

### QUESTIONNAIRE FOR FATCA & CRS/AEIO Natural Person

Avanza Casa de Valores S.A. (AVANZA) is committed to full and timely compliance with FATCA and CRS regulations. In compliance with FATCA and CRS, AVANZA must validate the global tax status of its clients and obtain a tax residency certification.

First and Last Names:  
 Identity Card or Passport Number:  
 Residence Address:  
 City / Country:  
 Citizenships (include all citizenships held):  
 Fiscal domicile:

- Is the sole Beneficiary of the Trading Account
- Is not the sole Beneficiary of the Trading Account
- Is not the Beneficiary of the Trading Account

- All countries in which the holder or beneficiaries are resident for tax purposes should be included.
- If the owner is different from the beneficial owner(s) of the Trading Account, a FATCA Indicia of Compliance form must be completed for each beneficial owner.

Are you a U.S. Citizen (Single or Dual Citizenship) <input type="checkbox"/> YES <input type="checkbox"/> No	Taxpayer Identification Number/ (Social Security Number) If you do not have a Social Security No:
Are you a U.S. Permanent Resident Alien or Green Card holder? <input type="checkbox"/> YES <input type="checkbox"/> No	Foreign Taxpayer Identification Number (RIF, RUC, etc.)
Do you generate revenue from active business in the U.S. or any of its territories? <input type="checkbox"/> YES <input type="checkbox"/> No	You are considered a U.S. taxpayer for any other reason. <input type="checkbox"/> YES <input type="checkbox"/> No
Do you act as a financial advisor or third party resource manager? <input type="checkbox"/> YES <input type="checkbox"/> No	<b>BASED ON THE ABOVE ANSWERS, THE HOLDER OR BENEFICIARY CERTIFIES THAT:</b> <input type="radio"/> Not a U.S. Person for U.S. tax purposes. <input type="radio"/> If you are a U.S. Person for U.S. tax purposes.
Have you renounced your U.S. taxpayer status? <input type="checkbox"/> YES <input type="checkbox"/> No  <small>*Attach document certifying renunciation of U.S. citizenship, nationality or residence (DS-4083, FS-348, or certified letter).</small>	If you answered yes to any of the options listed in this Section, you are considered a U.S. taxpayer and must complete IRS Form W-9. Otherwise, you must <b>complete</b> IRS Form W-8-BEN. If you relinquished your taxpayer status and filed the supporting document, you must complete IRS Form W-8-BEN.

- Do you have any of the following indications?
- U.S. address or residence
  - U.S. phone number
  - Current instructions for transferring funds to an account held in the U.S.
  - U.S. place of birth
  - Power of attorney or signature authority, effectively in force, granted to a person with a U.S. address.
- I certify that I do NOT possess any of these indications
- I certify that I possess one or more of the following indications

During the last year have you stayed more than 183 days in the USA? <input type="radio"/> Yes <input type="radio"/> No	Do you have another nationality? Yes <input type="radio"/> No <input type="radio"/>	If in the above answered yes, please indicate the country(ies):
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Change of Circumstances

The Client hereby undertakes to notify AVANZA CASA DE VALORES on its own initiative, during the entire contractual relationship associated with the banking or financial product(s) contracted with it and within a maximum period of thirty (30) days, if there is a change in its status in accordance with the U.S. Tax Law and FATCA regulations. If there is a change in circumstances with respect to the declarations made herein, you agree to submit a new Declaration of U.S. Tax Status and any other required documentation within ninety (90) days from the date the change occurs. In the event of a change in circumstances, you agree to be informed of the fact that the business relationship with AVANZA CASA DE VALORES may be terminated and/or classified as recalcitrant. Such classification would apply in particular if you fail to comply with the obligation to submit the documentation required to determine U.S. status, in accordance with U.S. tax regulations and FATCA regulations. Likewise, he/she accepts that in case of indications of U.S. status, if he/she does not remit the required documentation within the ninety (90) day term mentioned above, AVANZA CASA DE VALORES will report to the U.S. Internal Revenue Service, known by its acronym in English as IRS, the aggregate value of the balance of the banking or financial product(s). It also understands that cases of this nature may result in group requests initiated by the U.S. authorities relating to individual product information. As a consequence of such requests, AVANZA CASA DE VALORES may be obliged to send all the requested information to the U.S. authorities, for which purpose the Client authorizes such referral.

CERTIFICATIONS AND SIGNATURE

(Your signature on this document represents acceptance of what is listed)

By signing this document you certify, under oath, that all the answers made in this FATCA Indications of Compliance Form are true and that you understand the consequences of failing to report changes in circumstances within the thirty (30) days indicated above and to submit the required documentation within ninety (90) days, in accordance with the above. Additionally, I have not provided AVANZA CASA DE VALORES or any of its employees, either directly or indirectly, with any information that could be considered contradictory to what is set forth herein.

- I certify that the information herein is true, correct and complete.
- I certify that the supporting documents submitted are reliable and have not been altered.
- I certify that I am aware of the certification I am submitting by signing this form.
- I certify that I am in full use of my legal and mental faculties.
- I certify that I am duly authorized to provide this information and documents.
- I agree to notify AVANZA immediately (no later than 30 days after the change) of any changed information:
  - If I acquire U.S. residency or otherwise my status changes to U.S. taxpayer.
  - If a U.S. taxpayer acquires control (10% or more of the shares) of the account holder.
  - If the account holder begins to manage third party resources or becomes a financial institution.
  - If I issue a discretionary power of attorney over my investment account.

**By my signature on this document I certify that I have not received advice from AVANZA in completing this form.**

Legal Name	Signature
FATCA Officer	Date

Glossary

**U.S. Person under FATCA:** A natural person who is a U.S. citizen by virtue of being born in the U.S., or a U.S. resident by virtue of having obtained a Green Card or qualifying under the Substantial Presence Test.

**Green Card:** The term refers to a registration card for lawful permanent resident aliens issued by the U.S. Citizenship and Immigration Services, also known as USCIS. An individual who at any time during the calendar year was admitted to the U.S. as a lawful permanent resident is considered a resident alien thereafter. An individual ceases to be a lawful permanent resident if his or her status has been revoked or has been determined to have been abandoned.

**Substantial presence test:** To meet the substantial presence test, you must have been physically present in the U.S. at least:

- 31 days during the current year and
- 183 days during a 3-year period that includes the current year and the 2 immediately preceding years.
- To meet the 183-day requirement, the following are counted:
  - All the days that were present in the current year, and
  - One third of the days present in the first year prior to the current year, and
  - One-sixth of the days present in the second year before the current year

**U.S. Territory**

Includes among others: the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico, and the U.S. Virgin Islands.