

Self – Certification Reporting (Entity)

* This Self- Certification needs to be filled out in order to check whether customers, with new accounts or preexisting accounts in financial institutions, are foreign taxpayer status in accordance with 「 The Law for the Coordination of International Tax affairs 」 , 「 Korea- U.S. FATCA agreement 」 and 「 Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information 」 .

Part 1. Information on Customer

Legal Name of Entity		Business Registration Number (Investment Registration Number)	
Current Residence Address		Telephone Number	
※ Principal Tax Residency & Tax Identification Number			
1	Principal Tax Residency	TIN	<input type="checkbox"/> Not issue <input type="checkbox"/> No required <input type="checkbox"/> Not obtain
2	Principal Tax Residency	TIN	<input type="checkbox"/> Not issue <input type="checkbox"/> No required <input type="checkbox"/> Not obtain
If not obtain TIN, explain the reason			

Part 2. Self – Certification

①	Is your entity classified as U.S. entity or organization ?	<input type="checkbox"/> Yes go to Part 4. <input type="checkbox"/> No go to ②.
②	Is you entity classified as a financial institution including Depository institution, Custodial institution, Investment entity or Specified insurance company?	<input type="checkbox"/> Yes go to Part 5. <input type="checkbox"/> No go to ③.
③	Is your entity classified as one of below?	
	<input type="checkbox"/> Stock -Listed Entity or affiliated entities of the entity	<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to ④.
④	<input type="checkbox"/> Governmental organization <input type="checkbox"/> Central Bank <input type="checkbox"/> International Organization	<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to ④.
	Is your entity classified as an active NFE (Non Financial Entity) ?	<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to ⑤.
⑤	<input type="checkbox"/> start -up companies <input type="checkbox"/> NFEs ; liquidating or emerging from bankruptcy <input type="checkbox"/> non -profit NFEs <input type="checkbox"/> holding NFEs, treasury centres,	<input type="checkbox"/> U.S Jurisdiction Entity <input type="checkbox"/> excepted NFEs as described in relevant US Treasury Regulations <input type="checkbox"/> Active NFE
	Because answered 'no' to ②~④, your entity is classified as Passive NFE . Is there any Controlling person (individual stockholders having more than 25% of shares directly or indirectly) on your entity?	<input type="checkbox"/> Yes go to Part 6. <input type="checkbox"/> No go to Part 3.

Part 3. Notice & Assurance

- Prepared information is protected by 「 ACT ON REAL NAME FINANCIAL TRANSATIONS AND GUARANTEE OF SECRECY 」 and 「 USE AND PROTECTION OF CREDIT INFORMATION ACT 」 .
- Financial institutions may request additional information to customers for confirmation of facts provided on Self – Certification. Information on customer and account may be reported to National Tax Service if all information requested on the application form is not provided under related law.
- I assure that I have completed the certification with correct information.
- I am fully informed that my information on the certification may be provided to the authorities for the duties of authorities and financial institutions in order to comply the relative regulation.

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Name

유선접수자 (인) 접수시간 연락처

담당자	책임자

Self – Certification Reporting (Entity)

Part 4. Specified U.S. Person

⑥	Select appropriate status for your entity?	<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to ✖
	<div> <input type="checkbox"/> Stock – Listed Entity <input type="checkbox"/> Affiliated entities of stock – listed entity </div> <div> <input type="checkbox"/> U.S. Governmental organizations, etc. <input type="checkbox"/> Political subdivision of U.S. Territory etc. </div> <div> <input type="checkbox"/> Retirement plan established in U.S. jurisdiction <input type="checkbox"/> Bank under U.S. tax law </div> <div> <input type="checkbox"/> Real estate investment trust under U.S. tax law <input type="checkbox"/> Regulated company under U.S. tax law </div> <div> <input type="checkbox"/> Common trust fund under U.S. tax law <input type="checkbox"/> Tax exempt Trust under U.S. tax law </div> <div> <input type="checkbox"/> Financial instrument dealer under U.S. tax law <input type="checkbox"/> Broker under U.S. tax law </div>	

Part 5. Information on Financial Institution

⑦	a	Is your entity Investment Entity located in Non-Participating Jurisdiction and managed by another Financial Institution?			<input type="checkbox"/> Yes go to a-1 <input type="checkbox"/> No go to b.																					
		1	any Controlling person (individual stockholders having more than 25% of shares directly or indirectly) on your entity?		<input type="checkbox"/> Yes go to Part 6. <input type="checkbox"/> No go to Part 3.																					
	b	Is your entity classified as Nonparticipating financial institution by U.S. IRS?			<input type="checkbox"/> Yes go to c <input type="checkbox"/> No go to ✖																					
	c	Indicate your IRS GIIN GIIN <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td> <td>-</td> <td></td><td></td><td></td><td></td><td></td><td></td> <td>-</td> <td></td><td></td> <td>-</td> <td></td><td></td><td></td> </tr> </table>										-							-			-				<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to d~e
								-							-			-								
	d	Is your entity classified as one of below?			<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to e.																					
		Non-Reporting (FATCA/CRS)	<input type="checkbox"/> Broad participation retirement fund <input type="checkbox"/> Narrow participation retirement fund <input type="checkbox"/> Trustee – Documented Trust <input type="checkbox"/> Pension fund <input type="checkbox"/> Post office pension fund																							
	e	Is your entity classified as one of below?																								
		1	Non-Reporting (CRS)	<input type="checkbox"/> Exempt Collective Investment Vehicle <input type="checkbox"/> Investment advisory and Investment agency		<input type="checkbox"/> Yes go to e-2. <input type="checkbox"/> No go to e-2 & ✖																				
		2	Non-Reporting (FATCA)	<input type="checkbox"/> Nonregistering Local Bank <input type="checkbox"/> Financial Institution with Low – Value Accounts <input type="checkbox"/> Sponsored Investment Vehicle <input type="checkbox"/> Sponsored, Closely Held Investment Vehicle <input type="checkbox"/> Domestic Exempt Collective Investment Vehicle <input type="checkbox"/> Limited Life Debt Investment Entity (till Jan.1,2017.) <input type="checkbox"/> Treaty – qualified retirement fund <input type="checkbox"/> Sponsored Financial Institution		<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to ✖																				

Part 6. Information on Controlling Person (complete below & go to ✕)

Name	(Last Name)	(First Name)	Date of Birth	
Current Residence Address				
Principal Tax Residency	Tax Identification No.	If not submit TIN, explain the reason		
		<input type="checkbox"/> Not Issue	<input type="checkbox"/> No required	<input type="checkbox"/> Not Obtain (Reason)
		<input type="checkbox"/> Not Issue	<input type="checkbox"/> No required	<input type="checkbox"/> Not Obtain (Reason)

Name	(Last Name)	(First Name)	Date of Birth	
Current Residence Address				
Principal Tax Residency	Tax Identification No.	If not submit TIN, explain the reason		
		<input type="checkbox"/> Not Issue <input type="checkbox"/> No required <input type="checkbox"/> Not Obtain (Reason)		
		<input type="checkbox"/> Not Issue <input type="checkbox"/> No required <input type="checkbox"/> Not Obtain (Reason)		