



Date: _____

Tracker Fund of Hong Kong

(A Hong Kong unit trust authorized under section 104(1) of the Securities and Futures Ordinance (Cap 571) of Hong Kong)
(Stock Code: 2800)



Unitholder Name: _____

Address: _____

Use a black pen. Write in CAPITAL letters inside the grey areas as shown in this example.



Foreign Account Tax Compliance Act ("FATCA") Self-Certification Form

Dear Unitholder: Please read the cover letter and the Personal Information Collection Statement before completing this form. This form is used to certify your residency and citizenship for tax purposes. Please read the reverse for definitions of terms used on this form. You should, if necessary, consult your own professional advisor(s) on the details and implications of FATCA.

Where the units are held by joint individuals in their own right (i.e. not held as Trustees), a separate form is required for each individual unitholder. Please complete only one of the section 1 to 3 as applicable and sign the form in section 4.

1 Individuals

Is the individual a U.S. citizen or resident of the U.S. for tax purposes? YES NO

If YES, please provide the individual's U.S. Taxpayer Identification Number.

2 U.S. Entities

If your entity is a corporation or partnership incorporated or organized in the U.S. or a trust considered a Specified U.S. Person, please complete this section.

Is the entity a Specified U.S. Person for U.S. tax purposes? YES NO

If YES, please provide the entity's U.S. Taxpayer Identification Number.

3 Non-U.S. Entities

Please select one of the following statuses below.

A. Global Intermediary Identification Number
Please provide the GIIN.

B. Financial Institution

If the Financial Institution has not registered for a GIIN, please select its FATCA status from the following:

Deemed Compliant Financial Institution Non-Participating Financial Institution Exempt Beneficial Owner

Non-Reporting HKSAR Financial Institution

C. Active Non-Financial Entity



D. Passive Non-Financial Entity

Are there any U.S. citizens or residents for tax purpose who are Controlling Persons of the Passive Non-Financial Entity? Please refer to below for the definition of a Controlling Person.

YES NO

If yes, provide the name, address, and US Taxpayer Identification Number (TIN) of each U.S. Controlling Person (attach an additional page if necessary):

Name	Address (number, street, city, province/state/region, and country including postal code)	TIN (XXX-XX-XXXX)

4 Certification

I/We represent and declare that:

- a) I/we am/are authorised to provide the information on this form and such information is, to the best of my/our knowledge and belief, true, correct and complete. I/We give my/our consent for all information regarding my investment(s), and account(s) including the information on this form, to be provided to the U.S. Internal Revenue Service from time to time, pursuant to the Intergovernmental Agreement. I/We also agree that I/we will submit a new form within 30 days with any changes if any certification made on this form becomes incorrect;
- b) Where sections 1, 2 or 3(c) have been completed electing checkbox “yes”, the accountholder named on this form is holding for the benefit of itself and not for the benefit of another person.

This form must be signed and dated for us to accept as proper certification.

Sign Here



Signature - For an entity, please affix the company stamp.

Print Name and Title

Date (dd/ mm /yyyy)

/ /

Phone Number: _____

Please return the completed form to:

**Computershare Hong Kong Investor Services Limited
17M Floor Hopewell Centre, 183 Queen’s Road East
Wan Chai, Hong Kong**

Definitions for Self-Certification Form

Active Non-Financial Entity	Means any Non-Financial Foreign Entity that meets any of the criteria indicated in paragraph VI(B)(4) of Annex I of the IGA.
Controlling Person	Under IGA, it means the natural person who exercises control over an entity. In the case of a trust, such term means the settlor, the trustee, the protector (if any), the beneficiary or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust; and in the case of a legal arrangement other than a trust, such term means the person in equivalent or similar position. The term “Controlling Person” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
Deemed Compliant Financial Institution	A Financial Institution that meets any of the criteria indicated in Annex II of the IGA applicable to the entity’s place of incorporation or if no IGA exists, the FATCA Regulations.
Exempt Beneficial Owner	An Entity that meets any of the criteria indicated in paragraphs Annex II of the IGA applicable to the entity’s place of incorporation or if no IGA exists, the FATCA Regulations.
Financial Institution	A Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined in Article 1 of the IGA.
Non-Participating Financial Institution	Under Article 1(q) of the IGA, the term is defined in relevant U.S. Treasury Regulations, but does not include a HKSAR Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution treated as a Non-Participating Financial Institution pursuant to Article 4 of the IGA.
Non-Reporting HKSAR Financial Institution	Under Article 1(p) of the IGA, it means any HKSAR Financial Institution, or other Entity resident in the HKSAR, that is described in Annex II as a Non-Reporting HKSAR Financial Institution or that otherwise qualifies as a deemed-compliant FFI or an exempt beneficial owner under relevant U.S. Treasury Regulations.
Intergovernmental Agreement (IGA)	A model 2 Intergovernmental Agreement of FATCA between Hong Kong and the United States dated 13 November 2014.
Passive Non-Financial Entity	Under paragraph (B)(3) of Annex 1 of the IGA, it means that any Non-Financial Foreign Entity that is not (a) an Active Non-Financial Foreign Entity or (b) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.
Specified U.S. Person	A U.S. Person for U.S. tax purposes that is also a privately owned domestic corporation, domestic partnership, or a domestic trust or estate. Please find a full definition of Specified U.S. Person in Article 1(z) of the IGA.
U.S. Person	Under Article 1(y) of the IGA, it means (A) a U.S. citizen or resident individual, (B) a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, (C) a trust if (i) a court within the United States that would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or (D) an estate of a decedent that is a citizen or resident of the United States.