W-8BEN-E 填寫說明

Allianz 安聯人壽

Form **W-8BEN-E**
(February 2014)
Department of the Treasury
Internal Revenue Service

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.
▶ Information about Form W-8BEN-E and its separate instructions is at www.irs.gov/formw8bene.
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for: **Instead use Form:**

- U.S. entity or U.S. citizen or resident . . . W-9
- A foreign individual . . . W-8BEN (Individual)
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . W-8IMY
- 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) . . . W-8ECI or W-8EXP
- Any person acting as an intermediary . . . W-8IMY

Part I **Identification of Beneficial Owner** 實益所有人資料

1 Name of organization that is the beneficial owner
組織/企業名稱

2 Country of incorporation or organization
國家

3 Name of disregarded entity receiving the payment (if applicable)
無行企業實體之名稱 (如適用)

4 Chapter 3 Status (entity type) (Must check one box only):
類型 *擇一勾選

☐ Corporation 公司 ☐ Disregarded entity 無行企業實體 ☐ Partnership 合夥
☐ Simple trust 簡易信託 ☐ Grantor trust 讓與信託 ☐ Complex trust 複合信託 ☐ Estate 地產 ☐ Government 政府機構
☐ Central Bank of Issue 中央銀行 ☐ Tax-exempt organization 免稅組織 ☐ Private foundation 私立機構

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. 若勾選以上四類之一，請問貴公司是否合併申請稅務協定？ 若是，請續填第二頁 14、15 題

5 Chapter 4 Status (FATCA status) (Must check one box only unless otherwise indicated). (See instructions for details and complete the certification below for the entity's applicable status). **FATCA 身分** *擇一勾選，除非有其他指示

☐ Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a registered deemed-compliant FFI or participating FFI). 未簽署 FATCA 協議的外國金融機構
☐ Participating FFI. 已簽署 FATCA 協議的外國金融機構
☐ Reporting Model 1 FFI. IGA 採 Model 1 的外國金融機構
☐ Reporting Model 2 FFI. IGA 採 Model 2 的外國金融機構
☐ Registered deemed-compliant FFI 註冊視為遵循 FATCA 的 FFI
☐ Sponsored FFI that has not obtained a GIIN. 未得到 GIIN 之委託的外國金融機構. 請續填第二頁 16、17 題
☐ Certified deemed-compliant nonregistering local bank. 公認視為遵循 FATCA-無須註冊的本地銀行. 請續填第二頁 18 題
☐ Certified deemed-compliant FFI with only low-value accounts. 公認視為遵循 FATCA-僅有低價值帳戶的 FFI. 請續填第三頁 19 題
☐ Certified deemed-compliant sponsored, closely held investment vehicle. 公認視為遵循 FATCA-少數人持有之委託投資工具. 請續填第三頁 20、21 題
☐ Certified deemed-compliant limited life debt investment entity. 公認視為遵循 FATCA-有限年數債券投資公司. 請續填第三頁 22 題
☐ Certified deemed-compliant investment advisors and investment managers. 公認視為遵循 FATCA-投資顧問和投資經理人. 請續填第三頁 23 題
☐ Owner-documented FFI. 已提供所有人資訊之外國金融機構. 請續填第三、四頁 24 題
☐ Restricted distributor. 指定用途基金管理者. 請續填第四頁 25 題
☐ Nonreporting IGA FFI 依跨國協議無須申報的 FFI. 請續填第四頁 26 題
☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. 外國政府機構, 美國屬地政府機構, 外國中央銀行. 請續填第五頁 27 題
☐ International organization. 國際組織. 請續填第五頁 28 題
☐ Exempt retirement plans. 豁免退休方案. 請續填第五、六頁 29 題
☐ Entity wholly owned by exempt beneficial owners. 豁免受益人百分百持有之實體. 請續填第六頁 30 題
☐ Territory financial institution. 美國屬地金融機構. 請續填第六頁 31 題
☐ Nonfinancial group entity. 非金融集團之實體. 請續填第六頁 32 題
☐ Excepted nonfinancial start-up company. 成立不滿兩年的新創公司. 請續填第六頁 33 題
☐ Excepted nonfinancial entity in liquidation or bankruptcy. 清算中或破產中之非金融法人. 請續填第六頁 34 題
☐ 501(c) organization. 屬美國 Section 501(C)之法人. 請續填第六頁 35 題
☐ Nonprofit organization. 非營利組織. 請續填第七頁 36 題
☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. 公開上市櫃公司或其內之關係企業. 請續填第七頁 37 題
☐ Excepted territory NFFE 在美國屬地成立的外國非金融機構. 請續填第七頁 38 題
☐ Active NFFE. 積極的外國非金融機構. 請續填第七頁 39 題
☐ Passive NFFE. 消極的外國非金融機構. 請續填第七頁 40 題
☐ Excepted inter-affiliate FFI. 外國金融機構之內部關係企業. 請續填第七頁 41 題
☐ Direct reporting NFFE. 直接申報之外國非金融機構
☐ Sponsored direct reporting NFFE. 委託之直接申報的外國非金融機構. 請續填第八頁 42、43 題

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).
永久居住地址 – 樓, 號, 段, 路, 街 (不可填寫郵政信箱或轉交地址)

City or town, state or province. Include postal code where appropriate.
市或鎮, 州或省 (如適用請包括郵遞區號) – 區, 鄉, 鎮, 縣, 市, 郵遞區號

Country
國家

7 Mailing address (if different from above)
郵寄地址 (如與上方地址不同)– 樓, 號, 段, 路, 街

City or town, state or province. Include postal code where appropriate.
市或鎮, 州或省 (如適用請包括郵遞區號) – 區, 鄉, 鎮, 縣, 市, 郵遞區號

Country
國家

8 U.S. taxpayer identification number (TIN), if required
美國賦稅編號, 如沒有請空白

9a ☐ GIIN
全球中間機構識別號碼

b ☐ Foreign TIN
外國賦稅編號

10 Reference number(s) (see instructions)
關聯號碼

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

W-8BEN-E 填寫說明

Allianz 安聯人壽

Part II **Disregarded Entity or Branch Receiving Payment.** 法人屬左列之一者，始須填寫。

11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment

☐ Limited Branch. 有限分公司 ☐ Reporting Model 1 FFI. IGA 採 Model 1 的 FFI ☐ U.S. Branch. 美國分公司

☐ Participating FFI. 已簽署 FATCA 協議的 FFI ☐ Reporting Model 2 FFI. IGA 採 Model 2 的 FFI *註：FFI 指外國(非美國)金融機構

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).

地址 – 樓, 號, 段, 路, 街 (不可填寫郵政信箱或轉交地址)

City or town, state or province. Include postal code where appropriate.

市或鎮, 州或省 (如適用請包括郵遞區號) – 區, 鄉, 鎮, 縣, 市, 郵遞區號

Country

國家

13 GIIN (if any) 全球中間機構識別號碼 (或其他)

Part III ~ **Part XXVIII** 請依 Part I. 第 4、第 5 題勾選之選項，依指示續填"須填寫或須勾選"之部分。

Part XXIX **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,
- 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 簽名

被授權代表實益所有人簽署之人士	→ 正楷姓名	月-日-西元年
Signature of individual authorized to sign for beneficial owner	Print Name	Date (MM-DD-YYYY)

☐ **I certify that I have the capacity to sign for the entity identified on line 1 of this form.** 簽署人確認後請打勾

Part XXX **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. Please see instructions for definition of substantial U.S. owner. 法人屬"消極的外國非金融機構" 且有 "股權大於 10%之美國股東" (第七頁勾選 40C) 請條列股東資訊 (所有股權大於 10%之美國股東) 於下方。

Name 英文姓名	Address 地址	TIN 美國稅籍編碼

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OMB No. 1545-1621

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• 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)	W-8ECI or W-8EXP
• Any person acting as an intermediary	W-8IMY

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1 Name of organization that is the beneficial owner
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2 Country of incorporation or organization
國家

3 Name of disregarded entity receiving the payment (if applicable)
無行企業實體之名稱 (如適用) 無行企業實體

4 Chapter 3 Status (entity type) (Must check one box only): 類型 *擇一勾選
☐ Corporation 公司 ☐ Disregarded entity ☐ Partnership 合夥
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☐ International organization. 國際組織. 請續填第五頁 28 題
☐ Exempt retirement plans. 豁免退休方案. 請續填第五、六頁 29 題
☐ Entity wholly owned by exempt beneficial owners. 豁免受益人百分百持有之實體. 請續填第六頁 30 題
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☐ Nonfinancial group entity. 非金融集團之實體. 請續填第六頁 32 題
☐ Excepted nonfinancial start-up company. 成立不滿兩年的新創公司. 請續填第六頁 33 題
☐ Excepted nonfinancial entity in liquidation or bankruptcy. 清算中或破產中之非金融法人. 請續填第六頁 34 題
☐ 501(c) organization. 屬美國 Section 501(C)之法人. 請續填第六頁 35 題
☐ Nonprofit organization. 非營利組織. 請續填第七頁 36 題
☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. 公開上市櫃公司或其內之關係企業. 請續填第七頁 37 題
☐ Excepted territory NFFE 在美國屬地成立的外國非金融機構. 請續填第七頁 38 題
☐ Active NFFE. 積極的外國非金融機構. 請續填第七頁 39 題
☐ Passive NFFE. 消極的外國非金融機構. 請續填第七頁 40 題
☐ Excepted inter-affiliate FFI. 外國金融機構之內部關係企業. 請續填第七頁 41 題
☐ Direct reporting NFFE. 直接申報之外國非金融機構
☐ Sponsored direct reporting NFFE. 委託之直接申報的外國非金融機構. 請續填第八頁 42、43 題

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).
永久居住地址 – 樓, 號, 段, 路, 街 (不可填寫郵政信箱或轉交地址)

City or town, state or province. Include postal code where appropriate.
市或鎮, 州或省 (如適用請包括郵遞區號) – 區, 鄉, 鎮, 縣, 市, 郵遞區號

Country
國家

7 Mailing address (if different from above)
郵寄地址 (如與上方地址不同)– 樓, 號, 段, 路, 街

City or town, state or province. Include postal code where appropriate.
市或鎮, 州或省 (如適用請包括郵遞區號) – 區, 鄉, 鎮, 縣, 市, 郵遞區號

Country
國家

8 U.S. taxpayer identification number (TIN), if required
美國賦稅編號, 如沒有請空白

9a ☐ GIIN
全球中間機構識別號碼

b ☐ Foreign TIN
外國賦稅編號

10 Reference number(s) (see instructions)
關聯號碼

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

W-8BEN-E 填寫說明

Allianz 安聯人壽

Part II **Disregarded Entity or Branch Receiving Payment.** 法人屬左列之一者，始須填寫。

11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
☐ Limited Branch. 有限分公司 ☐ Reporting Model 1 FFI. IGA 採 Model 1 的 FFI ☐ U.S. Branch. 美國分公司
☐ Participating FFI. 已簽署 FATCA 協議的 FFI ☐ Reporting Model 2 FFI. IGA 採 Model 2 的 FFI *註：FFI 指外國(非美國)金融機構

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).
地址 – 樓，號，段，路，街 (不可填寫郵政信箱或轉交地址)

City or town, state or province. Include postal code where appropriate.
市或鎮，州或省 (如適用請包括郵遞區號) – 區，鄉，鎮，縣，市，郵遞區號

Country
國家

13 GIIN (if any) 全球中間機構識別號碼 (或其他)

Part III ~ **Part XXVIII** 請依 Part I. 第 4、第 5 題勾選之選項，依指示續填"須填寫或須勾選"之部分。

Part XXIX **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,
- 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 簽名

被授權代表實益所有人簽署之人士	正楷姓名	月-日-西元年
Signature of individual authorized to sign for beneficial owner	Print Name	Date (MM-DD-YYYY)

☐ **I certify that I have the capacity to sign for the entity identified on line 1 of this form.** 簽署人確認後請打勾

Part XXX **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. Please see instructions for definition of substantial U.S. owner. 法人屬"消極的外國非金融機構" 且有 "股權大於 10%之美國股東" (第七頁勾選 40C) 請條列股東資訊 (所有股權大於 10%之美國股東) 於下方。

Name 英文姓名	Address 地址	TIN 美國稅籍編碼