



**Power Securities Co. Ltd.**  
**權威證券有限公司**

## **Power Securities Company Limited**

Account Opening Form—

Corporate/Sole Proprietorship/Partnership (English version)

(Licensed with the Securities and Futures Commission as a licensed corporation) (CENo. AFE798) for dealing in securities under Type 1 of Part 1 in Schedule 5 to the Securities and Futures Ordinance and an exchange participant of The Stock Exchange of Hong Kong Limited.)

Address : Unit 101, 1/F, Energy Plaza, 92 Granville Road, Tsim Sha Tsui East, Kowloon

Telephone : 37418000

Fax : 25304054

Email : cs@powersec.hk

Website : www.powersec.hk

Account No.:

Date:

## CLIENT INFORMATION FORM (Corporate/Sole Proprietor/Partnership Account)

### Account Types

<input type="checkbox"/> Cash Account	<input type="checkbox"/> Margin Account	<input type="checkbox"/> Others: _____
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### Client Information-Corporate Information

Name of Client (in English):				
Name of Client (in Chinese, if any):				
<input type="checkbox"/> Private Ltd Co	<input type="checkbox"/> Public Ltd Co	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> Others: (please specify): _____
Place of Incorporation:			Date of Incorporation:	
Certificate of Incorporation No.:			Business Registration No.:	
Nature of Business:				
Registered Address:				
Business Address (if different):				
Tel No.:			Fax No.:	
E-mail:				
Correspondence (choose one only. All correspondence, including statements of account, will be sent to the following address):				
<input type="checkbox"/> E-mail Address [by choosing "E-mail Address", you consent to be bound by the "Terms for Electronic Communications and Client's Declaration" below] <input type="checkbox"/> Registered Address <input type="checkbox"/> Business Address <input type="checkbox"/> *Others: _____ (*Please provide address proof within the last 3 months for any other correspondence address)				
<b><u>Terms for Electronic Communications and Client's Declaration</u></b> I/We acknowledge and accept the risks of receiving all the communications (the "Communications") via electronic communication, including but not limited to the risks set out in the Cash/Margin Client's Agreement and agree and undertake to hold you harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/we may incur, suffer and/or sustain as a result of your provision of the Communications via electronic communication. I/We understand that I/we can only choose receiving the Communication either via physical mail or via electronic communication. Once chosen electronic communication, I/we will not receive any Communications by physical mail. During this period, I/we undertake to immediately notify you of any change in my/our e-mail address. If you receive two successive messages				

in relation to the failure of sending the Communication to my/our e-mail address electronically, you have the right to use physical mail instead of electronic communication. In the event of any difference in the interpretation or meaning between the English and Chinese version of this Declaration, I/we agree that the English version shall prevail. You have explained this Declaration to me/us. I/We declare that I/we fully understand the contents of this Declaration.

**Electronic Securities Trading Services – Internet Services and Mobile App Services**

You request us to provide internet services and mobile application, “Power Securities – Megahub Limited” for your securities account(s) opened with us. You agree that you shall be bound by the Terms in Connection with Internet Services set out in Appendix 2.

Yes       No

**Financial Position (in HK\$) (Please provide supporting documents E.g. Latest Tax Return, Bank Statement etc.)**

Source of Income/Fund:	
<input type="checkbox"/> Investment Income <input type="checkbox"/> Business Profit <input type="checkbox"/> Shareholder Fund <input type="checkbox"/> Dividend/Interest <input type="checkbox"/> Grants <input type="checkbox"/> Loan <input type="checkbox"/> Others: _____	
Authorized Share Capital:	
Issued Share Capital:	
Turnover:	Net Equity:
Gross Profit/(Loss) for the last year:	
Net Profit/(Loss) for the last year:	

**Investment Objectives (please tick as appropriate, you may tick more than one item)**

<input type="checkbox"/> Long Term Investment	<input type="checkbox"/> Stable Growth	<input type="checkbox"/> Short Term Investment
<input type="checkbox"/> Dividend Yield Stocks	<input type="checkbox"/> Growth Stocks	<input type="checkbox"/> Speculative Stocks
<input type="checkbox"/> Hedging	<input type="checkbox"/> Others (please specify): _____	

**Investment Experience**

Types of Products	Certificate of Deposit, Capital Protected Products, Bonds or Bond Funds	Equity Funds or Stocks	Hedge Fund, Foreign Exchange, Margin A/C, Structured Products or Derivatives
No. of Year(s)			
No. of Transaction(s) per Year			
Typical Transaction Size (in HK\$)			

**Derivative Products Experience**

Have you traded 5 or more transactions in any derivative or structure products whether traded on exchange or not, within the past 3 years?

Yes       No

**Bank Account Information**

Name of Bank:	
Account Number:	

**Persons authorized to give trading instructions**

Name	HKID/Passport No.	Telephone No.	Specimen Signature

**Persons authorized to sign and give settlement instructions**

Name	HKID/Passport No.	Telephone No.	Specimen Signature

**Signing Instruction:**

The signing instruction for Authorized Person is:

signing singly
  signing wholly
  Others, \_\_\_\_\_

**Directors**

Name	HKID/Passport No.	Nationality

**Shareholders**

Name	HKID/Passport No.	Nationality	% of Shareholding	Identity of U.S. Person - (i.e. U.S. citizen, U.S. Resident, U.S. Passport or Green Card Holder)
				<input type="checkbox"/> No <input type="checkbox"/> Yes, *TIN: _____
				<input type="checkbox"/> No <input type="checkbox"/> Yes, *TIN: _____
				<input type="checkbox"/> No <input type="checkbox"/> Yes, *TIN: _____

\*TIN: Tax Identification Number

**Relationship with Listed Companies**

Is the Client/ Client's associate is a director, employee or shareholder (Above 5%) of any listed company?

No
  Yes. Please specify. \_\_\_\_\_

## CLIENT'S DECLARATION

To: Power Securities Company Limited,	Client's initial
I/We confirm and represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. You are entitled to rely fully on such information and representations for all purposes, unless you receive notice in writing of any change. You are authorized at any time to contact anyone, including our banks, brokers or any	
I/We, the undersigned client(s), acknowledge and confirm that I/we have read and understood and accepted the provisions of the Cash/Margin Client's Agreement.	
I/We acknowledge and confirm that: <ul style="list-style-type: none"> <li>- The Risk Disclosure Statements were provided in a language of my/our choice (English or Chinese); and</li> <li>- I/we was/were invited to read the Risk Disclosure Statements, to ask questions and take independent legal, financial and other advice if I/we wish.</li> </ul>	
I/We have carefully read the Risk Disclosure Statements and fully understand the contents and meanings thereof and agree to be bound by the same.	
I/We have attached certified copies of the following documents*: <ul style="list-style-type: none"> <li><input type="checkbox"/> Memorandum and Articles of Association</li> <li><input type="checkbox"/> Certificate of Incorporation (If the Certificate of Incorporation obtained is not issued within the last 12 months, a Certificate of Good Standing MUST be provided.)</li> <li><input type="checkbox"/> Certificate of Business Registration</li> <li><input type="checkbox"/> Latest List of Directors and List of Shareholders</li> <li><input type="checkbox"/> Identity document and residential address proof of all Authorized Persons, Directors and Shareholders</li> <li><input type="checkbox"/> Copy of Visitor's entry permit and immigration record (for Authorized Person being non-HK resident)</li> <li><input type="checkbox"/> The most recent Annual Return</li> <li><input type="checkbox"/> Correspondence address proof within the last 3 months</li> <li><input type="checkbox"/> Certificate of Incumbency for BVI and other Overseas companies</li> <li><input type="checkbox"/> Company Group Chart</li> <li><input type="checkbox"/> Personal Continuing Guarantee Unlimited</li> </ul>	
I/we acknowledge and confirm receipt of the Cash/Margin Client Agreement in a language of my/our choice (English or Chinese)	

## CLIENT'S CONFIRMATION

(The client's signature below will be treated as specimen signature for verifying written instructions)

Client's Name(s):	
Client's Signature(s) with company chop:	
Date:	

\*It is at PS's sole discretion to decline such application if the required document cannot be provided by the new client within 30 days from the date of application

## LICENSED PERSON'S DECLARATION

I, \_\_\_\_\_ (Name of Licensed Person), confirming that I have:

- Provided the Risk Disclosure Statements in a language of the client's choice (English or Chinese); and
- Invited the client to read the Risk Disclosure Statements, ask questions and seek independent advice if the client wishes.

Licensed Person's Signature:
SFC CE Number:
Date:

## WITNESS

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.

Full Name of Witness:	
Witness's Occupation:	
Witness's ID/Passport number:	
Witness's Signature:	
Date:	

## ACKNOWLEDGEMENT AND EXECUTION BY POWER SECURITIES COMPANY LIMITED

Authorized Signatory/Company Chop
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## AUTHORISATION LETTER FORMARGINACCOUNT

Power Securities Company Limited

Date:

Dear Sirs,

I/We \_\_\_\_\_ (Name of Client(s)) hereby, pursuant to the Securities and Futures Ordinance (Cap 571) Subsidiary Legislation Securities and Futures (Client Securities) Rules, authorize you, for a period of twelve months from the date hereof in relation to all securities purchased or held for or on my/our behalf to: -

- (i) deposit such securities as collateral for loans or advances made to you by an authorized institution as defined by the Banking Ordinance ;
- (ii) deposit such securities with Hong Kong Securities Clearing Company Limited as collateral for the discharge and satisfaction of your obligations and liabilities under the General Rules of the Central Clearing and Settlement System. I/We understand that Hong Kong Securities Clearing Company Limited will have a first fixed charge over my/our securities to the extent of your obligations and liabilities; and
- (iii) borrow or lend such securities for the purpose of the fulfillment of settlement obligations between members of The Stock Exchange of Hong Kong Limited (the "Exchange")

Such stock borrowing and lending are to be in accordance with the Exchange regulations. Any consideration payable by or to me/us for the borrowing, lending, or deposit of securities under this authorization is to be set by separate treaty.

You may do any of these things without giving me/us notice.

You remain responsible to me/us for securities borrowed, loaned, or deposited under this authorization.

I/We understand that such securities may be subject to liens of third parties and return of such securities to me/us may be subject to satisfaction of such liens.

The authorization given hereunder may be revoked by giving you a written notice addressed to your address specified in the margin client's agreement or such other address which you may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I/We understand that the authorization shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of the authorization, and I/we do not object to such deemed renewal before such expiry date.

Yours faithfully,

\_\_\_\_\_  
Client's Signature(s)

PowerSecurities Company Limited  
**U.S. Foreign Account Tax Compliance Act (FATCA)**  
**Due Diligence on Corporations and**  
**Registered Financial Institutions U.S. Indicia**

Account Number 客戶號碼 :

Client Name 客戶姓名: \_\_\_\_\_

Account Executive 客戶主任: \_\_\_\_\_

Declaration by Client

**Part A: Please tick and complete as appropriate:** 甲部: 請選擇合適選項: \_\_\_\_\_

- (a) The entity is a *Specified U.S. Person* and the entity's U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_.  
實體為特定美國人及其美國聯邦稅務身份編號 (U.S. TIN) 如下: \_\_\_\_\_.

- (b) The entity is a U.S. Person that is not a Specified U.S. Person.

實體為美國人而非特定美國人。

- (c) None of the above – Please complete Part B.

以上皆不是 – 請完成乙部。

**Part B: Entity FATCA Classification:** 乙部: FATCA 實體分類: \_\_\_\_\_

**B-1** If you are a *Registered Financial Institution*, please tick one of the below categories, and provide your *FATCA GIIN* 如果閣下是已註冊金融機構, 請選擇下列類別, 並提供 *FATCA* 全球中介人識別碼

- (a) Hong Kong or IGA Partner Jurisdiction Financial Institution 香港或跨政府協議司法管轄區夥伴金融機構  
 (b) Registered Deemed Compliant Foreign Financial Institution 已註冊的視作合規海外金融機構  
 (c) Participating Foreign Financial Institution 參與的外國金融機構

**B-1.1** Please provide your *Global Intermediary Identification number (GIIN)*: 請提供閣下的全球中介人識別碼 (*GIIN*):

\_\_\_\_\_

**B-2** If you are a *Financial Institution but unable to provide a GIIN*, please tick one of the below reasons: 如閣下是金融機構但無法提供 *GIIN*, 請選擇下列原因:

- (a) The Entity is a Model 1 Financial Institution and has not yet obtained a GIIN but intends to do so, if required. 實體為版本一之金融機構, 如有需要便將獲取 *GIIN*。
- (b) The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide: 實體為未獲得 *GIIN* 的受保薦金融機構但其保薦實體已經註冊。請提供:  
Sponsoring Entity's Name: Sponsoring Entity's GIIN: 保薦實體名稱: 保薦實體的 *GIIN*: \_\_\_\_\_
- (c) The Entity is a Trustee Documented Trust. Please provide: 實體為信託受託人管理的信託基金。請提供:  
Sponsoring Trustee's Name: Sponsoring Trustee's GIIN: 保薦信託受託人名稱: 保薦信託受託人 *GIIN*: \_\_\_\_\_



- (d) The Entity is a Certified Deemed Compliant, or otherwise Non-Reporting Foreign Financial Institution (including a Foreign Financial Institution deemed compliant under Annex II of an IGA, except for a Trustee Documented Trustor Sponsored Financial Institution). 實體為經認證的視作合規海外金融機構，或非報告的海外金融機構(包括於跨政府協議附件二下被視作合規的海外金融機構，信託受托人管理的信托基金或受保薦金融機構除外)。
- (e) The Entity is an Excepted Foreign Financial Institution. 實體為除外的海外金融機構。
- (f) The Entity is a Non-Participating Foreign Financial Institution. 實體為非參與的海外金融機構。

**B-3** If you are not a Foreign Financial Institution, please confirm the Entity's FATCA status below: 如閣下並非海外金融機構，請確認實體之FATCA身份：

- (a) The Entity is an **Exempt Beneficial Owner** 實體為豁免受益人
- (b) The Entity is an **Active Non-Financial Foreign Entity** (i.e., Active NFFE, including an Excepted NFFE) 實體為活躍式非金融海外實體 (即：活躍式NFFE, 包括除外的非金融海外實體)
- (c) The Entity is a **Passive Non-Financial Foreign Entity, and** 實體為被動式非金融海外實體，及
  - The Entity has no **Controlling Persons** that are U.S. citizen or resident in the U.S. for tax purposes; or 實體沒有控權人士是美國公民或居民；或
  - The Entity has provided details of any **Controlling Persons** that are U.S. citizen or resident in the U.S. for tax purposes. 實體已提供身為美國公民或居民的控權人士資料。

\_\_\_\_\_  
Authorized Signature (with Company Chop)

\_\_\_\_\_  
Date

**Declaration by Account Executive (Registered Person)**

I, \_\_\_\_\_, confirming that I have explained to the client of the above U.S. Indicia questionnaire in a language of the client understandable.

\_\_\_\_\_  
Registered Person's Signature

\_\_\_\_\_  
SFC CE Number

\_\_\_\_\_  
Date

**UPDATED INFORMATION FOR USERS OF FORM W-8BEN-E--  
USE OF FORM W-  
8BEN (REVISION DATE FEBRUARY 2006) BEFORE JANUARY 1, 20  
15**

The Form W-8BEN-E reflects changes made by the Foreign Account Tax Compliance Act (FATCA) and is for use by beneficial owners that are entities. Entities also may use the Form W-8BEN (revision date February 2006) through December 31, 2014.

For purposes of chapter 3 of the Internal Revenue Code, a Form W-8BEN (revision date February 2006) provided to a withholding agent by an entity before January 1, 2015 will remain valid until the form's validity expires under Treasury Regulations section 1.1441-1(e)(4)(ii).

For purposes of chapter 4 of the Internal Revenue Code, a Form W-8BEN (revision date February 2006) provided to a withholding agent by an entity before January 1, 2015 is and will remain valid to the extent permitted in Treasury Regulations section 1.1471-3(d)(1) (describing the allowance for use of a "pre-FATCA Form W-8"). See also Treasury Regulations section 1.1471-2T(a)(4)(ii) (describing a transitional exception to withholding for certain payments made with respect to a preexisting obligation).

A withholding agent may request that you provide a Form W-8BEN (revision date February 2006) before January 1, 2015. The Form W-8BEN (revision date February 2006) can be found on [irs.gov](http://irs.gov) in the Forms and Publications section, under the "Prior Year Forms" tab, by searching the cumulative list of forms posted there for the term "Form W-8". It does not reflect the changes made by FATCA.

Form **W-8BEN-E**

(Rev. July 2017)

Department of the Treasury  
Internal Revenue Service

**Certificate of Status of Beneficial Owner for  
United States Tax Withholding and Reporting (Entities)**

<sup>a</sup>For use by entities. Individuals must use Form W-8BEN. <sup>b</sup>Section references are to the Internal Revenue Code.  
<sup>a</sup> Go to [www.irs.gov/FormW8BENE](http://www.irs.gov/FormW8BENE) for instructions and the latest information.  
<sup>a</sup> Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form for:**

**Instead use Form:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . . . W-8IMY
- 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 that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) . . . . . W-8IMY

**Part I Identification of Beneficial Owner**

<b>1</b> Name of organization that is the beneficial owner	<b>2</b> Country of incorporation or organization												
<b>3</b> Name of disregarded entity receiving the payment (if applicable, see instructions)													
<b>4</b> Chapter 3 Status (entity type) (Must check one box only): <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Corporation</td> <td><input type="checkbox"/> Disregarded entity</td> <td><input type="checkbox"/> Partnership</td> </tr> <tr> <td><input type="checkbox"/> Simple trust</td> <td><input type="checkbox"/> Grantor trust</td> <td><input type="checkbox"/> Estate</td> </tr> <tr> <td><input type="checkbox"/> Central Bank of Issue</td> <td><input type="checkbox"/> Tax-exempt organization</td> <td><input type="checkbox"/> Government</td> </tr> <tr> <td><input type="checkbox"/> Private foundation</td> <td><input type="checkbox"/> International organization</td> <td></td> </tr> </table> If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III. <span style="float: right;"><input type="checkbox"/> Yes <input type="checkbox"/> No</span>		<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Government	<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization	
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<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization												
<b>5</b> Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).   <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 XII). See instructions.   <input type="checkbox"/> Sponsored FFI. Complete Part IV.  <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V.  <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.  <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.  <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII.  <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX.  <input type="checkbox"/> Owner-documented FFI. Complete Part X.  <input type="checkbox"/> Restricted distributor. Complete Part XI.                 </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII.  <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.   <input type="checkbox"/> International organization. Complete Part XIV.  <input type="checkbox"/> Exempt retirement plans. Complete Part XV.  <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI.  <input type="checkbox"/> Territory financial institution. Complete Part XVII.  <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII.  <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX.  <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.  <input type="checkbox"/> 501(c) organization. Complete Part XXI.  <input type="checkbox"/> Nonprofit organization. Complete Part XXII.  <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.  <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV.  <input type="checkbox"/> Active NFFE. Complete Part XXV.  <input type="checkbox"/> Passive NFFE. Complete Part XXVI.  <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII.  <input type="checkbox"/> Direct reporting NFFE.  <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.  <input type="checkbox"/> Account that is not a financial account.                 </td> </tr> </table>		<input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).  <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 XII). See instructions.  <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.  <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account.										
<input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).  <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 XII). See instructions.  <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.  <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account.												
<b>6</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address</b> (other than a registered address). <table style="width: 100%; border: none;"> <tr> <td style="width: 70%; border: none;">City or town, state or province. Include postal code where appropriate.</td> <td style="width: 30%; border: none;">Country</td> </tr> </table>		City or town, state or province. Include postal code where appropriate.	Country										
City or town, state or province. Include postal code where appropriate.	Country												
<b>7</b> Mailing address (if different from above) <table style="width: 100%; border: none;"> <tr> <td style="width: 70%; border: none;">City or town, state or province. Include postal code where appropriate.</td> <td style="width: 30%; border: none;">Country</td> </tr> </table>		City or town, state or province. Include postal code where appropriate.	Country										
City or town, state or province. Include postal code where appropriate.	Country												
<b>8</b> U.S. taxpayer identification number (TIN), if required	<b>9a</b> GIIN	<b>b</b> Foreign TIN											
<b>10</b> Reference number(s) (see instructions)													

**Note:** Please complete remainder of the form including signing the form in Part XXX.

**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 59689N

Form **W-8BEN-E** (Rev. 7-2017)

**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. 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 disregarded entity or 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) \_\_\_\_\_

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

- 14** I certify that (check all that apply):
- a**  The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- b**  The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- |  |   |
|--|---|
| <input type="checkbox"/> Government                                  | <input type="checkbox"/> Company that meets the ownership and base erosion test                         |
| <input type="checkbox"/> Tax exempt pension trust or pension fund    | <input type="checkbox"/> Company that meets the derivative benefits test                                |
| <input type="checkbox"/> Other tax exempt organization               | <input type="checkbox"/> Company with an item of income that meets active trade or business test        |
| <input type="checkbox"/> Publicly traded corporation                 | <input type="checkbox"/> Favorable discretionary determination by the U.S. competent authority received |
| <input type="checkbox"/> Subsidiary of a publicly traded corporation | <input type="checkbox"/> Other (specify Article and paragraph): _____                                   |
- c**  The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15** **Special rates and conditions** (if applicable—see instructions):  
 The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
 Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Part IV Sponsored FFI**

- 16** Name of sponsoring entity: \_\_\_\_\_
- 17** **Check whichever box applies.**
- 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.
- 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 V Certified Deemed-Compliant Nonregistering Local Bank**18  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 a foreign financial institution, other than a foreign financial institution 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.

**Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts**19  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 entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

20 Name of sponsoring entity: \_\_\_\_\_

21  I certify that the entity 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 20; **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 if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

**Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity**22  I certify that the entity 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 IX Certain Investment Entities that Do Not Maintain Financial Accounts**23  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 X Owner-Documented FFI**

**Note:** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a  (All owner-documented FFIs check here) 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 owned by or in an expanded affiliated group with an entity 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;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

**Part X** Owner-Documented FFI (continued)**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 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), and chapter 4 status 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.
  - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c**  I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of 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 of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

**Check box 24d if applicable** (optional, see instructions).

- d**  I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

**Part XI** Restricted Distributor

**25a**  (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 an 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.

**Check box 25b or 25c, 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, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Part XII Nonreporting IGA FFI**

- 26  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);
  - If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor \_\_\_\_\_ . The trustee is:  U.S.  Foreign

**Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue**

- 27  I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XIV International Organization****Check box 28a or 28b, whichever applies.**

- 28a  I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b  I certify that the entity identified in Part I:
- Is comprised primarily of foreign governments;
  - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
  - The benefit of the entity's income does not inure to any private person; **and**
  - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XV Exempt Retirement Plans****Check box 29a, b, c, d, e, or f, whichever applies.**

- 29a  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 (see Part III if claiming treaty benefits);
  - 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.

**Part XV Exempt Retirement Plans** *(continued)*

- 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.
- 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, or 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 XVI Entity Wholly Owned by Exempt Beneficial Owners**

- 30  I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
  - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
  - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
  - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

**Part XVII Territory Financial Institution**

- 31  I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

**Part XVIII Excepted Nonfinancial Group Entity**

- 32  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 XIX Excepted Nonfinancial Start-Up Company**

- 33  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;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **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 XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 34  I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on \_\_\_\_\_;
  - During the past 5 years has not been engaged 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, 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 XXI 501(c) Organization**

- 35  I certify that the entity identified in Part I is a 501(c) organization that:
- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated \_\_\_\_\_; **or**
  - Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

**Part XXII Nonprofit Organization**

- 36  I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.
- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
  - The entity is exempt from income tax in its country of residence;
  - The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
  - Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
  - The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

**Part XXIII 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 \_\_\_\_\_ (name one securities exchange upon which the stock is regularly traded).
- 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 XXIV 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;
  - 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; **or**
    - (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; **and**
  - 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.

**Part XXV Active NFFE**

- 39  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 instructions for the definition of passive income).

**Part XXVI Passive NFFE**

- 40a  I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

**Check box 40b or 40c, whichever applies.**

- b  I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**
- c  I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

**Part XXVIII Exceeded Inter-Affiliate FFI**

- 41**  I certify that the entity identified in Part I:
- Is a member of an expanded affiliated group;
  - Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
  - Does not make withholdable payments to any person other than to members of its expanded affiliated group;
  - Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
  - Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

**Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)**

- 42** Name of sponsoring entity: \_\_\_\_\_
- 43**  I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

**Part XXIX Substantial U.S. Owners of Passive NFFE**

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

**Part XXX 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. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W;
- The entity identified on line 1 of this form is not a U.S. person;
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income; **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

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

**Sign Here**



\_\_\_\_\_  
Signature of individual authorized to sign for beneficial owner

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date (MM-DD-YYYY)

- I certify that I have the capacity to sign for the entity identified on line 1 of this form.

**BOARD RESOLUTION**

Company Name: \_\_\_\_\_ Certified time copy of  
 resolutions passed in the meeting of the board of the company duly held at  
 \_\_\_\_\_ (Date & Time) in \_\_\_\_\_  
 \_\_\_\_\_ (Venue) of which the  
 quorum was present and acting throughout the meeting.

Present: (Chairman) \_\_\_\_\_  
 (Director(s)) \_\_\_\_\_

\_\_\_\_\_ Opening Securities Trading Account(s) with Power Securities Company Limited.

**IT WAS RESOLVED THAT:**

1. securities trading account(s) (the “**Account**”) be opened and maintained with Power Securities Company Limited (“**PS**”) for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in securities as the company may instruct PS as its agent to effect from time to time on behalf of the company and that the Account be maintained and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with such terms and conditions as may from time to time be prescribed for the Account(s) by PS, the Client’s Information, Cash Client’s Agreement or Margin Client’s Agreement and other supplementary documents of PS tabled and considered by the Directors;

2. any of the following persons be and are/is hereby appointed as Authorized Signers (the “**Authorized Signatories**”) and be authorized:

- a. to sign, execute and deliver any and all agreements, consents, letters of instructions or other documents required by PS for the settlement of future contract transactions with PS in connection with the opening of the Account(s);
- b. to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and
- c. to make, execute and deliver any and all written endorsements and documents necessary to effect the authority conferred by this resolution:

Name	ID/Passport No.	Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

3. any of the following persons be and are/is hereby appointed as Authorized Trader of the company (the “**Authorized Trader**” or “**AT**”) and be authorized to give orders or trading instructions to PS, whether in writing, verbally or otherwise, in respect of any transaction of the Account(s) on behalf of and in the name of the company.

Any order or trading instruction(s) given by the Authorized Traders shall be absolutely binding on the company. PS shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Trader in giving any orders or instructions. The company accepts full responsibility for all oral and/or written orders or instructions given by the Authorized Trader on the company's behalf:

Name	ID/Passport No.	Specimen Signature
_____	_____	X_____
_____	_____	X_____
_____	_____	X_____

4. the company shall notify PS of any changes which may render the information in the Client's Information untrue or misleading;
5. without prejudice to paragraphs 2 and 3 above, the Cash or Margin Client Agreement including the Risk Disclosure Statements enclosed herein of PS (which had been tabled and considered by the Board) be approved and any one of the Authorized Signatories is hereby authorized to sign, execute on the Company's behalf the Cash or Margin Client's Agreement and sign, execute and complete all other relevant documents and acknowledge that he/she is aware of the potential risk involved on the Company's behalf in connection with the opening and operation of the Account(s); and
6. PS be provided with any documents which it may reasonably require in connection with the opening and operation of the Account(s), including, without limitation, copies of identity card/passport of the Directors, the Authorized Traders and the Authorized Signatories, the certificate of incorporation, business registration certificate and the memorandum and articles of association or other constitutional documents, the financial statements and certified extracts of any resolution relating to the Account(s).

**CERTIFICATE**

I, the undersigned, hereby certify that the foregoing is a full, true and correct copy of the resolution duly and regularly passed and adopted by the Board of Directors of our company duly convened; that the said resolution appears in the minutes of our company; and that the same have not been rescinded or modified and are now in full force and effect. I, the undersigned, further certify that our company is duly organized and existing, and has the power to take the action called for in the foregoing resolution.

**Chairman Signature & Date : X\_\_\_\_\_**