

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

(Rev. July 2017)

Department of the Treasury  
Internal Revenue Service

► **For use by individuals. Entities must use Form W-8BEN-E.**  
► **Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.**  
► **Give this form to the withholding agent or payer. Do not send to the IRS.**

OMB No. 1545-1621

**Do NOT use this form if:**

**Instead, use Form:**

- You are NOT an individual . . . . . **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) . . . . . **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . **8233 or W-4**
- You are a person acting as an intermediary . . . . . **W-8IMY**

**Note:** If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner (see instructions)**

<b>1</b> Name of individual who is the beneficial owner		<b>2</b> Country of citizenship	
<b>3</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>			
City or town, state or province. Include postal code where appropriate.		Country	
<b>4</b> Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		<b>6</b> Foreign tax identifying number (see instructions)	
<b>7</b> Reference number(s) (see instructions)		<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

**9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

**10 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 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III 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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named 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 applicable income tax treaty, or
  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, 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 I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **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 beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

\_\_\_\_\_  
Print name of signer Capacity in which acting (if form is not signed by beneficial owner)

只供参考之用  
For your reference only

填写 W-8BEN 表格的注意事项:

- 需用英文大楷填写
- 不可涂改
- 联名账户需独立填写两份 W-8BEN 表格

Form <b>W-8BEN</b> (Rev. July 2017) Department of the Treasury Internal Revenue Service	<b>Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)</b> ▶ For use by individuals. Entities must use Form W-8BEN-E. ▶ Go to <a href="http://www.irs.gov/FormW8BEN">www.irs.gov/FormW8BEN</a> for instructions and the latest information. ▶ Give this form to the withholding agent or payer. Do not send to the IRS.	A3 OMB No. 1545-1621
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  - You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
  - You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) . . . . . W-8ECI
  - You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
  - You are a person acting as an intermediary . . . . . W-8IMY

**Note:** If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner (see instructions)**

1 Name of individual who is the beneficial owner [Redacted] <b>1</b>	2 Country of citizenship [Redacted] <b>2</b>
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. [Redacted]	
City or town, state or province. Include postal code where appropriate. <b>3</b>	Country [Redacted]
4 Mailing address (if different from above) [Redacted]	
City or town, state or province. Include postal code where appropriate. <b>4</b>	Country <b>5</b> [Redacted]
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	6 Foreign tax identifying number (see instructions)
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YY) (see instructions) [Redacted] <b>6</b>

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

9 I certify that the beneficial owner is a resident of [Redacted] **7** within the meaning of the income tax treaty between the United States and that country.

10 **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 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

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- The income to which this form relates is:
  - (a) not effectively connected with the conduct of a trade or business in the United States,
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  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, 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 I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here** ▶

[Redacted Signature] <b>8</b>	[Redacted Date] <b>9</b>
Signature of beneficial owner (or individual authorized to sign for beneficial owner)	Date (MM-DD-YYYY)
[Redacted Name] <b>10</b>	[Redacted Capacity] <b>11</b>
Print name of signer	Capacity in which acting (if form is not signed by beneficial owner)

请填写以下部分:

- 1** 客户英文姓名 (必须与开户文件的英文姓名相同)
- 2** 填写国籍 (及其他国籍 (如有))
- 3** 使用英文填写住宅地址
- 4** 使用英文填写通讯地址 (若通讯地址与住宅地址相同,则不用填写)
- 5** 填写国家 (不要缩写)
- 6** 按‘月月-日日-年年年’格式填写出生日期 (例: 08-15-1987)
- 7** 第二部份: 留空
- 8** 签署 (样式须与其他开户文件保持一致)
- 9** 按‘月月-日日-年年年’格式填写完成表格的日期 (例: 08-15-2017)
- 10** 客户姓名
- 11** 填写阁下的 11 位数字之中银国际证券账户号码

只供参考之用  
For your reference only

**Reminders of filling in the W-8BEN form:**

- To be completed in **block letters**
- **No** corrections are allowed
- For Joint Account: **Two** separate W-8BEN forms are required

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**Note:** If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner (see instructions)**

1 Name of individual who is the beneficial owner <span style="float: right;">1</span>	2 Country of citizenship <span style="float: right;">2</span>
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate <span style="float: right;">3</span>	Country <span style="float: right;">4</span>
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate <span style="float: right;">4</span>	Country <span style="float: right;">5</span>
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	6 Foreign tax identifying number (see instructions)
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions) <span style="float: right;">6</span>

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

9 I certify that the beneficial owner is a resident of 7 within the meaning of the income tax treaty between the United States and that country.

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**Sign Here** ▶

_____ <span style="float: right;">8</span> Signature of beneficial owner (or individual authorized to sign for beneficial owner)	_____ <span style="float: right;">9</span> Date (MM-DD-YYYY)
_____ <span style="float: right;">10</span> Print name of signer	_____ Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

**Please fill in the following sections:**

- 1 Customer Name (Same as application form)
- 2 Fill in Nationality (other Nationality (if any), do not abbreviate)
- 3 Fill in residential address in English
- 4 Fill in mailing address in English (Only fill in if it is different from the residential address)
- 5 Fill in Country (Do not abbreviate)
- 6 Must follow the format "Month-Day-Year" (example 08-15-1987)
- 7 Part II – Leave it blank
- 8 Signature (Same as application form)
- 9 Date of filling in the form, in format "Month-Day-Year" (example 08-15-2017)
- 10 Customer Name
- 11 Fill in your 11 digits BOCI Securities Account Number