

注：本申请表以中文和英文书写。中文版本与英文版本如出现任何不一致或有冲突的，则应以中文版本为准。
Note: This Application Form is written in Chinese and English. If there is any inconsistency or conflict between Chinese version and English version, the Chinese version shall prevail for all purposes.

基金账户名称 Fund Account Name

基金账号Fund Account No. (新开户免填 blank for new account)交易账号Trading Account No. (新开户免填 blank for new account)

一、非自然人客户性质类型 Non-Natural Person Client Type

1、豁免机构
Exempted
Institutions
(可不识别其受益所有
人 Exempted from
Beneficial Owner
Identification)

☐ 机关法人及代表其行使职权的派出机构、临时性机构，包括政党机关、人大机关、政协机关、行政机关、监察机关、司法机关、军事机关等及代表其行使职权的派出机构、临时性机构；
State organs and their dispatched or temporary agencies, including political party organs, people’s congress organs, political consultative conference organs, administrative organs, supervisory organs, judicial organs, military organs, and their dispatched or temporary agencies;

☐ 事业单位；
Public institutions;

☐ 基层群众性自治组织法人，包括居民委员会和村民委员会；
Grassroots mass self-governance organizations, including residents’ committees and villagers’ committees;

☐ 农村集体经济组织法人；
Rural collective economic organizations;

☐ 政府间国际组织、外国政府、外国政府驻华使领馆及办事处等组织及机构；
International intergovernmental organizations, foreign governments, embassies, consulates, and offices in China;

☐ 中国人民银行规定的其他法人、非法人组织。
Other entities as stipulated by the PBOC.

2、特殊机构
Special
Institutions

对于特殊机构，可以按照以下方式识别受益所有人。
For special institutions, the following natural persons shall be identified as the BO..

☐ 对于不具有法人资格的专业服务机构，如律师事务所、会计师事务所、资产评估机构、合伙专利代理机构等，可以将机构负责人认定为受益所有人；
Professional service institutions without legal personality (e.g., law firms, accounting firms, asset appraisal agencies, partnership patent agencies): the person in charge or the head of the entity;

☐ 对于城镇农村的合作经济组织法人，包括农民专业合作社和农民专业合作社联合社，可以将法定代表人认定为受益所有人；
Cooperative economic organizations (including farmer professional cooperatives and federations): the legal representative;

☐ 对于个人独资企业，可以将投资人认定为受益所有人；
Sole proprietorships: the investor;

☐ 对于合格境外投资者，可以将法定代表人、授权代表或者合格境外投资者业务负责人认定为受益所有人；
Qualified foreign investors: the legal representative, authorized representative, or person in charge of the qualified foreign investor's business;

☐ 对于社会团体、基金会、社会服务机构等社会组织，可将理事长认定为受益所有人；
Social organizations (e.g., social groups, foundations, social service agencies): the president;

☐ 对于中国国有独资公司、国有控股公司以及全民所有制企业、集体所有制企业和联营企业，可以将其法定代表人认定为受益所有人。
Wholly state-owned enterprises (companies) funded by government departments, agencies and institutions, as well as wholly state-owned enterprises whose total shareholding is 100% directly or indirectly.

3、法人、非法人
组织（包括合伙
企业）
Company
(including
Partnership)

第一项：是否存在直接或间接拥有超过25%法人、非法人组织股权、股份或者合伙权益的自然人（如同一人同时满足第一项和其他项的情况下，勾选第一项即可）
Item 1: If there is any individual who owns or controls, directly or indirectly, 25% or more of the equity, shares, or partnership interests of the company. （In the case where an individual meets the item 1 as well as other items, item 1 should be selected）
☐ 是 Yes, we have. (请在下方受益所有人部分提供具体信息 Please specify in below "Information of the Ultimate Beneficial Owner" section)
☐ 否 No, we have not.

第二项：是否存在最终享有法人、非法人组织25%以上收益权、表决权的自然人
Item 2: If there is any individual who controls, directly or indirectly, 25% or more of the income or voting rights of the company.
☐ 是 Yes, we have. (请在下方受益所有人部分提供具体信息 Please specify in below "Information of the Ultimate Beneficial Owner" section)
☐ 否 No, we have not.

第三项：是否存在单独或者联合对法人、非法人组织进行实际控制的自然人。
Item 3: If there is any individual who exercises actual control over the company, either individually or jointly of the company .
☐ 是 Yes, we have. (请在下方受益所有人部分提供具体信息 Please specify in below "Information of the Ultimate Beneficial Owner" section)
☐ 否 No, we have not.

第四项：如果前三项选择“否”，请在下方受益所有人部分提供法人、非法人组织中负责日常经营管理的人员信息。
Item 4: If you select “No” for above 3 items, please specify information of the individual who is responsible for the daily operation and management of the company in below "Information of the Ultimate Beneficial Owner" section.

4. 国内外公司分
支机构
Branch of a local
or foreign entity

☐ 应当将该分支机构母公司的受益所有人认定为该分支机构的受益所有人
Identify the BO of the Head Office as the BO of the company

☐ 如果该分支机构母公司为外国公司，还应当将该分支机构的至少一名高级管理人员认定为受益所有人
If the Head Office is a foreign entity, additionally identify at least one senior manager of the branch as a BO

二、受益所有人信息 Information of the Ultimate Beneficial Owner (如不够填写可另加附页)										
姓名 Name	性别 Gender	国籍 Nationality	出生日期 Date of Birth	身份证件类型 ID Type	证件号码 ID Number	有效期 Expiry Date	联系地址 ¹ Contact Address (格式: 国家或地区/省/市/县/街道/单元及门牌号 Format: Country or Region /Province/ City/ County/Street/ Unit and Room Number)	受益所有权形成时间 the time of ownership formation	受益所有权终止时间(如有) the time of ownership termination (if applicable)	股权/表决权比例/收益权/权益份额 (类型和数量) Percentage of Shares/ Voting Rights/ Partnership/ Income (Type and Quantity)

如存在单独或者联合对法人、非法人组织进行实际控制的自然人，请写明实际控制的方式 If there is any individual who exercises actual control over the company, either individually or jointly of the company, please specify the details of actual control:_____

(包括但不限于通过协议约定、关系密切的人等方式实施控制，例如：1) 决定法定代表人、董事、监事、高级管理人员或者执行事务合伙人的任免；2) 决定重大经营、管理决策的制定或者执行；3) 决定财务收支，长期实际支配使用重要资产或者主要资金等。 Actual control includes, but is not limited to, situations where an individual has the ability to exercise of control through agreements or closely related persons, such as: 1) Deciding the appointment and removal of the legal representative, directors, supervisors, senior executives, or managing partners; 2) Deciding the formulation or implementation of major business and management decisions; 3) Deciding financial receipts and expenditures, or exercising long-term actual control over the use of important assets or major funds.)

上述受益所有人的识别和判断证明材料 Supporting Documents to certify the ownership of above UBO:

☐ 股权结构图 Org-chart of Shareholding; ☐ 年报 Annual Report; ☐ 合伙协议 Partnership Agreement ; ☐ 其他 Others: _____

三、股东信息 & 董事会成员名单 Information of the Shareholders/ List of the Board of Directors			
	姓名或名称 Name	持股数量% (股权/表决权) Amount of Shares (shareholding/voting right)	持股类型 (普通股/优先股) Type of Shares (Common Share/Preferred Share)
股东名单 Immediate Shareholder(s)			
董事会成员名单 List of the Board of Directors			

投资人声明 Investor Statement:

1. 本机构建立/维持业务关系和交易的目的和性质
The purpose and intended nature for establishing and maintaining the relationship with JPMorgan Asset Management (China) Company Limited:
☐ 1.资产保值 Capital preservation ☐ 2.资产增值 Capital appreciation
☐ 3.境内投资 Onshore investment ☐ 4.境外投资 Offshore investment
☐ 5.其他 Others _____(请具体说明 Please specify)

2. 本机构是否涉及以下业务活动
Whether our institution is involved in any of the below business activities:
☐ 是 Yes (请相应勾选以下选项 please tick in the following boxes accordingly) ☐ 否 No
☐ 参与非法销售武器或其他军用产品交易的
Deal in the illegal distribution of arms or other military products
☐ 参与违反适用法律的下注或赌博活动，包括非法网络赌博
Are engaged in illegal betting or wagering, including unlawful Internet gambling, per applicable law
☐ 采用不记名股票持有结构的新企业客户，在经批准的交易所公开交易的实体除外
New clients who are bearer share companies, except for those that are publicly traded on a Level 1 Exchange
☐ 将其服务转售给第三方（如独立销售机构（ISO）机会或渠道安排代理商或供应商）或为货币服务企业、金融机构或其他摩根大通集团账户下中介机构提供下游处理服务的第三方支付系统
Non-Bank Financial Institutions/Entity (NBFI/E) with Third-party Activity who resell their services to a third party (e.g., agent or provider of Independent Sales Organizations (“ISO”) opportunities or gateway arrangement) or provide downstream processing for MSBs, financial institutions or other intermediaries within the JPMC account
☐ 涉及大麻相关业务的企业或间接参与者 Marijuana-related businesses
☐ 虚拟资产服务提供商或提供匿名或掩盖虚拟资产交易来源服务或功能的其他实体机构
Virtual asset service providers or other entities who provide services or features that anonymize or obfuscate the source of virtual asset transactions (e.g., mixers and tumblers)

3. 本机构承诺所提交文件、信息的真实性、有效性、准确性、完整性，并对其承担责任。如提供的信息发生任何重大变更，将及时书面通知贵司。
We guarantee and are responsible for the authenticity, validity, correctness and completeness of the documents and information we have submitted to JPMAM China. We will inform JPMAM China in writing if any significant change happens to the information we provided.

机构公章(或机构账户经办人签字)
Company Chop (or Signature of Account Handler)

日期Date: _____年Year _____月Month _____日Day

附注Note:
1. 联系地址为经常居住地或者工作单位地址，如联系地址为居住地址，则该居住地址为连续居住一年以上的地址。It refers to the residential address or work address of the beneficial owner. The habitual residence address refers to the place where the concerned individual has continuously resided for more than one year.