIF Submitting Party:
Address:
Date of Birth:
Country of Citizenship – Have a drop-down box.
Fields asking for 1) SSN, 2) U.S. driver’s license number, 3) jurisdiction of U.S. driver’s license, and 4) passport should come up. U.S. citizens are required to enter #1-3. Non-U.S. citizens are required to enter #4 and any others that apply.
Has the individual ever resided in the US? <input type="checkbox"/> Yes <input type="checkbox"/> No

**3C. For each Affiliate of the PIF Submitting Party (except as otherwise specified by DFC), please provide the following identification information:**

What type of entity is the Affiliate of the PIF Submitting Party? (have drop-down box with corporation, LLC, company, partnership, trust, other)
Name of Affiliate of the PIF Submitting Party:



Address of Affiliate of the PIF Submitting Party:
Jurisdiction of Incorporation/Formation?
Is the Affiliate of the PIF Submitting Party a Subsidiary of the PIF Submitting Party? <input type="checkbox"/> Yes <input type="checkbox"/> No

**3D. Optional – For other parties requested by DFC, please provide the following identification information:**

What type of Person is the party? (have drop-down box with individual, corporation, LLC, company, partnership, trust, other)
Name of Person:
Previous Names or Aliases (if applicable):
Address of Person:
Date of Birth (if applicable):
Jurisdiction of Incorporation/Formation or Country of Citizenship?

## Submission Page

All required fields in the Personal Identification Form have been completed. [Please read the Notification of Credit Investigation below before submitting this form.] You may submit the form for DFC review by clicking the “Sign and Submit” button below. The Personal Identification Form review and finalization process is as follows:

- Once you click the “Sign and Submit” button, your Personal Identification Form will be in a “read-only” format.
- A DFC officer/attorney will review your Personal Identification Form for completeness.
- If the officer/attorney determines that the information is incomplete or that additional information is required, the form will be “unlocked” and returned to you for editing.
- If the officer/attorney determines that the form is complete, they will change the status to “Final Signed.”

**[NOTIFICATION OF CREDIT INVESTIGATION:** As part of the application process for DFC financing, DFC routinely undertakes credit investigations of applicants for such financing. DFC considers such investigations to be an essential element in evaluating the qualifications of the project, the PIF Submitting Party, its Affiliates and Subsidiaries (as such terms are defined in the instructions), and the executive officers and directors of the PIF Submitting Parties and its Subsidiaries (the “Review Parties”). These investigations may involve the use of private consumer credit reporting firms, court clerks and government agencies. The investigations may focus on, but are not necessarily limited to, the financial responsibility, credit record, business reputation, character, overdue and unpaid tax obligations, criminal record, and general reputation of the Review Parties. The nature of the investigations will be at the discretion of DFC, and, by signing below, the PIF Submitting Party consents to such investigations by DFC and its agents. Under the Fair Credit Reporting Act, 15 U.S.C. §1681, the undersigned may be entitled to additional information regarding the nature and scope of any investigation of which it is the subject if requested by it in writing. In addition to performing such credit checks, DFC is required to verify that each PIF Submitting Party (who has a Taxpayer Identification Number or a Social Security Number) is not delinquent on any Federal tax obligations. Signature of this form constitutes the undersigned’s consent to such investigations, checks and verification.]

*The undersigned, as either the PIF Submitting Party (in the case of an individual) or as the duly authorized representative of the PIF Submitting Party (in the case of Persons other than an individual), including the other Review Parties, as the case may be, certifies on behalf of the PIF Submitting Party and the other Review Parties that the information provided in response to the questions herein, under penalty of law (pursuant to 22 USC Section 2197(n)), is true and correct to the best of such Person’s knowledge.*

Name of PIF Submitting Party (pre-populated)
Space to type in Name of Authorized Person (if applicable)
Space to type in Title of Authorized Person (if applicable)
Sign and Submit