

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				Reason why you are unable to submit a TIN
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 your 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.
	<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.
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.
	<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	
⑤	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 TRANSACTIONS 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.

Name

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유선접수자 :	(인) 접수시간 :	연락처 :
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담당자	책임자

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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 ✖
	<input type="checkbox"/> Stock - Listed Entity <input type="checkbox"/> U.S. Governmental organizations, etc. <input type="checkbox"/> Retirement plan established in U.S. jurisdiction <input type="checkbox"/> Real estate investment trust under U.S. tax law <input type="checkbox"/> Common trust fund under U.S. tax law <input type="checkbox"/> Financial instrument dealer under U.S. tax law	<input type="checkbox"/> Affiliated entities of stock - listed entity <input type="checkbox"/> Political subdivision of U.S. Territory etc. <input type="checkbox"/> Bank under U.S. tax law <input type="checkbox"/> Regulated company under U.S. tax law <input type="checkbox"/> Tax exempt Trust under U.S. tax law <input type="checkbox"/> Broker under U.S. tax law

Part 5. Information on Financial Institution

⑦	a Is your entity Investment Entity located in Non managed by another Financial Institution? -Participating Jurisdiction and		<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 - - - 	<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.	
	d	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	<input type="checkbox"/> Yes go to Part 3. <input type="checkbox"/> No go to e.
e	Is your entity classified as one of below?		<input type="checkbox"/> Yes go to e-2. <input type="checkbox"/> No go to e-2 & ✖	
	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)	