



W-8BEN ENTITY FORM TO CLAIM US TAX TREATY BENEFITS HOW TO COMPLETE THE FORM W-8BEN-E (SMSF)

Please note:

1. The U.S. share CFD investor, who is not a U.S. person, should complete the form.
2. The form should be completed by the trustee of the SMSF.
3. The W-8BEN-E form will be valid for a period starting on the date the form is signed and ending on the last date of the third succeeding calendar year.
4. Should any changes happen to your tax residency after the submission of the form, please declare the change to AETOS.
5. By following the requirement by the U.S. authority, the form should be completed with a handwritten signature, otherwise an electronic signature with a time and date stamp and the statement that the form has been signed electronically is also acceptable.
6. The form must be completed correctly without any amendments. Please use a new form instead if a mistake made.
7. All DATE should be put down in U.S. date format (MM-DD-YYYY).
8. This guidance is only applicable when your situation is satisfied following two conditions:
 - 1) At least 50% (by vote or value of the company is held by Australian and/or U.S. persons;
 - 2) At least 50% gross income the company is being paid to Australian and/or U.S. persons as deductible payments.

Page 1

- 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-8BECI 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	2 Country of incorporation or organization
The SMSF name as indicated on the trust deed	Australia
3 Name of disregarded entity receiving the payment (if applicable, see instructions)	
4 Chapter 3 Status (entity type) (Must check one box only):	
<input type="checkbox"/> Simple trust <input type="checkbox"/> Central Bank of Issue <input type="checkbox"/> Grantor trust <input type="checkbox"/> Partnership <input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation <input type="checkbox"/> Disregarded entity <input checked="" type="checkbox"/> Corporation <input checked="" type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> International organization	<input type="checkbox"/> Partnership <input type="checkbox"/> Foreign Government - Controlled Entity <input type="checkbox"/> Foreign Government - Integral Part
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	
5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)	
<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 checked="" type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government or 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.
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

Page 2 – 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

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.

Page 2 – 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. 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 checked="" 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"/> No LOB article in treaty
	<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 _____

Page 5 – Part XII

Form W-8BEN-E (Rev. 10-2021) Page 5

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 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 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

Page 8 – Part XXX

Signed by the authorized representative(s) of the trustee

Please note: If you are unable to save an E-sign with a time&date stamp and the E-sign statement, the U.S. IRS requests a handwritten signature for the form instead.

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.

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

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

Sign Here  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 references 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.

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