



美国税收协定优惠 W-8BEN-E (SMSF)表格 W-8BEN-E (SMSF)表格填写说明

请留意：尽管本说明以中文提供，W-8BEN-E 申报表仅接受英文填写

1. 投资美股 CFD 的非美人士客户需填写本表；
2. 自管养老金客户需由受托人填写本表；
3. 该表格有效期为自签署之日起至第 3 年最后一个日历日；
4. 当阁下的税务信息在提交本表后有任何变更，阁下需主动向我们申报以变更您的税务信息记录；
5. 本表格签名栏仅接受手写签名，或有时间、日期及电子签名声明的电子签名；
6. 该表格不可有任何涂改或修正，如需修改已填写信息，请使用新的表格；
7. 所有日期格式为美式日期格式，即 (MM-DD-YYYY)；
8. 本填写说明仅当阁下符合以下两项条件时适用：
 - 1) 该公司至少 50%（投票权或价值）由澳洲/美国人士持有；
 - 2) 该公司至少 50% 收入作为可扣除款项支付予澳洲/美国人士。

第 1 页 – Part I

- 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																																							
1 Name of organization that is the beneficial owner The SMSF name as indicated on the trust deed	2 Country of incorporation or organization Australia																																						
3 Name of disregarded entity receiving the payment (if applicable, see instructions)																																							
4 Chapter 3 Status (entity type) (Must check one box only): <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Simple trust</td> <td><input type="checkbox"/> Tax-exempt organization</td> <td><input checked="" type="checkbox"/> Complex trust</td> <td><input type="checkbox"/> Partnership</td> </tr> <tr> <td><input type="checkbox"/> Central Bank of Issue</td> <td><input type="checkbox"/> Private foundation</td> <td><input type="checkbox"/> Estate</td> <td><input type="checkbox"/> Foreign Government - Controlled Entity</td> </tr> <tr> <td><input type="checkbox"/> Grantor trust</td> <td><input type="checkbox"/> Disregarded entity</td> <td><input type="checkbox"/> International organization</td> <td><input type="checkbox"/> Foreign Government - Integral Part</td> </tr> </table>		<input type="checkbox"/> Simple trust	<input type="checkbox"/> Tax-exempt organization	<input checked="" type="checkbox"/> Complex trust	<input type="checkbox"/> Partnership	<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Private foundation	<input type="checkbox"/> Estate	<input type="checkbox"/> Foreign Government - Controlled Entity	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> International organization	<input type="checkbox"/> Foreign Government - Integral Part																										
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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. <input type="checkbox"/> Yes <input type="checkbox"/> No																																							
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6 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address). The registered address																																							
City or town, state or province. Include postal code where appropriate.	Country																																						
7 Mailing address (if different from above)																																							
City or town, state or province. Include postal code where appropriate.	Country																																						



第 2 页 – Part I

Part I Identification of Beneficial Owner (continued)

8 U.S. taxpayer identification number (TIN), if required

9a GIIN b Foreign TIN ABN No. c Check if FTIN not legally required.

10 Reference number(s) (see instructions)

AETOS acct no.

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

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
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.

第 2 页 – Part III

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

14 Certify that (check all that apply):
a The beneficial owner is a resident of Australia 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.
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

第 5 页 – Part XII

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Part XII Nonreporting IGA FFI

26 I certify that the entity identified in Part I:

Note: The requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and
Australia. The applicable IGA is a Model 1 IGA or a Model 2 IGA; and
 is treated as a **Australian Retirement Fund** under the provisions of the applicable IGA of 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

第 8 页 – Part XXX

本表须由 **SMSF** 受托人代表签署

请注意：依照美国税务局要求，本表格仅接受手写签名，或带有时间、日期及电子签名声明格式的电子签名。

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 or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **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.

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

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

Sign Here  **Quan Yuan** Digitally signed by Quan Yuan
Date: 2021.11.03 16:20:03 +11'00' **QUAN YUAN** **11-03-2021**
Signature of individual authorized to sign for beneficial owner Print Name Date (MM-DD-YYYY)

Form **W-8BEN-E** (Rev. 10-2021)

Please note that you have an obligation under US tax laws to provide information necessary for US tax withholding and reporting requirements. This information is for reference purposes only, and reliance on the information contained herein is not an alternative to legal advice from an attorney or other professional legal/accounting services provider. This information is not intended as a financial or an investment advice and must not be construed as such. Seek advice from a separate financial advisor or contact IRS. You are advised to view the IRS instructions on completing these forms go to www.irs.gov/formw8ben. AETOS assumes no liability for errors, inaccuracies or omissions; does not warrant the accuracy, completeness of the information or other items contained within these materials.

AETOS Capital Group Pty Ltd is the issuer of the financial products. Trading margin Forex and CFDs carries a high level of risk. Retail clients could sustain a total loss of deposited funds but are not subject to subsequent payment obligations beyond the deposited funds. You are strongly recommended to seek independent financial advice before you make an investment decision. Please visit www.aetoscg.com to read our PDS and TMD for more details.