



Matthews Asia

matthewsasia.com

Matthews Asia Funds Institutional Account Opening Form

PLEASE READ AND CONSIDER THE RELEVANT PROSPECTUS BEFORE COMPLETING THIS ACCOUNT OPENING FORM.

Please complete using
block capitals,
sign and return to:

Matthews Asia Funds
Transfer Agency

Brown Brothers Harriman
(Luxembourg) S.C.A.

80 Route d'Esch,
L-1470 Luxembourg

Tel:
+352 474 066 7133

Fax:
+352 474 066 7134

1. Account Registration Details

Company Name/Name of Registered Holder:

Account Designation:

If applicable

Registered Address:

No P.O. Box or C/o addresses.

Street Address _____

City _____ Postal Code _____ Country _____

Contact Name _____

Telephone Number _____ Fax Number _____

Correspondence Address:

If different from registered address.

Mailing Address, PO Box or C/o _____

City _____ Postal Code _____ Country _____

2. Type of Investor

- The subscriber is a Direct Investor
- The subscriber is a Financial Intermediary
 - The subscriber is a Custodian for a single investor (i.e. fund, trust)
 - The subscriber is a Nominee for multiple investors who are the ultimate beneficial owners of the Shares
 - The subscriber is a Nominee for a single investor who is the ultimate beneficial owner of the Shares
 - The subscriber is a platform
 - The participant is investing for its own account
 - The participant is investing for multiple investors who are the ultimate beneficial owners of the Shares
- We confirm, the subscriber/participant is an appointed distributor.

Matthews Asia Funds
Institutional Investor
Account Opening Form
Page 1 of 6

G-APP-LUX-INST 0518

3. Financial Adviser/Intermediary Details

Please complete if submitting application through a financial adviser or other third party.

Name of Adviser		Financial Adviser Number
Name of Company		
Mailing Address		
City	Postal Code	Country
Telephone Number	Fax Number	

Professional Adviser Stamp

We hereby confirm that we have verified the identity of the investor(s) and related parties (e.g. power of attorney holder) by viewing original identification documents. Copies of these documents will be kept by us for a minimum of six years after the termination of the relationship. Certified true copies of said identification documents will be provided to the Fund and/or the Administrator upon request.

X

Financial Adviser's Signature

Dealing instructions from a Professional Adviser may be acted upon in the case where an original Power Of Attorney (POA) is in place. Please forward a duly signed original POA or discretionary agreement which evidences in writing that POA has been granted to the professional adviser. Please provide identification documents of POA holder(s) as per the Anti-Money Laundering (AML) requirements outlined in section 10 of this document.

4. Tax Information

Declaration of Tax Residency

(Note: Declaration of tax residency is requested in the context of the OECD Common Reporting Standard ("CRS"), an initiative to implement automatic exchange of financial account information on a global basis.)

Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers).

Country of Tax Residency	Tax ID Number
_____	_____
_____	_____
_____	_____

Entity's FATCA Classification

Financial Institutions:

If the Entity is a Financial Institution, please tick one of the below categories, and provide the Entity's GIIN below.

- I. Luxembourg Financial Institution or a Partner Jurisdiction Financial Institution
 II. Registered Deemed Compliant Foreign Financial Institution
 III. Participating Foreign Financial Institution

Please provide the Entity's Global Intermediary Identification number (GIIN) _____

If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the below reasons:

- I. Partner Jurisdiction Financial Institution and has not yet obtained a GIIN
 II. The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN

Please provide the sponsor's name and sponsor's GIIN :

Sponsor's Name: _____ Sponsor's GIIN: _____

- III. Exempt Beneficial Owner
 IV. Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)
 V. Non-Participating Foreign Financial Institution
 VI. Excepted Foreign Financial Institution
 VII. U.S. person but not a Specified U.S. person

Non-Financial Institutions:

If the Entity is not a Financial Institution, please confirm the Entity's FATCA status below:

- I. The Entity is an Active Non-Financial Foreign Entity
 II. The Entity is a Passive Non-Financial Foreign Entity (If the Entity is a Passive Non-Financial Foreign Entity, please provide details of any Controlling Persons (whose percentage of ownership is 25% or greater) which are U.S. citizens or resident in the U.S. for tax purposes. The term Controlling Persons is to be interpreted in a manner consistent with the recommendations of the Financial Action Task Force.
 III. The Entity is an Excepted Non-Financial Foreign Entity

Full Name Date of Birth

Full Residence Address

Details of Controlling Person's Beneficial Ownership

Tax Reference Number

- IV. The Entity is a U.S. person but not a Specified U.S. person

5. Bank Account Details

The bank account details below shall apply to all electronic wires to and from this account.

Name of Account (must be in the name of the shareholder)

Account Number Bank

SWIFT Code

Address of Bank

City Postal Code Country

Currency of Bank Account

I am/we are instructing through a clearing house or dealing platform (only applicable if funds eligible as per prospectus):

- Clearstream Fundsettle
 Euroclear EMX
 Vestima

Participant Number

Investors who wish to invest in other currencies should contact the Transfer Agency.

6. Investment Details

Please indicate in which funds you wish to invest:

Fund Name	ISIN Code	Amount to Invest	Currency (EUR, USD, GBP, HKD, JPY)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

If you are already invested in Matthews Asia Funds, please provide your client account number: _____

7. Wire Transfer Instructions

Total subscription amount payable to be remitted indicating shareholder's name, account number and deal reference (if known) to the following bank details:

Currency	Correspondent Bank	In favour of	For account of	Account #	Reference
EUR	HSBC Bank PLC, London MIDLGB22 GB49MIDL40051537860431	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
GBP	Barclays Bank PLC BARCGB22 GB77BARC20325353623157	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
USD	Citibank NA, New York Swift CITIUS33 9250276	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
HKD	The Hong Kong and Shanghai Banking Corporation Ltd, Hong Kong HSBCHKHH 002893337001	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
JPY	BOTKJPJT The Bank of Japan Mitsubishi UFJ Ltd, Tokyo 653 0415103	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number

8. Distribution Options

All distributions will be reinvested unless otherwise indicated.

- Reinvest
- Cash. *If no bank details are provided, reinvest option will apply.*

9. Key Investor Information Document

Investors with accounts serviced in the EU/EEA or in a country where the Key Investor Information Document (KIID) is a mandatory document are required to complete this section.

- I/We hereby confirm that I/we have received and read the Key Investor Information Document for the Share Class(es) in which I/we wish to invest. I/We confirm that any future investments to any other Sub-Fund or Share Class of the Matthews Asia Funds as referenced within this form can also be transacted based on this confirmation.

Please tick the box below if you would like to benefit from electronic access to Key Investor Information Documents and make sure that your email address is stated in Section 1 above.

- I/We agree and consent to access Key Investor Information Document(s) required for any future investments to any other share class of the Matthews Asia Funds by accessing global.matthewsasia.com/KIID.

10. General Provisions

AML documentation required:

- ✓ *In the case of a corporation or other legal entity, as a minimum:*
 - ✿ A certified true copy of the Certificate of Incorporation or recent extract of public company register and Articles of Association.
 - ✿ A current and dated authorised signatory list on company letterhead. An original copy or a certified true copy signed on each page in wet ink.

10. General Provisions *(continued)*

✓ *In the case of Power of Attorney (POA):*

- ✳ Certified true copies of identification documents, including the POA and an authorised signature list of the POA holder(s), must be received and validated by the Transfer Agency (Administrator) before the POA becomes effective.

The Company and the Administrator reserve the right to ask for additional identification documents depending on the nature of the legal entity and jurisdiction.

Declarations and Signature(s):

As a shareholder, I/we by signing hereunder expressly declare, acknowledge and confirm the following:

- ✳ Subscription orders will only be accepted if all supporting registration documentation have been received and validated by the Transfer Agency before the relevant cut-off time as detailed in the latest copy of the prospectus.
- ✳ I/We have read a copy of the latest prospectus of the fund and am/are fully aware of and understand the financial risk associated with a subscription to the fund and I/we accept that any market fluctuations may lead to a loss of all or part of my/our investment.
- ✳ I/We agree to transfer the correct subscription amount in the correct currency within the prescribed time limit to the correct bank account. I/We understand that in the case of late payment or non-payment of the correct subscription amount the subscription may be cancelled and the fund may take action, non-judicial or otherwise against me/us/our representative in order to recover any losses or costs incurred as a result of late or non-payment.
- ✳ I am/We are not a US Person (see prospectus for definition) and am/are not applying for shares on behalf of any US Person.
- ✳ When making and signing an application as joint-holders, all registered holders must jointly authorize any dealing or other instructions in writing unless a separate signing authority has been confirmed under section 1 of this document. For additional joint-holders a separate notice must be completed and returned to the Transfer Agency.

Data Protection:

- ✳ Pursuant to the provisions of the applicable Luxembourg data protection law, and, as of 25 May 2018, of the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (the “**Data Protection Law**”), the Investor is informed that any personal data that is furnished in connection with an investment in Matthews Asia Funds (the “Fund”) may be held on computers and processed by the Fund, acting as data controller.

Personal data processed may include: the name, address, tax identification number(s), date and place of birth, account number, data on transactions, trading and settlement of the Investor’s contact person(s) and/or beneficial owner(s) (the “**Personal Data**”).

- ✳ The Investor undertakes and guarantees to process Personal Data and to supply such Personal Data to the Fund in compliance with the Data Protection Law, including, where appropriate, informing the data subjects (i.e. contact person(s) and/or beneficial owner(s)) concerned of the contents of the present clause “Data protection”, in accordance with Articles 12, 13 and/or 14 of the Regulation n°2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data.
- ✳ Investors may refuse to communicate Personal Data to the Fund, in this case however, the Fund may reject their request for shares in the Fund.
- ✳ Personal Data may be processed for the purposes of (i) carrying out the services required by the investor, of the Investment Manager, Global Distributor, Distributors or Administrative Agent and, to (ii) administering the holdings in the Fund, (iii) maintaining the register of investors, (iv) complying with the Fund’s legal obligations, including legal its obligations under applicable company law and anti-money laundering legislation as well as other applicable regulation like the FATCA Law and the CRS Law (as defined below under section “Taxation – 4. FATCA and CRS”).
- ✳ The Investor is hereby informed that the Personal Data may be transferred to the Fund’s data recipients (the “Recipients”) which includes Brown Brothers Harriman (Luxembourg) S.C.A., acting as Custodian, Administrative Agent, Domiciliary Agent, Paying Agent, Registrar and Transfer Agent for Matthews Asia Funds, as well as other entities within the Brown Brothers Harriman & Co. group (the “BBH Entities”), the Investment Manager, Global Distributor, Distributors or their delegates, regulatory bodies with competent jurisdiction over any of the BBH Entities, tax authorities, and with other third parties including the Investor’s financial advisors (where appropriate), auditors and technology providers, for the purposes specified above.
- ✳ The Investor is informed that the Recipients collect, use, process, share, store and, under their own responsibility, transmit Personal Data for any of the purposes described above. The Recipients may, as the case may be, process Personal Data as data processors (when processing Personal Data upon the Fund’s instructions, to assist the Fund in the context of the aforementioned purposes) or as distinct data controllers (when processing Personal Data for their own purposes).
- ✳ The Investor is informed that its Personal Data will be shared on a cross-border basis between and among the Recipients, acting under their own responsibility, which are located in various jurisdictions.

Recipients may be located outside the European Economic Area (the “EEA”) in countries that do not offer an adequate level of protection to personal data, including the United States of America, Hong Kong, Japan, and the Cayman.

In such cases, said transfers shall be made on the basis of adequate contractual arrangements, which may take the form of the European Commission “Model Clauses”. A copy of such “Model Clauses” may be obtained by writing to the Fund at Matthews Asia Funds, 80, route d’Esch, L-1470 Luxembourg or via email at privacy@matthewsasia.com.

The Personal Data may also be disclosed to the Luxembourg tax authorities, which in turn may acting as data controller, disclose the same to foreign tax authorities.

Moreover, the Investor is hereby informed that the Fund acting as data controller collects, stores and processes the Personal Data for the purpose of fulfilling the services required by the Investor and complying with its legal obligations such as: (i) maintaining the register of Investors; (ii) processing subscriptions, redemptions and conversions of shares and payments of dividends to Investors; (iii) maintaining controls in respect of late trading and market timing practices; (iv) complying with applicable anti-money laundering rules; and (v) marketing.

10. General Provisions *(continued)*

- ✳ Under certain conditions set out by the Data Protection Law, the Investor is moreover hereby informed that (i) it has a right to access its Personal Data, (ii) to ask for a rectification thereof in cases where such Personal Data is inaccurate or incomplete, (iii) to object to the processing of its Personal Data, (iv) to ask for deletion of such data, and (v) to ask for data portability. The Investor may exercise the rights thereto by contacting the Fund in writing in this regard at Matthews Asia Funds, 80, route d'Esch, L-1470 Luxembourg or via email at privacy@matthewsasiasia.com.
- ✳ Each Investor also has a right to lodge a complaint with the Luxembourg data protection Authority (CNPD).
- ✳ Personal Data shall not be held for longer than necessary with regard to the purpose of the data processing, subject to statutory periods of limitation.

Fax & Email Indemnity:

- ✳ I/We confirm that the Company and the Administrator may receive and act upon my/our faxed instructions, which the Administrator believes has been given in good faith. I/We agree to hold the Administrator harmless and to indemnify the Administrator for any loss or damage, which the Administrator may suffer as a result of acting on such faxed instructions. I/We agree that the Transfer Agency will not accept any transaction instructions or requests to change of any account static data by email.
- ✳ The fund or its Agent shall communicate to me/us at my/our own risk. I/we agree to accept communications conveyed by electronic means such as facsimile or email and acknowledge that these are not secure forms of communication, which may accordingly give rise to higher risks of manipulation or attempted fraud, for which the Manager of any of its delegates shall have no liability.
- ✳ I/We consent to details relating to my/our application and holdings being accessed by or disclosed to the Company's Promoter/Investment Manager, Matthews International Capital Management, LLC, and those Matthews International Capital Management, LLC companies to which it delegates marketing and investor servicing duties.

Fax Instructions:

We will accept instructions sent via fax, unless you mark the following box. If you mark the box then we will only accept instructions via original letter/form.

I/We confirm that the Company and the Administrator is NOT to act upon my/our faxed instructions.

Beneficial Owner Declaration:

I am/We are investing on my/our own behalf and I am/we are the ultimate economic beneficiary(ies) of the funds and any subsequent income invested.

I am/We are investing on behalf of a third party who is the ultimate economic beneficiary of the funds and any subsequent income invested. If investing on behalf of a third party, the third party has to be fully identified.

For UK Residents:

Matthews Asia Funds has elected to be 'Reporting Funds' for UK tax purposes. If you invest in the Matthews Asia Funds, you will need to review the yearly information posted at global.matthewsasiasia.com/uktax and include the relevant details on your UK tax return.

Declarations and Undertakings

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect.

X

Authorised Signature 1 Full Name (in block capitals)

Capacity in which declaration is made Job Title

X

Authorised Signature 2 Full Name (in block capitals)

Capacity in which declaration is made Job Title

X

Authorised Signature 3 Full Name (in block capitals)

Capacity in which declaration is made Job Title

X

Authorised Signature 4 Full Name (in block capitals)

Capacity in which declaration is made Job Title

Date

Place



CRS Self-Certification (Entity)

Please read before completing this form:

Tax authorities require Matthews Asia Funds to collect and report certain information about Account Holder's tax residency status. To enable Matthews Asia Funds to comply with its obligation to report to the relevant tax authorities, you are required to state the residency for tax purposes of the person or persons identified as the holder(s) of a Financial Account. On this form these persons are cumulatively referred to as the Account Holder(s).

1. Account Holder Information

Account Holder—The person listed or identified as the holder of a Financial Account. The name of the Account Holder should be provided. If the person opening the account is not a Financial Institution and is acting as an intermediary, agent, custodian, nominee, signatory, investment advisor or legal guardian on behalf of one or more other account holders this form must be completed by or on behalf of that other person who is referred to as the Account Holder.

_____		_____	
Legal Entity Name		Country of Incorporation or Organisation	

Permanent Residence Address (if none, Address of Principal Office)			
_____		_____	_____
City/Town		State/Province	Postal Code

GIIN (if any)		Sponsoring Entity's Name (if entity is a sponsored entity and providing sponsor's GIIN)	

2. Tax Residence

Please provide details for all jurisdictions in which the Account Holder is resident for tax purposes. If the entity has no residence for tax purposes, enter the country in which its place of effective management is situated.

Taxpayer Identification Number (TIN)—A taxpayer identification number (TIN) or functional equivalent should be provided for each country of residence for tax purposes identified. A TIN is a unique combination of letters and/or numbers assigned to the individual by a government, or its tax authorities, which is used to identify the account holder for the purposes of administering taxes. In some countries this may be a number that is specifically referred to as a TIN, while other countries may use other numbers (such as a social insurance number) to identify their residents for tax purposes.

_____	_____	<input type="checkbox"/>
Country of Tax Residence 1	Taxpayer Identification Number 1	TIN Unavailable
_____	_____	<input type="checkbox"/>
Country of Tax Residence 2	Taxpayer Identification Number 2	TIN Unavailable
_____	_____	<input type="checkbox"/>
Country of Tax Residence 3	Taxpayer Identification Number 3	TIN Unavailable

TIN Unavailable Explanation(s)—If any "TIN Unavailable" box is checked, please provide an explanation.

I certify the tax residence countries provided represent all countries in which the entity is considered a tax resident.
If Account Holder has additional countries of tax residence please attach a statement to this form containing the Country and TIN for each.

3. CRS Status

FINANCIAL INSTITUTION—A entity that falls into any of the following categories:

- Custodial Institution**—any entity that holds, as a substantial portion of its business, Financial Assets for the account of others. See Annex for definition of "substantial portion".
- Depository Institution**—An entity that accepts deposits in the ordinary course of a banking or similar business.
- Investment Entity**—any Entity that either:
 - primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - individual and collective portfolio management; or
 - otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; OR
 - the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by a Financial Institution.
- Specified Insurance Company**—any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Is the Account Holder a Financial Institution?

Yes (If "Yes" complete the Financial Institution certification)

FINANCIAL INSTITUTION (FI)

Is the entity an Investment Entity managed by an FI?
See *Financial Institution definition above—section 3(b)*

- Yes** (If any tax residence country provided is not a participating CRS jurisdiction, then complete the Controlling Persons Attachment.)
- No**

No (If "No" complete the Nonfinancial Institution certification)

NONFINANCIAL ENTITY (NFE)

Select the category of NFE which applies to the entity. See Annex for definitions of NFE categories. Select only single category. If the category is "Passive NFE", then complete the Controlling Persons attachment.

- Governmental Entity, International Organisation, or Central Bank**
- A corporation the stock of which is regularly traded on an established securities market (or entity related to such a corporation)**
Name of Securities Market: _____
Name of Related Entity: _____
- A Start-up Company formed in the past 24 months**
Please provide the date of the entity was organised: _____
- Other Active NFE** (See Annex for other categories)
- Passive NFE** (Complete Controlling Persons attachment)

4. Declarations and Signature

- * I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing my/the Account Holder's relationship with Matthews Asia Funds setting out how Matthews Asia Funds may use and share the information supplied by me to Matthews Asia Funds.
- * I acknowledge and agree that information contained in this form and information regarding the account(s) set out above may be reported to the tax authorities of the country in which the account is maintained and those tax authorities or Matthews Asia Funds may provide the information to the country or countries in which I/the Account Holder am/is resident for tax purposes.
- * Where required, I agree to provide a waiver to allow this information to be reported to the competent authorities.
- * I undertake to advise Matthews Asia Funds promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide Matthews Asia Funds with a suitably updated Certification within 30 days of such change in circumstances.
- * I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.
- * I declare that all statements made on this form/in this declaration are, to the best of my knowledge and belief, true correct and complete. I agree that I will submit a new form within up-to 90 days if any certification on this form becomes incorrect.

Name of Signer

Capacity in which Signing (if not signed by account holder)

Date (DD/MM/YYYY)

Signature

Controlling Persons Attachment

Please provide the information requested below on the Account Holder's controlling person(s) if you have indicated that the Account Holder is for CRS purposes a Passive NFE or an investment entity managed by a financial institution with a tax residence in a non-CRS jurisdiction.

Controlling Persons—The natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term Controlling Persons must be interpreted in a manner consistent with the Financial Action Task Force Recommendations (See FATF Recommendation 10—Customer Due Diligence).

This attachment is considered an integral part of the self-certification to which it is associated.

If there is a change in Controlling Persons, please submit an updated attachment within 30 days.

If Account Holder has additional Controlling Persons, provide multiple Controlling Persons attachments.

1. Controlling Person

First Name		Family Name/Surname	
Current Residence Address			
City/Town	State/Province	Postal Code	Country (do not abbreviate)
Date of Birth (DD/MM/YYYY)	Town/City of Birth	Country of Birth	
Country of Tax Residence 1	Taxpayer Identification Number 1	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 2	Taxpayer Identification Number 2	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 3	Taxpayer Identification Number 3	<input type="checkbox"/> TIN Unavailable	
TIN Unavailable Explanation(s) —If any "TIN Unavailable" box is checked, please provide an explanation.			
Controlling Person Type			
Legal Person:	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Other Means	<input type="checkbox"/> Senior Managing Official
Legal Arrangement—Trust:	<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector
Legal Arrangement—Other:	<input type="checkbox"/> Settlor-Equivalent	<input type="checkbox"/> Trustee-Equivalent	<input type="checkbox"/> Protector-Equivalent
		<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Other
		<input type="checkbox"/> Beneficiary-Equivalent	<input type="checkbox"/> Other-Equivalent

2. Controlling Person

First Name		Family Name/Surname	
Current Residence Address			
City/Town	State/Province	Postal Code	Country (do not abbreviate)
Date of Birth (DD/MM/YYYY)	Town/City of Birth	Country of Birth	
Country of Tax Residence 1	Taxpayer Identification Number 1	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 2	Taxpayer Identification Number 2	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 3	Taxpayer Identification Number 3	<input type="checkbox"/> TIN Unavailable	
TIN Unavailable Explanation(s) —If any "TIN Unavailable" box is checked, please provide an explanation.			
Controlling Person Type			
Legal Person:	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Other Means	<input type="checkbox"/> Senior Managing Official
Legal Arrangement—Trust:	<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector
Legal Arrangement—Other:	<input type="checkbox"/> Settlor-Equivalent	<input type="checkbox"/> Trustee-Equivalent	<input type="checkbox"/> Protector-Equivalent
		<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Other
		<input type="checkbox"/> Beneficiary-Equivalent	<input type="checkbox"/> Other-Equivalent

3. Controlling Person

First Name		Family Name/Surname	
Current Residence Address			
City/Town	State/Province	Postal Code	Country (do not abbreviate)
Date of Birth (DD/MM/YYYY)	Town/City of Birth	Country of Birth	
Country of Tax Residence 1	Taxpayer Identification Number 1	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 2	Taxpayer Identification Number 2	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 3	Taxpayer Identification Number 3	<input type="checkbox"/> TIN Unavailable	
TIN Unavailable Explanation(s) —If any "TIN Unavailable" box is checked, please provide an explanation.			
Controlling Person Type			
Legal Person:	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Other Means	<input type="checkbox"/> Senior Managing Official
Legal Arrangement—Trust:	<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector
Legal Arrangement—Other:	<input type="checkbox"/> Settlor-Equivalent	<input type="checkbox"/> Trustee-Equivalent	<input type="checkbox"/> Protector-Equivalent
		<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Other
		<input type="checkbox"/> Beneficiary-Equivalent	<input type="checkbox"/> Other-Equivalent

4. Controlling Person

First Name		Family Name/Surname	
Current Residence Address			
City/Town	State/Province	Postal Code	Country (do not abbreviate)
Date of Birth (DD/MM/YYYY)	Town/City of Birth	Country of Birth	
Country of Tax Residence 1	Taxpayer Identification Number 1	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 2	Taxpayer Identification Number 2	<input type="checkbox"/> TIN Unavailable	
Country of Tax Residence 3	Taxpayer Identification Number 3	<input type="checkbox"/> TIN Unavailable	
TIN Unavailable Explanation(s) —If any "TIN Unavailable" box is checked, please provide an explanation.			
Controlling Person Type			
Legal Person:	<input type="checkbox"/> Control by Ownership	<input type="checkbox"/> Control by Other Means	<input type="checkbox"/> Senior Managing Official
Legal Arrangement—Trust:	<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector
Legal Arrangement—Other:	<input type="checkbox"/> Settlor-Equivalent	<input type="checkbox"/> Trustee-Equivalent	<input type="checkbox"/> Protector-Equivalent
		<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Other
		<input type="checkbox"/> Beneficiary-Equivalent	<input type="checkbox"/> Other-Equivalent

NFE CATEGORIES

NFEs

An NFE means any entity that is not a financial institution. An NFE may be an Active NFE or a Passive NFE.

Active NFEs

Active NFEs by Reason of Income and Assets

Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income.

A Corporation the Stock of which is Regularly Traded on an Established Securities Market (or entity related to such a corporation)

The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market.

Regularly Traded

Meaningful volume of trading with respect to the stock on an on-going basis.

Established Securities Market

An exchange that is officially recognised and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.

Related Entity

An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

Governmental Entity

The government of a jurisdiction, any political subdivision of a jurisdiction (including a state, province, county, or municipality), or any wholly owned agency or instrumentality of a jurisdiction or of any one or more of the foregoing.

International Organisation

Any international organisation or wholly owned agency or instrumentality thereof. This category includes any intergovernmental organisation (including a supranational organisation) (1) that is comprised primarily of governments; (2) that has in effect a headquarters or substantially similar agreement with the jurisdiction; and (3) the income of which does not inure to the benefit of private persons.

Central Bank

An institution that is by law or government sanction the principal authority, other than the government of the jurisdiction itself, issuing instruments intended to circulate as currency. Such an institution may include an instrumentality that is separate from the government of the jurisdiction, whether or not owned in whole or in part by the jurisdiction.

Holding NFEs that are Members of a Nonfinancial Group

Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds 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.

A Start-up Company formed in the past 24 months

The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE.

NFE Liquidating or Emerging from Bankruptcy

The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution.

Treasury Centers that are Members of a Nonfinancial Group

The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution.

Non-Profit NFE

An NFE that meets the following criteria:

- i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- ii) it is exempt from income tax in its jurisdiction of residence;
- iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- iv) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
- v) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.

Passive NF

For purpose of completing this certification, a Passive NFE means any NFE that is not an Active NFE.

ENTITY MANAGED BY ANOTHER FINANCIAL INSTITUTION

An Entity is managed by another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the following activities or operations: trading in money market instruments; foreign exchange; exchange, interest rate and index instruments; transferrable securities; or commodity futures trading.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity that performs the above trading functions, if any of the managing Entities is such an Entity.

PARTICIPATING CRS JURISDICTION

A jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS. A list of all participating jurisdictions can be found at: <http://www.oecd.org/tax/transparency/AEOI-commitments.pdf>

GLOBAL INTERMEDIARY IDENTIFICATION NUMBER (GIIN)

The term GIIN or Global Intermediary Identification Number means the identification number that is assigned to a participating FFI or registered deemed-compliant FFI. The term GIIN or Global Intermediary Identification Number also includes the identification number assigned to a reporting Model 1 FFI for purposes of identifying such entity to withholding agents. All GIINs will appear on the IRS FFI list.