

Account No. 賬戶號碼: _____
Account Name 賬戶名稱: _____



雅利多證券
ARISTO SECURITIES LIMITED

Securities Cash Trading

證券現金交易

Institutional Professional Investor

機構專業投資者

Room 101, 1st Floor, On Hong Commercial Building, 145 Hennessy Road, Wanchai, Hong Kong
香港灣仔軒尼詩道145號安康商業大廈1樓101室

Tel 電話: (852) 3622 1770 Fax 傳真: (852) 3622 1488
Web-site 網址: <http://www.aristo.hk>

ACCOUNT OPENING INFORMATION FORM - PROFESSIONAL INVESTOR 開戶資料表格 - 專業投資者

下述資料是提供予簽署人(“公司客戶”)於雅利多證券有限公司(“雅利多”)開立賬戶(“本賬戶”)。客戶茲聲明在本開戶申請表內的資料屬實, 完正及正確, 且除非雅利多收到任何變更的書面通知外, 雅利多得信賴前述資料及聲明。

The following information is being provided by the undersigned (the “Corporate Client”) for the purpose of opening accounts (the “Account (s)”) with Aristo Securities Limited (“Aristo”). The Client represents that the information is true, complete and correct and Aristo is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change.

A. Client Information 客戶資料

Company Information 公司資料		
Name of Company (English and Chinese) 公司名稱 (英文及中文)		
Account Name (if different from “Company Name”) 賬戶名稱 (如有別於公司名稱)		
Business Registration No. in Hong Kong 香港商業登記號碼	Date and Country of Incorporation 註冊日期及國家	
Certificate of Incorporation No. 註冊證書號碼	Nature of Business 業務性質	
Address of Registered Office in Country of Incorporation 在成立國家之註冊地址		
Correspondence Address (if different from Registered Office Address) 通訊地址 (如有別於註冊地址)		
Business Phone No. 辦事處電話	Email Address 電郵地址	Fax No. 傳真號碼
Contact Person 聯絡人		Contact Person Phone No. 聯絡人電話
Select your language 選擇語言 <input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English		
Communication Method (for Daily / Monthly Statements) 通訊方式 (用作發送日/月結單) <input type="checkbox"/> Post 郵寄(Post to Correspondence Address with fee of \$50 per statement + postage) (郵寄至通訊地址, 每份結單為港幣50元正, 另加郵費) <input type="checkbox"/> Email 電郵		
Is this Client regulated by relevant authorities (e.g. SFC, etc)? 客戶是否受相關的監察機構監管(例如:香港證券及期貨監察委員會等)? <input type="checkbox"/> Yes, the Client is regulated by 是, 監管機構為: _____ <input type="checkbox"/> No 不是		
Identity of the ultimate beneficial owner(s) of the Account(s) 請確認賬戶之最終受益人身份: <input type="checkbox"/> House 自營 <input type="checkbox"/> Client Account 客戶賬戶		
Source of Fund 資金來源:		
Settlement Details 交收資料		
Custodian Bank 保管銀行: _____		
Account Name 賬戶名稱: _____		
Account No 賬戶號碼: _____		
CCASS No. (if applicable) 香港中央結算有限公司號碼 (如適用): _____		

Bank Details 銀行資料

Unless otherwise instructed by Company, all monies payable to Company are to be credited to the bank account you provided. 除非客戶另行通知, 所有客戶應收款項將存入以下由客戶提供的銀行賬戶內。

Bank Name 銀行名稱: _____

Bank Account No. 銀行賬戶: _____

Bank Account Holder's Name 賬戶持有人名稱: _____

Authorized Person(s) 獲授權人

The following person(s) is/are authorized on behalf of the Company to give written and /or oral instructions in relation to the trading of the account:

本公司授權以下人士以書面和/或口頭指示在本賬戶進行交易事宜:

<u>Name (English and Chinese)</u> 姓名 (英文及中文)	<u>HKID No./Passport No. and Country of Issue</u> 香港身份證號碼/ 護照號碼及簽發國家	<u>Contact Phone Number</u> 聯絡電話號碼	<u>Specimen Signature</u> 授權簽名式樣
1 _____	_____	_____	_____
2 _____	_____	_____	_____
3 _____	_____	_____	_____
4 _____	_____	_____	_____
5 _____	_____	_____	_____

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙填寫。)

Please attach a Letter of Authorization and an Information Statement of the Authorized Person for each of the Authorized Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。

Identity of Persons Ultimately Responsible for Originating the Instructions in relation to a Transaction 最終負責發出交易指示人士的身份

Details of the person who is ultimately responsible for originating the instructions in relation to a transaction are as below:
最終負責發出交易指示人士資料如下:

Name 姓名: _____

HKID/Passport No. 香港身份證/護照號碼: _____

Address 地址: _____

Occupation 職業: _____

Relationship between the Account Holder(s) and the person who is ultimately responsible for originating the instructions in relation to a transaction

賬戶持有人與最終負責發出交易指示人士之關係: _____

B. Treatment as an “institutional professional investor” (according to the professional investor rules define under paragraph 15.2 of Securities and Futures Ordinance)

申請視為機構專業投資者 (根據證券及期貨條例表一第15.2段的定義)

We are 我們是

- The entities such as exchange companies
交易所公司
- Intermediaries and similar investment service providers regulated overseas; also their wholly owned subsidiaries, holding companies, and wholly owned subsidiaries of the holding companies
中介人及在海外受規管的類似投資服務供應商; 以及其全資附屬公司, 控股公司及該等公司的全資附屬公司
- Authorized financial institutions (“AFIs”) and similar overseas institutions; also, their wholly owned subsidiaries, holding companies, and the wholly owned subsidiaries of the holding companies
認可財務機構及類似的海外機構; 以及其全資附屬公司, 控股公司及該等公司的全資附屬公司
- Insurers regulated under the Insurance Companies Ordinance and their overseas counterparts
受保險業公司條例規管的保險公司及其海外同業
- Collective investment schemes authorized in Hong Kong and their operators; and their overseas counterparts
在香港獲認可的集體投資計劃及其經營商; 其海外同業
- Mandatory Provident Fund schemes and their approved trustee, service providers or investment Managers; and the Occupational Retirement Scheme Ordinance schemes, their administrators and overseas counterparts
強制性公積金計劃及其信託人, 服務供應者或投資經理; 亦包括職業退休計劃, 其管理及海外同業
- Governments, central bank and multilateral agencies
政府, 中央銀行及多邊代理機關

C. We hereby enclose the following documents: 請提供以下所需文件 :

- The board Resolution authorizing the execution of this Account Opening Information Form and signing of the relevant documents
董事會決議通過開立賬戶及簽署相關開戶文件
- Copy of HKID / Passport for all authorized individuals
所有授權人之身份證或護照影印本
- Copy of certificate of registration / license issued by regulatory bodies, or a copy of the Client’s licensed or registration status as shown in public register of the authority form which the client’s license is issued or the registration is accepted
主管機關發出的牌照影印本
- Copy of register of directors and shareholders
股東和董事名冊影印本
- Copy of HKID / Passport for all shareholders and directors
所有股東和董事之身份證或護照影印本

D. SIGNATURE AND ACKNOWLEDGEMENT 簽署及確認

We, confirm that we have fully and accurately completed this account opening information form. We agree that we shall be treated as an “institutional professional investor” in connection with the operation of the Account(s). We further agree that we shall, immediately upon request by Aristo, inform the Hong Kong Regulators of the identity, address, occupation and contact details of the ultimate beneficiary if we affect a transaction otherwise that for our own benefit.

本公司確認所填寫的開戶資料屬完整及正確，並同意關於本賬戶之操作被視為機構專業投資者。若本公司為自己的利益影響交易，本公司同意依雅利多指示即時通知香港監管機構最終實益人之身份，住址，職業及聯絡方式。

Name of Company 公司名稱)	
_____)	
Was hereto affixed pursuant to its board resolution a certified true copy of which is attached hereto 已依據其董事會決議在此蓋章, 在此附上已經核證為真實的副本)	
Name of Authorized Signatory 獲授權簽名人姓名)	
_____)	
)	Authorized Signature(s) with Company Chop 授權簽名及公司印章
In the presence of 見證人)	
Name of Witness *見證人姓名*)	
_____)	
Profession/Occupation 專業/職業)	Signature of Witness 見證人簽署
_____)	
Name of Company 公司名稱)	
_____)	
Company Address 公司地址)	
_____)	
Acknowledged and Accepted by Broker 經紀確認及接受 Aristo Securities Limited 雅利多證券有限公司)	
Name of Authorized Signatory 獲授權簽名人姓名)	
_____)	
)	Authorized Signature(s) with Company Chop 授權簽名及公司印章

Dated _____ of _____ of _____
日期 _____ day (日) _____ month (月) _____ year (年)

*Note 備註: Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.
見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士，例如銀行分行經理、執業會計師、律師或公證人。

致：雅利多證券有限公司
 地址：香港灣仔軒尼詩道 145 號安康商業大廈 1 樓 101 室
 電話：(852) 3622 1770
 傳真：(852) 3622 1488

自我證明表格 – 實體

重要提示：

- 這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如賬戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (*) 的項目為申報財務機構須向稅務局申報的資料。

第1部 實體賬戶持有人的身分識別資料

(對於聯名賬戶或多人聯名賬戶，每名實體賬戶持有人須分別填寫一份表格)

(1) 實體或分支機構的法定名稱*

(2) 實體成立為法團或設立所在的稅務管轄區

(3) 香港商業登記號碼

(4) 現時營業地址

第1行 (例如：室、樓層、大廈、街道、地區)

第2行 (城市)*

第3行 (例如：省、州)

國家*

郵政編碼/郵遞區號碼

(5) 通訊地址 (如通訊地址與現時營業地址不同，填寫此欄)

第1行 (例如：室、樓層、大廈、街道、地區)

第2行 (城市)

第3行 (例如：省、州)

國家

郵政編碼/郵遞區號碼

第2部 實體類別

在其中一個適當的方格內加上☑號，並提供有關資料。

財務機構	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理 (例如：擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體
主動非財務實體	<input type="checkbox"/> 該非財務實體的股票經常在_____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在_____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> 除上述以外的主動非財務實體 (請說明_____)
被動非財務實體	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> 不屬主動非財務實體的非財務實體

第3部 控權人（如實體賬戶持有人是被动非財務實體，填寫此部）

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份IR1457表格（自我證明表格 – 控權人）

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

第4部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

提供以下資料，列明（a）賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給賬戶持有人的稅務編號。列出**所有**（不限於5個）居留司法管轄區。

如賬戶持有人是香港稅務居民，稅務編號是其**香港商業登記號碼**。

如果賬戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

如沒有提供稅務編號，必須填寫合適的理由：

理由A – 賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

理由B – 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

理由C – 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由A、B或C	如選取理由B， 解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

第5部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第112章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第1部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知雅利多證券有限公司，並會在情況發生改變後30日內，向雅利多證券有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署

姓名

身分

日期（日/月/年）

（例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等）

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。

致 : 雅利多證券有限公司
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自我證明表格 - 控權人

重要提示：

- 這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如賬戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。

第1部 控權人的身分識別資料

(1) 控權人的姓名

稱謂 (例如：先生、太太、女士、小姐) 先生 太太 女士 小姐

姓氏 *

名字 *

中間名

(2) 香港身份證或護照號碼

(3) 現時住址

第1行 (例如：室、樓層、大廈、街道、地區)

第2行 (城市) *

第3行 (例如：省、州)

國家 *

郵政編碼/郵遞區號碼

(4) 通訊地址 (如通訊地址與現時住址不同，填寫此欄)

第1行 (例如：室、樓層、大廈、街道、地區)

第2行 (城市)

第3行 (例如：省、州)

國家

郵政編碼/郵遞區號碼

(5) 出生日期 * (日/月/年)

(6) 出生地點 (可不填寫)

鎮/城市

省/州

國家

第2部 你作為控權人的實體賬戶持有人

填寫你作為控權人的實體賬戶持有人的名稱。

實體	實體賬戶持有人的名稱
(1)	
(2)	
(3)	

第3部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出**所有**（不限於5個）居留司法管轄區。

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

- 理由 A –** 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
- 理由 B –** 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。
- 理由 C –** 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號，填寫理由 A、B或C	如選擇理由B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

第4部 控權人類別

就第2部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

實體類別	控權人類別	實體 (1)	實體 (2)	實體 (3)
法人	擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託	財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的法律安排	處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

第5部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第112章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於控權人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人是控權人 / 本人獲控權人授權簽署本表格#。

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知雅利多證券有限公司，並會在情況發生改變後30日內，向雅利多證券有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署

姓名

身分

日期（日/月/年）

（如你不是第1部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。）

刪去不適用者

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。

Do not use this form for:

Instead, use Form:

- A beneficial owner solely claiming foreign status or treaty benefits (other than a qualified intermediary (QI) acting as a qualified derivatives dealer (QDD)) W-8BEN or W-8BEN-E
- A hybrid entity claiming treaty benefits on its own behalf (other than a QI acting as a QDD) W-8BEN-E
- A foreign person claiming that income is effectively connected with the conduct of a trade or business in the United States W-8ECI
- A disregarded entity with a single foreign owner that is the beneficial owner (other than a QI acting as a QDD) of the income to which this form relates. Instead, the single foreign owner should use W-8BEN, W-8ECI, or W-8BEN-E
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) W-8EXP
- U.S. entity or U.S. citizen or resident W-9
- A foreign person documenting itself for purposes of section 6050W W-8BEN, W-8BEN-E, or W-8ECI

Part I Identification of Entity

1 Name of organization that is acting as intermediary	2 Country of incorporation or organization
---	--

3 Name of disregarded entity (if applicable), see instructions

4 Chapter 3 Status (entity type) (Must check one box only):

<input type="checkbox"/> QI (including a QDD). Complete Part III.	<input type="checkbox"/> Withholding foreign trust. Complete Part VII.
<input type="checkbox"/> Nonqualified intermediary. Complete Part IV.	<input type="checkbox"/> Nonwithholding foreign partnership. Complete Part VIII.
<input type="checkbox"/> Territory financial institution. Complete Part V.	<input type="checkbox"/> Nonwithholding foreign simple trust. Complete Part VIII.
<input type="checkbox"/> U.S. branch. Complete Part VI.	<input type="checkbox"/> Nonwithholding foreign grantor trust. Complete Part VIII.
<input type="checkbox"/> Withholding foreign partnership. Complete Part VII.	

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) (Must check one box only):

<input type="checkbox"/> Nonparticipating foreign financial institution (FFI) (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner). Complete Part IX (if applicable). <input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XIX). <input type="checkbox"/> Territory financial institution. Complete Part V. <input type="checkbox"/> Sponsored FFI (other than a certified deemed-compliant sponsored, closely held investment vehicle). Complete Part X. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part XII. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part XIII. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part XIV. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part XV.	<input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part XVI. <input type="checkbox"/> Owner-documented FFI. Complete Part XI. <input type="checkbox"/> Restricted distributor. Complete Part XVII. <input type="checkbox"/> Foreign central bank of issue. Complete Part XVIII. <input type="checkbox"/> Nonreporting IGA FFI. Complete Part XIX. <input type="checkbox"/> Exempt retirement plans. Complete Part XX. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XXI. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XXII. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XXIII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIV. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXV. <input type="checkbox"/> Active NFFE. Complete Part XXVI. <input type="checkbox"/> Passive NFFE. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.
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6 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.	Country
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7 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.	Country
---	---------

8 U.S. taxpayer identification number, if required ▶

QI-EIN WP-EIN WT-EIN EIN

9 GIIN (if applicable)

10 Reference number(s) (see instructions)

Part II Disregarded Entity or Branch Receiving Payment. (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. Do not complete Part II for QDD branches. See instructions.)

- 11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment.
 Branch treated as nonparticipating FFI. Reporting Model 1 FFI. U.S. Branch.
 Participating FFI. Reporting Model 2 FFI.
- 12** Address of branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

- 13** GIIN (if any) ▶

Chapter 3 Status Certifications

Part III Qualified Intermediary

All Qualified Intermediaries

- 14** I certify that the entity identified in Part I (or branch, if relevant):
- Is a QI with respect to the accounts identified on line 10 or in a withholding statement associated with this form (as required) that is one or more of the following:
 - (i) not acting for its own account;
 - (ii) a QDD receiving payments on underlying securities and/or potential section 871(m) transactions;
 - (iii) a QI assuming primary withholding responsibility for payments of substitute interest, as permitted by the QI Agreement.
 - Has provided or will provide a withholding statement (as required) for purposes of chapters 3 and 4 that is subject to the certifications made on this form.

Qualified Intermediaries not Acting as Qualified Derivatives Dealers (check all that apply)

- 15a** I certify that the entity identified in Part I of this form assumes primary withholding responsibility for purposes of chapters 3 and 4 for each account identified on a withholding statement attached to this form (or, if no withholding statement is attached to this form, for all accounts).
- b** I certify that the entity identified in Part I of this form assumes primary Form 1099 reporting and backup withholding responsibility or reporting responsibility as a participating FFI or registered deemed-compliant FFI with respect to accounts that it maintains that are held by specified U.S. persons as permitted under Regulations sections 1.6049-4(c)(4)(i) or (c)(4)(ii) in lieu of Form 1099 reporting for each account identified on a withholding statement attached to this form (or, if no withholding statement is attached to this form, for all accounts).
- c** I certify that the entity identified in Part I of this form does not assume primary Form 1099 reporting and backup withholding responsibility.
- d** (Complete only to the extent the entity identified in Part I of this form does not assume primary Form 1099 reporting and backup withholding responsibility.) If the entity identified in Part I of this form has allocated or will allocate a portion of a payment to a chapter 4 withholding rate pool of U.S. payees on a withholding statement associated with this form, I certify that the entity meets the requirements of Regulations section 1.6049-4(c)(4)(iii) with respect to any account holder of an account it maintains that is included in such a withholding rate pool.
- e** (Complete only to the extent the entity identified in Part I of this form does not assume primary Form 1099 reporting and backup withholding responsibility.) If the entity identified in Part I of this form has allocated or will allocate a portion of a payment to a chapter 4 withholding rate pool of U.S. payees on a withholding statement associated with this form, to the extent the U.S. payees are account holders of an intermediary or flow-through entity receiving a payment from the entity, I certify that the entity has obtained, or will obtain, documentation sufficient to establish each such intermediary or flow-through entity status as a participating FFI, registered deemed-compliant FFI, or FFI that is a QI.
- f** I certify that the entity identified in Part I of this form is acting as a qualified securities lender with respect to payments associated with this form that are U.S. source substitute dividends received from the withholding agent.
- g** I certify that the entity identified in Part I of this form assumes primary withholding responsibility for purposes of chapters 3 and 4 and primary Form 1099 reporting and backup withholding responsibility for all payments of substitute interest associated with this form, as permitted by the QI Agreement.

Qualified Derivatives Dealers

- 16a** I certify that each QDD identified in Part I of this form or on a withholding statement associated with this form meets the requirements to act as a QDD and assumes primary withholding and reporting responsibilities under chapters 3, 4, and 61 and section 3406 with respect to any payments it makes with respect to potential section 871(m) transactions.
- b** Entity classification of QDD:
- Corporation Partnership Disregarded Entity

Part IV Nonqualified Intermediary**Check all that apply.**

- 17a** (All nonqualified intermediaries and QIs that are not acting in their capacity as such check here.) I certify that the entity identified in Part I of this form is not acting as a qualified intermediary with respect to each account(s) for which this form is provided and is not acting for its own account.
- b** I certify that the entity identified in Part I of this form is using this form to transmit withholding certificates and/or other documentation and has provided, or will provide, a withholding statement, as required.
- c** I certify that the entity identified in Part I of this form meets the requirements of Regulations section 1.6049-4(c)(4)(iii) with respect to any account holder of an account it maintains that is included in a withholding rate pool of U.S. payees provided on a withholding statement associated with this form.
- d** I certify that the entity identified in Part I of this form is acting as a qualified securities lender with respect to payments associated with this form that are U.S. source substitute dividends received from the withholding agent.

Part V Territory Financial Institution

- 18a** I certify that the entity identified in Part I is a financial institution (other than an investment entity that is not also a depository institution, custodial institution, or specified insurance company) that is incorporated or organized under the laws of a possession of the United States.

Check box 18b or 18c, whichever applies.

- b** I further certify that the entity identified in Part I is using this form as evidence of its agreement with the withholding agent to be treated as a U.S. person for purposes of chapters 3 and 4 with respect to any payments associated with this withholding certificate.
- c** I further certify that the entity identified in Part I:
- Is using this form to transmit withholding certificates and/or other documentation for the persons for whom it receives a payment; **and**
 - Has provided or will provide a withholding statement, as required.

Part VI Certain U.S. Branches

- 19a** I certify that the entity identified in Part I is receiving payments that are not effectively connected with the conduct of a trade or business in the United States.

Check box 19b or 19c, whichever applies.

- b** I certify that the entity identified in Part I is a U.S. branch of a foreign bank or insurance company described in Regulations section 1.1441-1(b)(2)(iv)(A) that is using this form as evidence of its agreement with the withholding agent to be treated as a U.S. person with respect to any payments associated with this withholding certificate.
- c** I certify that the entity identified in Part I:
- Is using this form to transmit withholding certificates and/or other documentation for the persons for whom the branch receives a payment;
 - Has provided or will provide a withholding statement, as required; **and**
 - In the case of a withholdable payment, is applying the rules described in Regulations section 1.1471-4(d)(2)(iii)(C).

Part VII Withholding Foreign Partnership (WP) or Withholding Foreign Trust (WT)

- 20** I certify that the entity identified in Part I is a withholding foreign partnership or a withholding foreign trust that is compliant with the terms of its WP or WT agreement.

Part VIII Nonwithholding Foreign Partnership, Simple Trust, or Grantor Trust**Check all that apply.**

- 21a** I certify that the entity identified in Part I:
- Is a nonwithholding foreign partnership, a nonwithholding foreign simple trust, or a nonwithholding foreign grantor trust and is providing this form for payments that are not effectively connected, or are not treated as effectively connected, with the conduct of a trade or business in the United States; **and**
 - Is using this form to transmit withholding certificates and/or other documentation and has provided or will provide a withholding statement, as required for purposes of chapters 3 and 4, that is subject to the certifications made on this form.
- b** I certify that the entity identified in Part I is a foreign partnership that is a partner in a lower-tier partnership and is providing this Form W-8IMY for purposes of section 1446.

Chapter 4 Status Certifications

Part IX Nonparticipating FFI with Exempt Beneficial Owners

22 I certify that the entity identified in Part I is using this form to transmit withholding certificates and/or other documentation and has provided or will provide a withholding statement that indicates the portion of the payment allocated to one or more exempt beneficial owners.

Part X Sponsored FFI

23a Name of sponsoring entity: ► _____

Check box 23b or 23c, whichever applies.

- b** I certify that the entity identified in Part I:
- Is an investment entity;
 - Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
 - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- c** I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
 - Is not a QI, WP, or WT;
 - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
 - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

Part XI Owner-Documented FFI

Note: This status only applies if the U.S. financial institution, participating FFI, reporting Model 1 FFI, or reporting Model 2 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI. The owner-documented FFI must make the certifications below.

- 24a** I certify that the FFI identified in Part I:
- Does not act as an intermediary;
 - Does not accept deposits in the ordinary course of a banking or similar business;
 - Does not hold, as a substantial portion of its business, financial assets for the account of others;
 - Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
 - Is not affiliated with an entity (other than an FFI that is also treated as an owner-documented FFI) that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
 - Does not maintain a financial account for any nonparticipating FFI.

Check box 24b or 24c, whichever applies.

- b** I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement (including any applicable owner documentation) that contains:
 - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
 - (ii) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
 - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
- c** I certify that the FFI identified in Part I:
- Has provided, or will provide, an auditor's letter, signed no more than 4 years prior to the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2) and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement and Form W-9, with applicable waivers, as described in Regulations section 1.1471-3(d)(6)(iv).

Part XII Certified Deemed-Compliant Nonregistering Local Bank

- 25 I certify that the FFI identified in Part I:
- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
 - Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
 - Does not solicit account holders outside its country of organization;
 - Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
 - Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
 - Does not have any member of its expanded affiliated group that is an FFI, other than an FFI that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part XII.

Part XIII Certified Deemed-Compliant FFI With Only Low-Value Accounts

- 26 I certify that the FFI identified in Part I:
- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract, or annuity contract;
 - No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
 - Neither the FFI nor the FFI's entire expanded affiliated group, if any, has more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part XIV Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

- 27a Name of sponsoring entity: ► _____
- b I certify that the FFI identified in Part I:
- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
 - Is not a QI, WP, or WT;
 - Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 27a; **and**
 - 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity that owns 100% of the equity interests in the FFI identified in Part I and is itself a sponsored FFI).

Part XV Certified Deemed-Compliant Limited Life Debt Investment Entity

- 28 I certify that the FFI identified in Part I:
- Was in existence as of January 17, 2013;
 - Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
 - Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

Part XVI Certain Investment Entities That Do Not Maintain Financial Accounts

- 29 I certify that the entity identified in Part I:
- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A); **and**
 - Does not maintain financial accounts.

Part XVII Restricted Distributor

- 30a (All restricted distributors check here.) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
 - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
 - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is a FATF-compliant jurisdiction);
 - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
 - Does not solicit customers outside its country of incorporation or organization;
 - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
 - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
 - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Part XVII Restricted Distributor *(continued)***Check box 30b or 30c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b** Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c** Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs, or will transfer the securities to a distributor that is a participating FFI, reporting Model 1 FFI, or reporting Model 2 FFI.

Part XVIII Foreign Central Bank of Issue

- 31** I certify that the entity identified in Part I is treated as the beneficial owner of the payment solely for purposes of chapter 4 under Regulations section 1.1471-6(d)(4).

Part XIX Nonreporting IGA FFI

- 32** I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____ . The applicable IGA is a Model 1 IGA or a Model 2 IGA; and is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions); **and**
 - If you are a trustee documented trust or sponsored entity, provide the name of the trustee or sponsor _____ The trustee is: U.S. Foreign

Part XX Exempt Retirement Plans**Check box 33a, b, c, d, e, or f, whichever applies.**

- 33a** I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force;
 - Is operated principally to administer or provide pension or retirement benefits; **and**
 - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b** I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - No single beneficiary has a right to more than 5% of the FFI's assets;
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
 - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
 - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
 - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
 - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c** I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - Has fewer than 50 participants;
 - Is sponsored by one or more employers, each of which is not an investment entity or passive NFFE;
 - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
 - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.
- d** I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.

Part XX Exempt Retirement Plans (continued)

- e I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
 - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XXI Excepted Nonfinancial Group Entity

- 34 I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
 - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
 - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XXII Excepted Nonfinancial Start-Up Company

- 35 I certify that the entity identified in Part I:
- Was formed on (or in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);
 - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE; **and**
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XXIII Excepted Nonfinancial Entity in Liquidation or Bankruptcy

- 36 I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan for reorganization, or filed for bankruptcy on the following date: _____;
 - Has not been engaged during the past 5 years in business as a financial institution or acted as a passive NFFE;
 - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
 - Has provided, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

Part XXIV Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation

Check box 37a or 37b, whichever applies.

- 37a I certify that:
- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
 - The stock of such corporation is regularly traded on one or more established securities markets, including _____.
- b I certify that:
- The entity identified in Part I is a foreign corporation that is not a financial institution;
 - The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
 - The name of the entity, the stock of which is regularly traded on an established securities market, is _____; **and**
 - The name of the securities market on which the stock is regularly traded is ► _____.

Part XXV Excepted Territory NFFE

- 38 I certify that:
- The entity identified in Part I is an entity that is organized in a possession of the United States;
 - All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated; **and**
 - The entity identified in Part I:
 - (i) Does not accept deposits in the ordinary course of a banking or similar business;
 - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **and**
 - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account.

Part XXVI Active NFFE39 I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly). See the instructions for the definition of passive income.

Part XXVII Passive NFFE40 I certify that the entity identified in Part I:

- Is a foreign entity that is not a financial institution (this category includes an entity organized in a possession of the United States that engages (or holds itself out as being engaged) primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest in such security, partnership interest, commodity, notional principal contract, insurance contract, or annuity contract); **and**
- Is using this form to transmit withholding certificates and/or other documentation and has provided or will provide a withholding statement, as required.

Part XXVIII Sponsored Direct Reporting NFFE

41 Name of sponsoring entity: ► _____

42 I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 41.**Part XXIX Certification**

Under penalties of perjury, I declare that I have examined the information on this form, and to the best of my knowledge and belief, it is true, correct, and complete. Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income for which I am providing this form or any withholding agent that can disburse or make payments of the amounts for which I am providing this form.

I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here ►_____
Signature of authorized official_____
Print Name_____
Date (MM-DD-YYYY)



Account Opening Checklist 開立賬戶核對清單

Corporate Account 公司賬戶

Account Opening Information Form must be accompanied by the following **original or certified documents** (all copies must be certified by a lawyer, a certified public accountant or notary public, to be true copies):

客戶開戶資料表格必須隨附以下文件 **正本或認證副本** (所有副本必須經由律師、執業會計師或公證人簽署認證)

Basic documents required 基本所需文件

1. Board minutes approving account opening 董事會決議書
2. Certificate of Incorporation 公司註冊證書
3. Memorandum and Articles of Association 公司組織章程大綱及章程細則
4. Address proof (latest 3 months) of the Company's place of business (e.g. bank statement or utility bill etc.)
公司最近三個月的地址證明(如銀行月結單或公共事務繳款單等)
5. HKID/Passport copies with signatures for all director(s) and authorized person(s) 所有董事及獲授權人士之香港身份證/護照(須附簽名)
6. Address proof with signatures for all director(s) and authorized person(s) 所有董事及獲授權人士最近三個月之地址證明(須附簽名)
7. AEOI Self-Certification Form (Please provide the Jurisdiction of Residence and Taxpayer Identification Number)
自動交換財務帳戶資料自我證明表格(請提供稅務管轄區及稅務編號)

For Company incorporated in HK 適用於香港註冊之公司

- A. Business Registration Certificate 公司商業登記證
- B. Details of Directors in Forms D1, D2 or D3 董事報表 (表格 D1, D2 或 D3)
- C. Latest Annual Return 最近期之公司年報

For Company incorporated in Oversea 適用於海外註冊公司

- A. Company search report / Certificate of Incumbency (issued within the last 6 months) 公司查冊報告 / 職權證明書(過去六個月內簽發)
- B. Register of Directors 董事名冊
- C. Register of Members 股東名冊

For Institutional Professional Investor 適用於機構專業投資者賬戶

- A. Form W-8IMY 美國稅務表格

For Corporate Professional Investor & Corporate Client Account 適用於法團專業投資者賬戶及公司賬戶

- A. Form W-8BEN-E 美國稅務表格

Asset Proof (for Professional Investor Only) 資產證明 (只適用於法團專業投資者賬戶)

Definition: Portfolio of not less than HK\$8 million or total assets of not less than HK\$40 million or its equivalent in any foreign currency;
價值不少於港幣八百萬元的投資組合或價值不少於港幣四仟萬元總資產或其等值外幣

(Please provide either one of supporting document(s) listed below 請提供以下其中一種證明文件)

- A. The latest audited financial statements prepared within 16 months before the account opening date; OR
開戶日前十六個月內之最近期審計財務報表; 或
- B. Custodian statements issued by registered institution or licensed corporation within 12 months before the account opening date.
由註冊機構或持牌公司在開戶日前十二個月內發出的保管人結單

Past investment experience and knowledge of person(s) responsible for making investment decision (Professional Investor Only) 作出投資決定的人士的過往投資經驗及知識 (只適用於法團專業投資者賬戶)

- A. Transaction records in relevant product / market in past 2 years. 最近兩年就相關產品或在相關市場進行的交易紀錄
- B. Certified documents/ Proof of knowledge and expertise in relevant product/ market.
有關產品及市場直接相關及有關連的金融業工作經驗的證明文件/ 專業資格證明文件