

Form <b>1042-S</b>		Department of the Treasury Internal Revenue Service		Foreign Person's U.S. Source Income Subject to Withholding		AMENDED		PRO-RATA BASIS REPORTING		2014		OMB No. 1545-0096		Copy B for Recipient	
1 Income code	2 Gross income	3 Chap. 3	3a Exemption code	3b Tax rate	5 Withholding allowance										
18	18,060	X	04	00.00	6 Net income										
8 Tax withheld by other agents					7 Federal tax withheld	0	Check if tax not deposited under escrow procedure								
10 Total withholding credit					9 Tax assumed by withholding agent										
12a Withholding agent's EIN					12b Ch. 3 status code	02	11 Amount repaid to recipient								
12c Ch. 4 status code					13a Withholding agent's name	14f Primary Withholding Agent's EIN									
13b Withholding agent's Global Intermediary Identification Number (GIIN)					15a Intermediary or flow-through entity's EIN, if any	15b Ch. 3 status code									
13c Country code					13d Foreign taxpayer identification number, if any	15c Ch. 4 status code									
13e,f Address (number and street), City or town, state or province, country, ZIP or foreign postal code					16a Intermediary or flow-through entity's name	16b Intermediary or flow-through entity's GIIN									
7000 Fannin					16c Country code	16d Foreign tax identification number, if any									
Houston, TX 77030					16e,f Address (number and street), City or town, state or province, country, ZIP or foreign postal code										
13g Recipient's U.S. TIN, if any															
727255836															
13h Ch. 3 status code	13i Ch. 4 status code	14b Recipient's country code		CH	17 Recipient's GIIN	18 Recipient's foreign tax identification number, if any									
14a,c,d Recipient's name, Address (number and street), City or town, state or province, country, ZIP or foreign postal code					19 Recipient's account number										
Shicheng Guo					20 Recipient's date of birth										
2120 El Paseo Apt 1801					21 Payer's name										
Houston, TX, USA 77054					22 Payer's TIN										
14e Primary Withholding Agent's Name (if applicable)					23 Payer's GIIN										
					24 State income tax withheld										
					25 Payer's state tax no.										
					26 Name of state										

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Information about Form 1042-S and its separate instructions is at [www.irs.gov/form1042](http://www.irs.gov/form1042).

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2. WITH THIS SIDE UP, SLIDE FINGER BETWEEN FRONT AND MIDDLE PANEL, SLIDE FINGER UP TO OPEN  
3. BEFORE DETACHING FORM SLIDE FINGER UP BETWEEN MIDDLE PANEL AND ADDRESS PANEL TO REMOVE



Remove address panel below to view additional instructions on back of copy C

## U.S. Income Tax Filing Requirements

Generally, every nonresident alien individual, nonresident alien fiduciary, and foreign corporation with United States income, including income that is effectively connected with the conduct of a trade or business in the United States, must file a United States income tax return. However, no return is required to be filed by a nonresident alien individual, nonresident alien fiduciary, or foreign corporation if such person was not engaged in a trade or business in the United States at any time during the tax year and if the tax liability of such person was fully satisfied by the withholding of United States tax at the source. Corporations file Form 1120-F; all others file Form 1040NR (or Form 1040NR-EZ if eligible). You may get the return forms and instructions at any United States Embassy or consulate or by writing to: Internal Revenue Service, 1201 N. Mitsubishi Motorway, Bloomington, IL 61705-6613.

En règle générale, tout étranger non-résident, tout organisme fiduciaire étranger non-résident et toute société étrangère percevant un revenu aux États-Unis, y compris tout revenu dérivé, en fait, du fonctionnement d'un commerce ou d'une affaire aux États-Unis, doit produire une déclaration d'impôt sur le revenu auprès des services fiscaux des États-Unis. Cependant aucune déclaration d'impôt sur le revenu n'est exigée d'un étranger non-résident, d'un organisme fiduciaire étranger non-résident, ou d'une société étrangère s'ils n'ont pris part à aucun commerce ou affaire aux États-Unis à aucun moment pendant l'année fiscale et si les impôts dus le sont redevables, ont été entièrement acquittés par une retenue à la source sur leur salaire. Les sociétés doivent faire leur déclaration d'impôt en remplissant le formulaire 1120-F; tous les autres redevables doivent remplir le formulaire 1040NR (ou 1040NR-EZ s'ils en remplissent les conditions). On peut se procurer les formulaires de déclarations d'impôts et les instructions y afférentes dans toutes les Ambassades et tous les Consultats des États-Unis. L'on peut également s'adresser pour tout renseignement à: Internal Revenue Service, 1201 N. Mitsubishi Motorway, Bloomington, IL 61705-6613.

Por regla general, todo extranjero no residente, todo organismo fiduciario extranjero no residente y toda sociedad anónima extranjera que reciba ingresos en los Estados Unidos, incluyendo ingresos relacionados con la conducción de un negocio o comercio dentro de los Estados Unidos, deberá presentar una declaración estadounidense de impuestos sobre el ingreso. Sin embargo, no se requiere declaración alguna a un individuo extranjero, una sociedad anónima extranjera u organismo fiduciario extranjero no residente, si tal persona no ha efectuado comercio o negocio en los Estados Unidos durante el año fiscal y si la responsabilidad con los impuestos de tal persona ha sido satisfecha plenamente mediante retención del impuesto de los Estados Unidos en la fuente. Las sociedades anónimas envían el Formulario 1120-F; todos los demás contribuyentes envían el Formulario 1040NR (o el Formulario 1040NR-EZ si les corresponde). Se podrá obtener formularios e instrucciones en cualquier Embajada o Consulado de los Estados Unidos o escribiendo directamente a: Internal Revenue Service, 1201 N. Mitsubishi Motorway, Bloomington, IL 61705-6613.

Im allgemeinen muss jede ausländische Einzelperson, jeder ausländische Bevollmächtigte und jede ausländische Gesellschaft mit Einkommen in den Vereinigten Staaten, einschliesslich des Einkommens, welches direkt mit der Ausübung von Handel oder Gewerbe innerhalb der Staaten verbunden ist, eine Einkommensteuererklärung der Vereinigten Staaten abgeben. Eine Erklärung, muss jedoch nicht von Ausländern, ausländischen Bevollmächtigten oder ausländischen Gesellschaften in den Vereinigten Staaten eingereicht werden, falls eine solche Person während des Steuerjahres kein Gewerbe oder Handel in den Vereinigten Staaten ausgeübt hat und die Steuerschuld durch Einbehaltung der Steuern der Vereinigten Staaten durch die Einkommensquelle abgegolten ist. Gesellschaften reichen den Vordruck 1120-F ein; alle anderen reichen das Formblatt 1040NR (oder wenn passend das Formblatt 1040NR-EZ) ein. Einkommensteuererklärungen und Instruktionen können bei den Botschaften und Konsulaten der Vereinigten Staaten eingeholt werden. Um weitere Informationen wende man sich bitte an: Internal Revenue Service, 1201 N. Mitsubishi Motorway, Bloomington, IL 61705-6613.

### Explanation of Codes

Box 1. Income code.

Code	Types of Income
01	Interest paid by U.S. obligor—general
02	Interest paid on real property mortgages
03	Interest paid to controlling foreign corporations
04	Interest paid by foreign corporations
05	Interest on tax-free covenant bonds
22	Interest paid on deposit with a foreign branch of a domestic corporation or partnership
29	Deposit interest
30	Original issue discount (OID)
31	Short-term OID
33	Substitute payment—interest

06	Dividends paid by U.S. corporations—general
07	Dividends qualifying for direct dividend rate
09	Dividends paid by foreign corporations
21	Gross income—Capital gain dividend
34	Substitute payment—dividends
40	Other dividend equivalents under IRC section 871(m) (formerly 871(f))
09	Capital gains
10	Industrial royalties
11	Motion picture or television copyright royalties
12	Other royalties (for example, copyright, recording, publishing)

See back of Copy C for additional codes

### Explanation of Codes (continued)

07	U.S. branch of Registered Deemed-Compliant FFI-treated as U.S. Person
08	Partnership other than Withholding Foreign Partnership
09	Withholding Foreign Partnership
10	Trust other than Withholding Foreign Trust
11	Withholding Foreign Trust
12	Qualified Intermediary
13	Qualified Intermediary—Branch under Qualified Intermediary Agreement
14	Qualified Intermediary—Branch not under Qualified Intermediary Agreement
15	Qualified Intermediary—Foreign Branch of U.S. FI
16	Qualified Securities Lender—Qualified Intermediary
17	Qualified Securities Lender—Other
18	Corporation
19	Individual
20	Estate
21	Private Foundation
22	International Organization
23	Tax Exempt Organization (Section 501(c) entities)
24	Unknown Recipient
25	Artist or Athlete
26	Pension
27	Foreign Government—Integral Part
28	Foreign Government—Controlled Entity
29	Government of U.S. territory
30	Foreign Central Bank of Issue
31	Nonqualified Intermediary
32	Hybrid entity making Treaty Claim

### Pooled Reporting Codes

33	Withholding Rate Pool—General
34	Withholding Rate Pool—Exempt Organization
35	PAI Withholding Rate Pool—General
36	PAI Withholding Rate Pool—Exempt Organization
37	Agency Withholding Rate Pool—General
38	Agency Withholding Rate Pool—Exempt Organization

### Chapter 4 Status Codes

01	U.S. Withholding Agent—FI
02	U.S. Withholding Agent—Other
03	Territory FI - not treated as U.S. Person
04	Territory FI - treated as U.S. Person
05	U.S. branch of Participating FFI-treated as U.S. Person
06	U.S. branch of Participating FFI-not treated as U.S. Person
07	U.S. branch of Registered Deemed-Compliant FFI-treated as U.S. Person
08	Participating FFI—Other
09	Participating FFI-Reporting Model 2 FFI
10	Registered Deemed-Compliant FFI-Reporting Model 1 FFI
11	Registered Deemed-Compliant FFI-Sponsored Entity
12	Registered Deemed-Compliant FFI—Other
13	Certified Deemed-Compliant FFI—Other
14	Certified Deemed-Compliant FFI-FFI with Low Value Accounts
15	Certified Deemed-Compliant FFI-Non-Registering Local Bank
16	Certified Deemed-Compliant FFI-Sponsored Entity
17	Certified Deemed-Compliant FFI-Investment Advisor or Investment Manager

### Chapter 4 Status Codes (continued)

18	Nonparticipating FFI
19	Owner-Documented FFI
20	Limited Branch treated as Nonparticipating FFI
21	Limited FFI treated as Nonparticipating FFI
22	Passive NFFE identifying Substantial U.S. Owners
23	Passive NFFE with no Substantial U.S. Owners
24	Publicly Traded NFFE or Affiliate of Publicly Traded NFFE
25	Active NFFE
26	Excepted NFFE—Other
27	Individual
28	Section 501(c) Entities
29	Excepted Territory NFFE
30	Exempt Beneficial Owner
31	Entity Wholly Owned by Exempt Beneficial Owners
32	Unknown Recipient
33	Recalcitrant Account Holder
34	NFFE-WP or WT
35	Nonreporting IGA FFI
36	Direct reporting NFFE
37	U.S. reportable account
38	Non-consenting U.S. account
39	Sponsored direct reporting NFFE
40	Excepted Inter-affiliate FFI
41	Undocumented Preexisting Obligation

### Pooled Reporting Codes

42	Recalcitrant Pool—No U.S. Indicia
43	Recalcitrant Pool—U.S. Indicia
44	Recalcitrant Pool—Domestic Account
45	Recalcitrant Pool—U.S. Persons
46	Recalcitrant Pool—Passive NFFEs
47	Nonparticipating FFI Pool
48	U.S. Payees Pool



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First-Class Mail

Important Tax Document Enclosed



OFFICIAL BUSINESS  
STATE OF TEXAS  
STATE PENALTY  
FOR PRIVATE USE  
RETURN SERVICE REQUESTED

UT Health Science Ctr-Houston  
7000 Fannin  
Houston 77030  
TX

Houston  
USA  
TX

2120 El Paseo Apt 1801

Shicheng Guo

77054