

Substitute  
**W-8BEN**Department of the Treasury  
Internal Revenue Service**Certificate of Foreign Status of Beneficial Owner  
for United States Tax Withholding**► For use by individuals. Entities must use Form W-8BEN-E.  
► Give this form to the withholding agent or payer. Do not send to the IRS.

tdameritrade.com

TD Ameritrade  
200 S 108th Ave  
Omaha, NE 68154-2631For complete instructions or more information on the W-8 forms, please refer to [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben). If you have any other questions regarding your application or account, please contact TD Ameritrade.**Part I Identification of Beneficial Owner** (See instructions.)

1 Name of individual who is the beneficial owner <u>Shicheng Guo</u>	2 Country of citizenship <u>China, P.R.</u>
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <u>3373 Lebon Dr. Apt. 203</u>	
City or town, state or province. Include postal code where appropriate. <u>San Diego, CA, 92122</u>	Country <u>U.S.</u>
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	
5 U.S. taxpayer identification number (SSN or ITIN) if required (see instructions) <u>SSN: 727-25-5836</u>	6 Foreign tax identifying number, if any (see instructions)
7 TD Ameritrade Account Number (if no account number yet, write New Account) <u>490139715</u>	8 Date of birth (MM-DD-YYYY) (see instructions) <u>02/28/1986</u>

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

- 9 I certify that the beneficial owner is a resident of China, P.R. within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions (if applicable – see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9 above to claim \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

**Part III 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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relate or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named 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,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, 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 I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

The Internal Revenue Service does not require your consent to any provisions of this document other than the certifications required to establish your status as a non-U.S. person and, if applicable, obtain a reduced rate of withholding.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

**Affidavit of Unchanged Status** (if applicable)

Under penalties of perjury I declare that I have examined and signed the above Form W-8BEN and that the information and certifications contained therein remained the same and unchanged for the period beginning January 1, 2017 (or later account opening date) to the present, and were true, correct, and complete during that period.

Signature: \_\_\_\_\_ Signature Capacity: \_\_\_\_\_

Please fax all requested paperwork to 866-468-6268 or attach to an email through the Secure Message Center. If mailing is preferred, send original W-8BEN to the address in the upper right hand corner.

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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# Letter of Explanation for U.S. Mailing Address/U.S. Phone Number Attachment to Form W-8

PO Box 2760 ■ Omaha, NE 68103-2760

Fax: 866-468-6268

Account # 490139715

First Name: <u>Shicheng</u>	Middle Name:	Last Name: <u>Guo</u>
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**Note:** The mailing address on your account may not belong to a Registered Investment or Financial Advisor.

Please complete one of the three sections below. If you claimed a treaty on your W-8BEN, you will also need to certify your claim in the Treaty section below.

I, Shicheng Guo, certify that I am a non-U.S. person as defined for U.S. tax purposes. I have a U.S. address/U.S. phone number for one of the below reason(s):

### Residing in the U.S.

I certify that I am one of the following:

- ☐ (1) A student at a U.S. educational institution and hold the appropriate visa.
- ☒ (2) A teacher, trainee, or intern at a U.S. educational institution or a participant in an educational or cultural exchange visitor program and hold the appropriate visa.
- ☐ (3) A foreign individual assigned to a diplomatic post or a position in a consulate, embassy, or international organization in the U.S.
- ☐ (4) A spouse or unmarried child under the age of 21 years of one of the persons described in a (1), (2), or (3).

### Temporarily in the U.S.

I certify that I **do not** qualify as a U.S. resident under the substantial presence test. Based on the substantial presence test calculation for the current year and the previous two years, I have been in the U.S. for four days.

### Closer Connection to a Foreign Country

I certify that I meet the closer connection exception to the substantial presence test because I meet all of the following criteria:

- I have been present in the United States for fewer than 183 days in the current year;
- I maintain a tax home in the country of \_\_\_\_\_ during the current year; and
- I have a closer connection during the current year to this foreign country because \_\_\_\_\_

### Claiming a Treaty

I certify that I am treated as a resident of \_\_\_\_\_ for purposes of the income tax treaty between it and the U.S. and am not treated as a U.S. resident or citizen for purposes of that income tax treaty.

I have provided, or will provide, TD Ameritrade, Inc. with any other documentation requested to support my claim of non-U.S. status and/or tax treaty benefits and will refresh such documentation upon request. I also acknowledge that: (1) I must advise TD Ameritrade, Inc. if I become a U.S. citizen, U.S. resident, or other U.S. person for U.S. tax law purposes; and (2) such change in my U.S. tax status will impact on the U.S. tax treatment of my income from U.S. investments, which are held by TD Ameritrade, Inc.

**Note:** Each account owner must complete and sign a separate form.

Printed Name: <u>Shicheng Guo</u>	Title: <u>postdoc / mr / dr.</u>
<input checked="" type="checkbox"/> Signature: <u>[Signature]</u>	Date: <u>09/13/2017</u>

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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