

FATCA QnA

1. WHAT IS FATCA?

FATCA stand for Foreign Account Tax Compliance Act. FATCA requires US individuals and legal persons to report their accounts opened outside the United States. It also requires foreign financial institutions to report to the US Internal Revenue Service ("IRS") on US customers' accounts at such financial institutions.

The penalty for non-compliance with FATCA is 30% withholding by the US government on the value of transactions via the accounts of the individual/ legal persons.

2. WHO IS AFFECTED?

FATCA legislation will affect both personal and business customers who are treated as a 'US Person' for US tax purposes. The FATCA legislation will also affect certain types of businesses with US owners.

The term US person includes the following (but is not limited to):

- A citizen of the US, including an individual born in the US but resident in another country (who has not given up their US citizenship)
- A person residing in the US, including US green card holders
- > Certain persons who spend a significant number of days in the US each year
- US Corporations, US Partnerships, US estates and US trusts
- ➤ A foreign company (not US company) that has US beneficial owner(s)

3. IS TECHCOMBANK THE ONLY BANK TO BE AFFECTED BY FATCA?

No. All Banks and other Financial Organization will be affected by FATCA. Each bank will have different approach and operating to ensure compliance with FATCA.

4. AM I ONLY AFFECTED IF I'M A US COMPANY?

No. FATCA has wider impact than just US companies. TCB will need to determine business customer status under FATCA and identify which are reportable under FATCA. We will be communicating with customers who need to take further action.

5. WHY OTHER BANK ASKED FOR DIFFERENT DOCUMENTS THAN TECHCOMBANK?

Banks and Financial Organizations has various way to collect information from their customers in order to confirm their tax status under FATCA. This may mean that in some situations you are asked for different documentation from TCB than another Bank. Meanwhile, TCB cannot offer advice on your FATCA tax status or classification. If you



need further support you should visit the IRS website or contact a professional tax advisor.

6. HOW FREQUENTLY WILL MY COMPANY HAVE TO PROVIDE INFORMATION FOR FATCA PURPOSE?

As FATCA is an ongoing process, in case your account information changes, we may be required to contact you to obtain additional information/documentation so that we are able to update your account classification under FATCA.

7. WILL TCB PROVIDE ALL THE FORMS THAT I NEED TO COMPLETE?

Yes. We will either send you the relevant forms or direct you to a website where you can download them.





(Rev. J.	W-8BEN-E uly 2017) ment of the Treasury if Revenue Service	United States		ng and Rep	Owner for orting (Entities) s are to the Internal Revenue Code. e latest Information.	OMB No. 1545-1621
Do NO	OT use this form fo	r.				Instead use Forn
• U.S.	entity or U.S. citizer	n or resident				W-
	reign individual .					(Individual) or Form 823
A for A for gove	ess claiming treaty b reign partnership, a reign government, in emment of a U.S. po	enefits). foreign simple trust, or a foreig iternational organization, foreig issession claiming that income	n grantor trust (unles n central bank of iss is effectively connec	s claiming treaty ue, foreign tax-ex ted U.S. income	of trade or business within the U benefits) (see instructions for exempt organization, foreign prive or that is claiming the applicabil tions)	cceptions) . W-8E0 total condition, or ity of section(s) 115(2),
 Any 	person acting as an	intermediary (including a qual	ified intermediary acti	ing as a qualified	derivatives dealer)	W-8IM
Pa	dentific	cation of Beneficial Ow	ner			
1		tion that is the beneficial owner			2 Country of incorporation of	or organization
3	Name of disregard	ded entity receiving the payme	nt (if applicable, see i	nstructions)	*	
4	Simple trust Central Bank	The state of the s	ganization Pri	rporation implex trust wate foundation	Disregarded entity Estate International organizati	
	If you entered dis- claim? If "Yes" co		mple trust, or grantor	trust above, is t	he entity a hybrid making a treat	Yes No
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7	City or town, state Mailing address (if	or province. Include postal co	de where appropriate	9.	Country	
		or province. Include postal co	Since 1	9.	Country	
8	U.S. taxpayer identif	ication number (TIN), if required	9a GIIN		b Foreig	n IIN
10	Reference number(s	i) (see instructions)				

No alteration is accepted on form W-8BEN-E.

In case you make mistake, please start over using a new form
Please DO NOT use any correction tools.

All W-Forms must be completed in English

Please refer to "Instructions for Form W-8BEN-E" by IRS here

- A. Please refer to this section and associated instruction from IRS to ensure you are completing the correct W form.
- B. PART I (Identification of Beneficial Owner Page 1 of form)
- Line 1: Full name of entity that is the beneficial owner
- Line 2: Country of incorporation or country under whose laws your entity is created, organized or governed
- Line 3: Name of disregarded entity receiving a withhold able payment (if applicable)
- Line 4: Chapter 3 Status Check the box that represents your classification under U.S tax principles
- Line 5: Check the one box that applies to your chapter 4 status (Must check 01 box only)
- Line 6: The permanent residence address of the entity identified in line 1.
 - ❖ First line: Full street address
 - Second line: the City or town, state or province including postal code and "country" in the country box

DO NOT USE:

- PO Box or C/O address
- Name of a third party
- Address of a financial institution

Line 7: Your mailing address only if it's different from line 6

Line 8: Enter your U.S. employer identification number (EIN) (which is a U.S. taxpayer identification number (TIN) for entities)

Line 9a: Enter your Global Intermediary Identification Number (GIIN)

9b: Enter your Foreign Tax Identification Number (Foreign TIN) – if applicable

Line 10: This line may be used by you or by the withholding agent or FFI to include any referencing information

that is useful to the withholding agent to document the beneficial owner

Note: Please refer to instruction from IRS for further guidance on who is beneficial owner.





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Form V	V-8BEN-E (Rev. 7-2017) Page 2
Pai	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.
	Country
13	GIIN (if any)

C. PART II - Disregarded Entity or Branch Receiving Payment (Page 2 of form)

Complete only if a disregarded entity that has its own GIIN and is receiving a withholdable payment or a branch of an FFI in a country other than the FFI's country of residence

Line 11: Choose FATCA Status of disregarded entity or branch receiving payment (Must check 01 box only)

If no box applies to the disregarded entity, you DO NOT need to complete this part.

Line 12: Enter the address of the branch or disregarded entity

Line 13: Enter GIIN (if applicable)

Part	Claim of Tax Treaty Benefits (if	applicable). (For chapter 3 purposes only.)
14	I certify that (check all that apply):	
а	The beneficial owner is a resident of	within the meaning of the income tax
	treaty between the United States and that cou	untry.
b		tems) of income for which the treaty benefits are claimed, and, if applicable, meets the rith limitation on benefits. The following are types of limitation on benefits provisions that may only one; see instructions):
	Government	Company that meets the ownership and base erosion test
	Tax exempt pension trust or pension fund	Company that meets the derivative benefits test
	Other tax exempt organization	Company with an item of income that meets active trade or business test
	Publicly traded corporation	Favorable discretionary determination by the U.S. competent authority received
	Subsidiary of a publicly traded corporation	Other (specify Article and paragraph):
С	The beneficial owner is claiming treaty benefi or business of a foreign corporation and meet	ts for U.S. source dividends received from a foreign corporation or interest from a U.S. trades 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
	of the treaty identified on line 14a above to claim	% rate of withholding on (specify type of income):
	Explain the additional conditions in the Article the	beneficial owner meets to be eligible for the rate of withholding:

D. PART III - Claim of Tax Treaty Benefits (If applicable)

Complete only if you are a resident in a treaty country and entitled to claim tax treaty benefits.

Line 14a: Check the box and input "Country" of residency

Line 14b OR 14c: Check either box as applicable

Limitation on benefits provision: Check only 01 box

Line 15: Only input if you are claiming treaty benefits that require that you meet conditions not covered by the representations you make in line 14 (or other certifications on the form)





5	Chapter 4 Status (FATCA status) (See instructions for details and comp	plete the certification below for the entity's applicable status.)
	Nonparticipating FFI (including an FFI related to a Reporting IGA	Nonreporting IGA FFI. Complete Part XII.
	FFI other than a deemed-compliant FFI, participating FFI, or	Foreign government, government of a U.S. possession, or foreign
	exempt beneficial owner).	central bank of issue. Complete Part XIII.
	Participating FFI.	International organization. Complete Part XIV.
	Reporting Model 1 FFI.	Exempt retirement plans. Complete Part XV.
	Reporting Model 2 FFI.	Entity wholly owned by exempt beneficial owners. Complete Part XVI.
	Registered deemed-compliant FFI (other than a reporting Model 1	Territory financial institution. Complete Part XVII.
	FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII).	Excepted nonfinancial group entity. Complete Part XVIII.
	See instructions.	Excepted nonfinancial start-up company. Complete Part XIX.
	Sponsored FFI. Complete Part IV.	Excepted nonfinancial entity in liquidation or bankruptcy.
_	Certified deemed-compliant nonregistering local bank. Complete	Complete Part XX.
	Part V.	501(c) organization. Complete Part XXI.
	Certified deemed-compliant FFI with only low-value accounts.	Nonprofit organization. Complete Part XXII.
	Complete Part VI.	Publicly traded NFFE or NFFE affiliate of a publicly traded
		corporation. Complete Part XXIII.
	 Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. 	_ '
	_ '	Excepted territory NFFE. Complete Part XXIV.
	Certified deemed-compliant limited life debt investment entity. Complete Part VIII.	Active NFFE. Complete Part XXV.
		Passive NFFE. Complete Part XXVI.
	Certain investment entities that do not maintain financial accounts.	Excepted inter-affiliate FFI. Complete Part XXVII.
	Complete Part IX.	Direct reporting NFFE.
	Owner-documented FFI. Complete Part X.	Sponsored direct reporting NFFE. Complete Part XXVIII.
	Restricted distributor. Complete Part XI.	Account that is not a financial account.
	<u>*</u>	
Pai	t IV Sponsored FFI	
16	Name of sponsoring entity:	
17	Check whichever box applies.	
	I certify that the entity identified in Part I:	
	Is an investment entity:	_
	Is not a QI, WP (except to the extent permitted in the withholding foreign).	ign partnership agreement), or WT: and
	Has agreed with the entity identified above (that is not a nonparticipat	
	I certify that the entity identified in Part I:	ang 111/ to dot do the openioning chat/ for the onaty.
	Is a controlled foreign corporation as defined in section 957(a);	
	Is a controlled foreign corporation as defined in section 957(a), Is not a QI, WP, or WT;	
		entified above that agrees to get as the appropriate entity for this entity and
		ntified above that agrees to act as the sponsoring entity for this entity; and
		entity (identified above) that enables the sponsoring entity to identify all and customer information maintained by the entity including, but not
		tion, account balance, and all payments made to account holders or
	payees.	and the decount reduced of
	· ·	
		Form W-8BEN-E (Rev. 7-2017)

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Please refer to "Instructions for Form W-8BEN-E" by IRS here

E. PART IV to XXVIII - Certification of Chapter 4 Status

- ✓ Complete only one part of Parts IV through XXVIII certifying to your chapter 4 status (if required).
- ✓ Identify which part (if any) you should complete by reference to the box you checked on line 5.
- ✓ You are NOT required to complete any of these parts if you selected one of following on line 5:
 - Nonparticipating FFI
 - Participating FFI
 - * Registered deemed-compliant FFI
 - * Reporting Model 1 FFI
 - * Reporting Model 2 FFI
 - Direct reporting NFFE

Example:

- If an entity choose selected "Sponsored FFI" on Part I, Line 5; the entity is required to completed Part IV of the form.
- Please note that the heading of Parts IV through XXVIII matches the chapter 4 status (FATCA Status) selected on Part I, line 5; and Part I, line 5 also contains the reference to the section to be completed, like this example is Part IV





Name				
		Address	3	TIN
			F	
Part XXX Certific	ation			
nder penalties of perjury, I d ertify under penalties of perj		information on this form and to the best	of my knowledge and belief it is tr	ue, correct, and complete. I further
		beneficial owner of all the income to whi	ch this form relates, is using this f	orm to certify its status for chapter
	erchant submitting this form for p	•	G	
-	ed on line 1 of this form is not a lich this form relates is: (a) not at	U.S. person; ffectively connected with the conduct of	a trade or husiness in the United S	States (h) affectively connected but
		the partner's share of a partnership's eff		rates, (b) ellectively conflected but I
 For broker transact 	ctions or barter exchanges, the b	beneficial owner is an exempt foreign pe	rson as defined in the instructions.	
		holding agent that has control, receipt, or ayments of the income of which the entity		ne entity on line 1 is the beneficial
agree that I will submit a n	ew form within 30 days if any	certification on this form becomes inc	correct.	
SEEN MANA	4		2	3
Sign Here				

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F. PART XXIX - Substantial U.S Owner of Passive NFFE

- ✓ Complete only if Part XXVI is completed and only if applicable
- ✓ Please list out each substantial U.S owner of the NFFE on form with the name, address and TIN

G. PART XXX - Certification

Form W-8BEN-E must be signed and dated by authorized person of the entity on Line 1

- 1. Please sign the form
- 2. Please print you full name
- 3. Please enter date of the form using MM/DD/YYYY format
- Please tick "I certify that I have the capacity to sign for the entity identified on line 1 of this form"

Please note that Techcombank are unable to provide any tax advice. If you require any advice, please refer to an independent tax advisor



Depart	uly 2017) ment of the Treasury d Revenue Service	For use by entities, ind	ividuals must use www.irs.gov/Fori	Form W-8BEN. I MW8BENE for II withholding age	Section nstruction	references a ns and the	are to th latest i	ne internal Reven Information.	ue Code.	OMB No. 1	
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	entity or U.S. citizer	n or resident		5 2 305 1	2 2 2	- 1 · 1	Δ.	8 800 6			
	reign individual .					·			thin the U.S	(Individual)	or Form 82
	reign individual or er ess claiming treaty b	ntity claiming that incor	ne is effective	y connected w	vitn the c	onduct of	trade	or business wi	tnin the U.	5.	W-8F
		foreign simple trust, or	a foreign gran	tor trust (unless	n claimir	an troopy b	onofite	n) (non inetruct	ione for eve	ontions)	. W-8II
• A for gove 501(reign government, in emment of a U.S. po c), 892, 895, or 1440	ternational organizatio issession claiming that 3(b) (unless claiming tre intermediary (including	n, foreign cent income is effe eaty benefits) (s	tral bank of iss actively connection	ue, forei ted U.S. is for oth	gn tax-exe income or er exception	mpt or that i	rganization, fo is claiming the	reign privat	e foundation	
Pa	Identific	cation of Benefici	al Owner								
1	Name of organizat	tion that is the beneficia	al owner				2 0	ountry of incor	poration or	organizatio	n
3	Name of disregard	ded entity receiving the	payment (if ap	plicable, see i	instructio	ns)					
4	Chanter 3 Status	(entity type) (Must chec	k one box on	v)· Co	orporatio	n	3-	Disregarded	entity	Пг	artnership
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	Complete Par	t VI.									
	Certified deen vehicle, Comp	ned-compliant sponsor	red, closely he	id investment							
		ed-compliant limited life	daht investme	ent ontity							
	Complete Part		Geor sivestine	in cinny.		Passive NFFE. Complete Part XXVI.					
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		nented FFI, Complete F	Part X					t reporting NFI	F Comple	te Part XXV	111
		tributor. Complete Part						ot a financial a		to i ditioti	100
6		ce address (street, apt. o		ural route). Do						n a registere	d address)
	City or town, state	or province. Include p	ostal code wh	ere appropriate	е.				Country		
7	Mailing address (if	different from above)									
	City or town, state	or province. Include p	ostal code wh	ere appropriate	е.			C	Country		
8	U.S. taxpayer identif	ication number (TIN), if rec	quired 9a	GIIN					Foreign	TIN	
10	Reference number(s	i) (see instructions)									



Không được có bất kỳ sự sửa đổi nào trên W-8BEN-E.

Trường hợp quý khách mắc lỗi, vui lòng điền lại vào một mẫu mới

Vui lòng KHÔNG sử dụng bất cứ công cụ sửa chữa nào.

Tất cả các mấu W phải được điền bằng tiếng Anh

Vui lòng tham khảo "Instructions for Form W-8BEN-E" phát hành bởi IRS tại đây

A. Vui lòng tham khảo phần này và hướng dẫn liên quan từ IRS để đảm bảo bạn đang điền đúng mẫu W.

B. PHẦN I (Nhận diện chủ sở hữu có quyền thụ hưởng – Trang 1 của mẫu)

Dòng 1: Tên đầy đủ của tổ chức là Chủ sở hữu có quyền thụ hưởng

Dòng 2: Quốc gia nơi thành lập tổ chức/doanh nghiệp

Dòng 3: Tên tổ chức/doanh nghiệp không tách rời nhận một khoản thanh toán chịu thuế khấu lưu (nếu áp dụng)

Dòng 4: Trạng thái Chương 3 – Đánh dấu vào ô thể hiện phân loại của quý khách theo các nguyên tắc thuế Hoa Kỳ

Dòng 5: Đánh dấu một ô thể hiện trạng thái Chương 4 của quý khách (Chỉ đánh dấu 01 ô duy nhất)

Dòng 6: Địa chỉ thường trú của tổ chức được xác định ở dòng 1.

Dòng đầu tiên: Địa chỉ đường phố đầy đủ

Dòng thứ hai: Tên thành phố hoặc thị xã, tiểu bang hoặc tỉnh bao gồm cả mã bưu điện và tên "Quốc gia" vào ô quốc gia.

KHÔNG SỬ DỤNG:

· Hòm thư bưu điện hoặc địa chỉ nhờ chuyển hô

Tên của bên thứ 3

· Địa chỉ của một tổ chức tài chính

Dòng 7: Địa chỉ gửi thư qua bưu điện của quý khách trong trường hợp khác với địa chỉ ở dòng 6

Dòng 8: Điền mã nhận diện công ty của quý khách (EIN) (Đây là mã số thuế Hoa Kỳ (TIN) cho tổ chức)

Dòng 9a: Điền số định danh toàn cầu của quý khách (GIIN)

9b: Điền mã số thuế nước ngoài (TIN nước ngoài) – nếu có

Dòng 10: Quý khách hoặc đại lý khấu lưu hoặc FFI để điền bất kì thông tin tham khảo nào có ích cho đại diện khấu

lưu để ghi nhận chủ sở hữu hưởng thụ.

Lưu ý: Vui lòng tham khảo hướng dẫn từ IRS để xác định ai là chủ sở hữu hưởng thụ.



TECHCOMBANK	
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Pai		h Receiving Payment. (Complete or other than the FFI's country of reside	nly if a disregarded entity with a GIIN or a ence. See instructions.)
11	Chapter 4 Status (FATCA status) of disregard	ed entity or branch receiving payment	
	Branch treated as nonparticipating FFI.	Reporting Model 1 FFI.	U.S. Branch.
	Participating FFI.	Reporting Model 2 FFI.	
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	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):
	Government Company that meets the ownership and base erosion test
	Tax exempt pension trust or pension fund Company that meets the derivative benefits test
	Other tax exempt organization
	Publicly traded corporation Favorable discretionary determination by the U.S. competent authority received
	☐ Subsidiary of a publicly traded corporation ☐ Other (specify Article and paragraph):
С	☐ 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
	of the treaty identified on line 14a above to claim a % rate of withholding on (specify type of income):
	Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding:

Không được có bất kỳ sự sửa đổi nào trên W-8BEN-E. Trường hợp quý khách mắc lỗi, vui lòng điền lại vào một mẫu mới Vui lòng KHÔNG sử dụng bất cứ cộng cụ sửa chữa nào.

Tất cả các mấu W phải được điền bằng tiếng Anh Vui lòng tham khảo "**Instructions for Form W-8BEN-E**" phát hành bởi IRS tại đây

C. PHẦN II – Thông tin tổ chức nộp thuế phụ thuộc hoặc chi nhánh nhận thanh toán (Trang 2 của mẫu)

Chỉ điền phần II nếu quý khách là tổ chức nộp thuế phụ thuộc có mã GIIN riêng và nhận được khoản thanh toán chịu khấu trừ hoặc nếu quý khách là chi nhánh của FFI đang hoạt động tại quốc gia khác với quốc gia tại dòng 2

Dòng 11: Lựa chọn trạng thái FATCA của tổ chức nộp thuế phụ thuộc hoặc chi nhánh nhận thanh toán (Chỉ đánh dấu 01 ô duy nhất)

Trường hợp không có ô nào áp dụng cho tổ chức nộp thuế phụ thuộc, quý khách KHÔNG CẦN điền vào phần này.

Dòng 12: Điền địa chỉ của chi nhánh hoặc tổ chức nộp thuế phụ thuộc

Dòng 13: Điền GIIN (nếu có)

D. PHẦN III - Yêu cầu quyền lợi theo hiệp định thuế (Nếu có)

Chỉ hoàn thành phần này nếu quý khách là người cư trú tại quốc gia tham gia hiệp định và có quyền yêu cầu các quyền lợi theo hiệp định thuế.

Dòng 14a: Đánh dấu vào ô và điền "Quốc gia" nơi cư trú.

Dòng 14b hoặc 14c: Đánh dấu vào một trong hai ô áp dụng.

Quy định hiệp ước về giới hạn quyền lợi: Chỉ đánh dấu duy nhất 01 ô

Dòng 15: Chỉ điền phần này nếu quý khách đang yêu cầu hưởng quyền lọi theo hiệp định đòi hỏi tổ chức đáp ứng được các điều kiện không nằm trong thông tin đã khai báo ở dòng 14 (hoặc ở xác nhận khác trên mẫu đơn)



5	Chapter 4 Status (FATCA status) (See instructions for details and comp Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).	lete the certification below for the entity's applicable status.) Nonreporting IGA FFI. Complete Part XII. Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.
	Participating FFI. Reporting Model 1 FFI. Reporting Model 2 FFI. Reporting Model 2 FFI. Repistered deemed-compilant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions. Sponsored FFI. Complete Part IV. Certified deemed-compilant nonregistering local bank. Complete Part V. Certified deemed-compilant FFI with only low-value accounts. Complete Part VI. Certified deemed-compilant sponsored, closely held investment vehicle. Complete Part VII. Certified deemed-compilant limited life debt investment entity. Complete Part VII. Certain investment entities that do not maintain financial accounts. Complete Part IX. Owner-documented FFI. Complete Part X. Restricted distributor. Complete Part XI.	International organization. Complete Part XIV. Exempt retirement plans. Complete Part XV. Entity wholly owned by exempt beneficial owners. Complete Part XVI. Territory financial institution. Complete Part XVII. Excepted nonfinancial group entity. Complete Part XVIII. Excepted nonfinancial start-up company. Complete Part XIX. Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XXI. 501(c) organization. Complete Part XXII. Nonprofit organization. Complete Part XXII. Publicity traded NFFE or NFFE affliate of a publicity traded corporation. Complete Part XXIII. Excepted territory NFFE. Complete Part XXIV. Active NFFE. Complete Part XXVI. Passive NFFE. Complete Part XXVII. Direct reporting NFFE. Sponsored direct reporting NFFE. Complete Part XXVIII. Account that is not a financial account.
Par 16 17	Shares a common electronic account system with the sponsoring e account holders and payees of the entity and to access all account	



Không được có bất kỳ sự sửa đổi nào trên W-8BEN-E.
Trường hợp quý khách mắc lỗi, vui lòng điền lại vào một mẫu mới
Vui lòng KHÔNG sử dụng bất cứ công cụ sửa chữa nào.
Tất cả các mấu W phải được điền bằng tiếng Anh

Vui lòng tham khảo "**Instructions for Form W-8BEN-E**" phát hành bởi IRS tại đây

E. PHẦN IV to XXVIII - Chứng nhận trạng thái chương 4

- ✓ Chỉ hoàn thành một trong các phần từ IV tới XXVIII để chứng nhận trạng thái chương 4 của quý khách (nếu cần).
- ✓ Xác định phần (nếu có) quý khách cần hoàn thành dựa trên ô quý khách đã đánh dấu ở dòng 5.
- ✓ Quý khách KHÔNG cần phải hoàn thành bất kỳ phần nào nếu quý khách chọn một trong các mục sau ở dòng 5:
 - Nonparticipating FFI
 - Participating FFI
 - · Registered deemed-compliant FFI
 - * Reporting Model 1 FFI
 - · Reporting Model 2 FFI
 - Direct reporting NFFE

Ví du:

- Nếu một tổ chức/doanh nghiệp chọn "Sponsored FFI" ở dòng 5 phần I; tổ chức/doanh nghiệp phải hoàn thành phần IV trên mẫu này.
- Lưu ý rằng tiêu đề của phần IV đến phần XXVIII khóp với trạng tháng chương 4(trạng thái
 FATCA) đã chọn ở dòng 5 phần I; và dòng 5, phần I cũng có tham chiếu đến phần quý khách cần điền, như trong ví dụ này là phần IV.





Part XXIX Substantial U.S. Owners of Passive NFFE
As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE.

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting to controlling U.S. persons under an applicable IGA.

Address	TIN
F	

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 to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W;
- The entity identified on line 1 of this form is not a U.S. person;

- G
- 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 income tax treaty, or (c) the partner's share of a partnership's effectively connected income; 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.

Sign Here

1
2
Signature of individual authorized to sign for beneficial owner

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

Form W-8BEN-E (Rev. 7-2017)

Không được có bất kỳ sự sửa đổi nào trên W-8BEN-E.

Trường hợp quý khách mắc lỗi, vui lòng điền lại vào một mẫu mới

Vui lòng KHÔNG sử dụng bất cứ công cụ sửa chữa nào.

Tất cả các mấu W phải được điền bằng tiếng Anh

Vui lòng tham khảo "Instructions for Form W-8BEN-E" phát hành bởi IRS tại đây

F. PHẨN XXIX - Chủ sở hữu Hoa Kỳ quan trọng của NFFE thụ động

- ✓ Chỉ hoàn thành phần này nếu đã điền xong phần XXVI và chỉ khi áp dụng.
- ✓ Vui lòng liệt kê các chủ sở hữu quan trong của NFFE trên mẫu với các thông tin về tên, địa chỉ và TIN

G. PHẦN XXX - Chứng nhận

Mẫu W-8BEN-E phải được xác nhận bởi người có thẩm quyền của tổ chức điền ở dòng 1

- 1. Vui lòng ký vào mẫu
- 2. Vui lòng điền tên đầy đủ
- 3. Vui lòng điền ngày tháng năm theo định dạng MM/DD/YYYY.
- 4. Vui lòng đánh dấu "I certify that I have the capacity to sign for the entity identified on line 1 of this form" (Tôi xác nhận rặng tôi có đủ quyền hạn để ký cho tổ chức được xác định ở dong 1 của mẫu)

Lưu ý rằng Techcombank không cung cấp dịch vụ tư vấn thuế. Trường hợp quý khách có yêu cầu, vui lòng liên hệ chuyên gia tư vấn thuế độc lập







Form Parkers (Control Control	V-9 (ber 2018) t of the Treasury venue Service		Identifica		Taxpayer er and Certifi			Give Form to the requester. Do not send to the IRS.
					not leave this line blank.	st information.		
	realio (ao anomi	on your mounte	ax returns, reason is re	quied on this line, do	not soare and mie blanc			
2	Business name/d	Isregarded entity	name, if different from	m above		Δ		
						•		
n page 3.	following seven b	oxes.	tax classification of ti	e person whose name	e is entered on line 1. Ch	eck only one of the	certain en	tions (codes apply only to httles, not Individuals; see ns on page 3):
<u> </u>	Individual/sole single-membe		C Corporation	S Corporation	□ Partnersnip	irust/estate	Exempt pa	ayee code (if any)
<u>.</u>	Limited liability	company. Ente	r the tax classification	(C=C corporation, S=	S corporation, P-Partner	rship) ►		.,
Specific Instructions on page	Note: Check t LLC if the LLC another LLC to	he appropriate b is classified as a nat is not disrega	ox in the line above to a single-member LLC arded from the owner	or the tax classification that is disregarded fro for U.S. federal tax pu	of the single-member or m the owner unless the rposes. Otherwise, a sing x classification of its own	wner. Do not check owner of the LLC is gle-member LLC th	and of	n from FATCA reporting
\$ L	Other (see Inst						111	counts maintained outside the U.S.
	Address (number	, street, and apt.	or suite no.) See instr	uctions.		Requester's name	and address	s (optional)
See	City, state, and Z	ID rode						
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7 1	List account num	ber(s) here (optio	nal)					
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sident a	alien, sole propr	ietor, or disreg	arded entity, see th	ne instructions for P	ber (SSN). However, f 'art I, later. For other umber, see <i>How to ge</i>	_	-	-
V, later.					annuar, occirion to go	or		
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lam a	U.S. citizen or o	other U.S. pers	on (defined below):	and				
					t from FATCA reportin			
u have t	failed to report a n or abandonme	all interest and o ent of secured p	dividends on your tax roperty, cancellation	x return. For real esta n of debt, contributio	tified by the IRS that you ate transactions, item 2 ns to an individual retin It you must provide you	does not apply. I ement arrangeme	For mortgag nt (IRA), and	d generally, payments
ign ere	Signature of U.S. person ▶					Date ►		
iene	ral Instr	uctions			Form 1099-DIV (di funds)	vidends, includin	g those from	m stocks or mutual
ted.			levenue Code unles			(various types of	income, pri	zes, awards, or gross
sture de lated to	evelopments. F Form W-9 and	or the latest in its instruction	nformation about de s, such as legislatio	evelopments on enacted	Form 1099-B (stoo transactions by brok		sales and	certain other

after they were published, go to www.irs.gov/FormW9.

An individual or entity (Form W-9 requester) who is required to file an

An individual or entity (Form IX-9 requester) who is required to tapier information return with the IRS midsh your correct to tapier identification number (TRI) which may be you could securify number (SSN), individual stappier identification number (ITIN), adoption number (ITIN), or entitle (ITIN)

Cat. No. 10231X

Purpose of Form

• Form 1099-INT (interest earned or paid)

. Form 1099-S (proceeds from real estate transactions)

. Form 1099-K (merchant card and third party network transactions)

• Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)

• Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident

If you do not return Form W-9 to the requester with a TIN you might be subject to backup withholding. See What is backup withholding, leter

Form W-9 (Rev. 10-2018)

No alteration is accepted on form W9 In case you make mistake, please start over using a new form Please DO NOT use any correction tools. All W-Forms must be completed in English

Please refer to "Instructions for the Requester of Form W9" by IRS here

A. Identification of customer

Line 1: Enter full name that match the name on your tax return. DO NOT leave this line blank

Line 2: Enter your business/ trade name/ DBA name or disregarded entity name only if the answer is different to your answer on line 1

Line 3: Check only 01 box for the U.S federal tax classification of the person whose name is entered on line 1.

In case you are limited liability company, please check "LLC" box and enter your tax classification as C=C corporation, S=S corporation, P=Partnership)

Line 4: Enter "Exempt Payee Code" and "Exemption from FATCA reporting code" in appropriate space (If applicable)

Note: Please refer to independent tax advisor for any queries related to these codes.

Line 5: Enter you address (number, street, and apartment or suite number)

Line 6: Enter your city, state and ZIP code.

Line 7: This is optional field. We recommended that you do not list any account number as you may have to provide forms for accounts you have not included

B. PART I - Taxpayer Identification Number (TIN)

For individuals or sole proprietors: enter your social security number (SSN)

❖ For entities: enter your employer identification number (EIN)

Note: A valid TIN will always be made up of nine (09) digits.

C. PART II - Certification

Please sign and date the form.

Please be sure you are authorized to sign in case you are signing on behalf of an entity

Please note that Techcombank are unable to provide any tax advice. If you require any advice, please refer to an independent tax advisor



Hướng dẫn điền tờ khai W9

Depart Interna	October 2018) ment of the Treasury	Identification Num				Give Form to the requester. Do not send to the IRS.
IIIcilia		n on your Income tax return). Name is required on this line.		mormation.		
	,			_		
	2 Business name/	disregarded entity name, if different from above		Α		
ei						
Print or type. See Specific Instructions on page 3	Check appropriate box for federal tax classification of the person whose nat following seven boxes		,		certain ent	ions (codes apply only to lities, not individuals; see is on page 3):
	Individual/sole proprietor or C Corporation S Corporation S Corporation		on Partnership			yee code (if any)
	Limited liability company. Enter the tax classification (C=C corporation, S=					
	Note: Check the appropriate box in the line above for the tax classification LLC if the LLD is classified as a single-member LLC that is disregarded for another LLC that is not disregarded from the owner for U.S. federal tax put is disregarded from the owner should check the appropriate box for the tax and the properties of the second seco		rom the owner unless the owner of the LLC is surposes. Otherwise, a single-member LLC that		code (if an	from FATCA reporting (y)
	Other (see In	structions) ►			(Applies to acc	ounts maintained outside the U.S.)
	5 Address (number	er, street, and apt. or suite no.) See instructions.	Re	quester's name a	nd address	(optional)
-	6 City, state, and	ZIP code				
	7 List account nur	nber(s) here (optional)				
Par	Towns	yer Identification Number (TIN)				
		propriate box. The TIN provided must match the n	eme diven on line 1 to avoid	Social sec	urtty numb	er
backu	p withholding. Fo	r individuals, this is generally your social security n	umber (SSN). However, for a		T	
		prietor, or disregarded entity, see the instructions for over identification number (EIN). If you do not have		D	-	-
TIN, k	ater.	yer mennious or normal (Eng. 11 you do not have	andmost, see from to get a	or		
Note:	If the account is	in more than one name, see the instructions for line	1. Also see What Name and	Employer	identificati	on number
Numb	er To Give the Re	quester for guidelines on whose number to enter.				
Unde	penalties of perju					
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Không được có bất kỳ sự sửa đổi nào trên W-9.

Trường hợp quý khách mắc lỗi, vui lòng điền lại vào một mẫu mới
Vui lòng KHÔNG sử dụng bất cứ công cụ sửa chữa nào.

Tất các mấu W phải được điền bằng tiếng Anh
làng thay hoạt thiệng for Form W 0° nhất hoạn hoặi IRS tại.

Vui lòng tham khảo "Instructions for Form W-9" phát hành bởi IRS tại đây

A. Nhân diên khách hàng

Dòng 1: Điền tên đầy đủ giống với tên trên tờ khai thuế thu nhập của quý khách. Vui lòng KHÔNG bỏ trống.

Dòng 2: Điền tên tổ chức/doanh nghiệp nộp thuế phụ thuộc của quý khách nếu thông tin này khác với tên ở dòng 1

Dòng 3: Chỉ đánh dấu 01 ô để phân loại thuế liên bang Hoa Kỳ cho người được điền tên ở dòng 1.

Trường hợp quý khách là công ty trách nhiệm hữu hạn, vui lòng chọn ô "LLC" và điền phân loại tương ứng vào trường được chỉ dẫn (C=C corporation, S=S corporation, P=Partnership)

Dòng 4: Điền "Mã đối tượng thụ hưởng được miễn trừ" và "Mã miễn trừ báo cáo theo yêu cầu của FATCA" vào trường được chỉ dẫn (Nếu có)

Lưu ý: Vui lòng tham khảo chuyên gia tư vấn thuế độc lập cho các thắc mắc liên quan tới những mã này.

Dòng 5: Điền địa chỉ của quý khách (số nhà, phố, và số căn hộ)

Dòng 6: Điền thành phố, bang và mã bưu chính của quý khách.

Dòng 7: Đây là trường không bắt buộc. Không nên liệt kê các số tài khoản ở phần này bởi quý khách có thể sẽ phải cung cấp thêm các mẫu khác nếu phát sinh thêm tài khoản khác.

B. PHẦN I - Mã số thuế Hoa Kỳ (TIN)

- ❖ Đối với các nhân hoặc doanh nghiệp cá thể: Điền số an sinh xã hội (SSN)
- ❖ Đối với tổ chức/doanh nghiệp: Điền mã nhận diện công ty (EIN)

Lưu ý: Một mã TIN hợp lệ luôn bao gồm chín (09) chữ số.

C. PHẦN II – Chứng nhân

- ❖ Vui lòng ký và điền ngày tháng năm lên mẫu.
- Vui lòng đảm bảo rằng quý khách đủ thẩm quyền để ký lên mẫu trong trường hợp quý khách ký đại diện cho tổ chức.

Lưu ý rằng Techcombank không cung cấp dịch vụ tư vấn thuế.

Trường hợp quý khách có yêu cầu, vui lòng liên hệ chuyên gia tư vấn thuế độc lập