

Qualified Intermediary Application

Name of Applicant

Eligibility of Applicant (Check One)

Non-U.S. Financial Institution Non-U.S. Clearing Organization Branch of U.S. Financial Institution Other Explanation

Address of Applicant

Address Line

City	State (Province)	Zip Code
Country		

Description of Business of the Applicant

Description of New Account Opening Procedures

Responsible Party Information

First Name	Middle Initial	Last Name
Title	Telephone Number (include Country Code if applicable):	
Fax Phone Number (include Country Code if applicable)	E-mail address	

Contact Person Information

First Name	Middle Initial	Last Name
Title	Telephone Number (include Country Code if applicable):	
Fax Phone Number (include Country Code if applicable)	E-mail address	

Type of Account Holders (Enter approximate number for each Type)

Foreign Individual Non-treaty Claimant		Foreign Individual Treaty Claimant	
Foreign Non Individual Ben. Owner Non-Treaty Claimant		Foreign Non Individual Ben. Owner Treaty Claimant	
Foreign Tax Exempt Entries		Foreign Intermediaries	
Foreign Flow Through		US Individuals, Partnerships, Trusts	
Other US Persons			

Investments In US Assets (Enter approximate number for each Type)

Foreign Individual Non-treaty Claimant		Foreign Individual Treaty Claimant	
Foreign Non Individual Ben. Owner Non-Treaty Claimant		Foreign Non Individual Ben. Owner Treaty Claimant	
Foreign Tax Exempt Entries		Foreign Intermediaries	
Foreign Flow Through		US Individuals, Partnerships, Trusts	
Other US Persons			

Will Applicant Assume Primary Withholding Responsibility Yes No

External Auditor Information

Address Line

City	State (Province)	Zip Code
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Country

Telephone Number (include Country Code if applicable)	Fax Phone Number (include Country Code if applicable)
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Contact Person at External Auditor Firm

First Name	Middle Initial	Last Name
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Title	Telephone Number (include Country Code if applicable):
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Fax Phone Number (include Country Code if applicable)	E-mail address
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Has Form SS-4 Been Submitted Yes No

Has the Applicant or Any Related Entity Previously Applied for QI Status Yes No

Instructions

In addition to the application form, the follow must be submitted

- I Letter of intention to enter into a QI agreement
- II Form SS-4
- III A brief description of the business activity of the applicant (Attachment A)
- IV A brief description of the account opening procedures used by the applicant (Attachment B)
- V Form 2848 (Power of Attorney) where applicable

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