



## W-8BEN INDIVIDUALS FORM TO CLAIM US TAX TREATY BENEFITS

### HOW TO COMPLETE YOUR W-8BEN FORM

**Please note:**

1. U.S. Share CFD investors should complete the form.
2. The W-8BEN form can only be completed by a non-U.S. person.
3. The W-8BEN 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 change happen to your tax residency after the submission of the form, please notify AETOS of the change.
5. By following the requirements by U.S. authority, the form should be completed with a handwritten signature, otherwise an electronic signature with a time and date stamp and statement that the form has been electronically signed 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 US Date format (MM-DD-YYYY).
8. Line 5 leave blank if you are a non-U.S. person
9. Line 6, check 6b if you are an Australian tax resident
10. Line 9, put down "Australia" if you are an Australian tax resident. You may refer to ATO website if you are not sure about your tax residency.

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<p><b>Form W-8BEN</b> (Rev. October 2021) Department of the Treasury Internal Revenue Service</p>	<p><b>Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)</b></p> <p>► 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.</p>	<p>OMB No. 1545-1621</p>
<p><b>Do NOT use this form if:</b></p> <ul style="list-style-type: none"> <li>• You are NOT an individual . . . . . W-8BEN-E</li> <li>• You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9</li> <li>• You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI</li> <li>• You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4</li> <li>• You are a person acting as an intermediary . . . . . W-8IMY</li> </ul>		
<p><b>Note:</b> If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.</p>		
<p><b>Part I Identification of Beneficial Owner (see instructions)</b></p>		
<p><b>1</b> Name of individual who is the beneficial owner</p> <p><b>Your full name</b></p>	<p><b>2</b> Country of citizenship</p> <p style="text-align: center;">Australia</p>	
<p><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></p> <p><b>Sample Street</b></p> <p>City or town, state or province. Include postal code where appropriate.</p> <p><b>North Sydney, NSW 2060</b></p> <p style="text-align: right;">Country <b>Australia</b></p>		
<p><b>4</b> Mailing address (if different from above)</p> <p><b>(insert if different from above)</b></p> <p>City or town, state or province. Include postal code where appropriate.</p> <p style="text-align: right;">Country</p>		
<p><b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)</p>		
<p><b>6a</b> Foreign tax identifying number (see instructions)</p>	<p><b>6b</b> Check if FTIN not legally required . . . . . <input checked="" type="checkbox"/></p>	
<p><b>7</b> Reference number(s) (see instructions)</p>	<p><b>8</b> Date of birth (MM-DD-YYYY) (see instructions)</p> <p style="text-align: center;">12-31-1990</p>	



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**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 Australia 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 or proceeds 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;
- 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 applicable 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);
- 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**  I certify that I have the capacity to sign for the person identified on line \_\_\_\_\_ of this form.

**Quan Yuan** Digitally signed by Quan Yuan  
Date: 2021.10.20 16:36:07 +11'00' **10-31-2021**

Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

Quan Yuan  
Print name of signer

If you are unable to save an E-sign with a stamp and the E-sign statement, the U.S. IRS requests a handwritten signature for the form.

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](http://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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