78001 900003612

Form 1	J4Z-3	Foreign Person's U.S. Source Income Subje								OMB No. 1545-0096		
Department of the Treasury		Information about Form 1042-S and its separate instruction					· ·			Copy B		
	venue Service	7 8 0	0 1 0 3 6	1 2	UNIQUE FORM IDEN	ITIFIER	AMENDED	AMEN	IDMENT NO.		or Recipient	
1 Income	2 Gross income	3 Chapter I	ndicator. Enter	'4" 3	5 Withho	olding allowance)		7b Check if feder deposited with th	ral tax withheld was not e IRS because escrow		
code 06	\$ 285	3a Exemption code 00 4a Exemptio			xemption code 15	6 Net inc	6 Net income procedures were applied (see instruction for the control of the con					
00		3b Tax rat	e 30.00	4b T	ax rate 00.00	7a Federa	al tax withheld		\$ 85	15 Check if pro	-rata basis reporting	
8 Tax withheld by other agents \$0							9 Overwithheld tax repaid to recipient pursuant to adjustment procedures (see instructions)					
10 Total with	hholding credit (combi	ine boxes 7a,	8, and 9)		\$ 85	11 Tax paid by withholding agent (amounts not withheld) (see instructions)						
12a Withholding agent's EIN 12b Ch. 3 status code 12c Ch. 4 status code					12e Withholding agent's Global Intermediary Identification Number (GIIN)							
	439945		02		02	12f Cour	12f Country code 12g Foreign taxpayer identific			r identificatio	n number, if any	
	pient's U.S. TIN, if a	any					cipient's country				AS	
13f Ch. 3	status code 16		13g Ch. 4 sta	tus co	de 23	14a Prin	mary Withholding	g Agent's	Name (if applie	cable)		
VAN	IECK VECTOR	OC CUINI	AMC CCL 2	00 E		14b Prin	nary Withholding	a Agent's	EIN			
					= =	15a Intermediary or flow-through entity's EIN, if any 15b Ch. 3 status code 15c Ch. 4 status						
	AMERICAN S 1 15TH AVENU		TANSFER &	IN	JS1 CO., LLC	code						
	OKLYN, NY 1	_				15d Intermediary or flow-through entity's name						
	ne: 866–668–					15e Intermediary or flow–through entity's GIIN						
FIIO	ne. 600-606-	0000				15f Country code 15g Foreign tax identification number, if any						
						15h Address (number and street)						
						15i City or town, state or province, country, ZIP or foreign postal code						
						13h Recipient's GIIN						
MR RAVINDER SINGH PRATAP & MS TEESHALDIP KAUR BAL <ravtish a="" c="" fund="" super=""> 25 SUNSET DRIVE WILLIAMSTOWN VIC 3016</ravtish>					13i Recipient's foreign tax identification number, if any 13j LOB code							
					13k Recipient's account number 13l Recipient's date of birth 78001 9000003612 00000000							
					16a Payer's name 16b Payer's TIN							
AUS									264640074			
					16c Pa	yer's GIIN		16d Ch. 3 star 02	tus code	16e Ch. 4 status code . 02		
						17a State income tax withheld 17b Payer's state tax no. 17d			17c Name of state			
For Privacy Act and Paperwork Reduction Act Notice, see instructions. Cat. No. 11386R Form 1042-S (2019)												

Form 1	U-T/2-3/	_	rson's U.S. S		-		_	2019		3 No. 1545-0096		
Department of the Treasury							irs.gov/form1042s.	_	Copy	/ C for Recipient		
Internal Rev	venue Service	7 8 0	0 1 0 3 6	1 2 UN	QUE FORM IDE	NTIFIER	AMENDED	AMENDMENT NO.	Attach to ar	y Federal tax return you file		
1 Income	2 Gross income	3 Chapter I	ndicator. Enter "	3" or "4"	3	5 Withholding allowance 75 Check if federal tax withheld was not deposited with the IRS because escrow procedures were applied (see instructions).						
code 3 285 3 Exemp			otion code 00 4a Exemption code 15			6 Net income 7c Check if witholding occurred in subsequently every with respect to a partnership interest.						
06	φ 2 00	3b Tax rat	9 30.00	4b Tax ra	te 00.00	7a Federal	tax withheld	\$ 85		rata basis reporting		
8 Tax withheld by other agents \$0						9 Overwithheld tax repaid to recipient pursuant to adjustment procedures (see instructions)						
10 Total withholding credit (combine boxes 7a, 8, and 9) \$85							11 Tax paid by withholding agent (amounts not withheld) (see instructions)					
12a Withh	nolding agent's EIN	ı	12b Ch. 3 status	code 12c C	h. 4 status code	12e Withh	olding agent's Gl	lobal Intermediary Ide	entification Nu	ımber (GIIN)		
133439945			02		02	12f Count	ry code	12g Foreign taxpaye	er identificatio	n number, if any		
13e Recip	pient's U.S. TIN, if a	any				13b Recip	oient's country co	de		AS		
13f Ch. 3	status code 16		13g Ch. 4 stat		23	14a Prima	ary Withholding A	agent's Name (if appl	cable)			
VAN	IECK VECTOR	RS CHINA	AAMC CSI 3	00 ETF		14b Prima	ary Withholding A	gent's EIN				
C/O AMERICAN STOCK TRANSFER & TRUST CO., LLC					15a Intermediary or flow-through entity's EIN, if any 15b Ch. 3 status code 15c Ch. 4 status code							
	1 15TH AVENU					15d Intermediary or flow–through entity's name						
	OKLYN, NY 1					15e Intermediary or flow–through entity's GIIN						
Phone: 866–668–8555						15f Country code 15g Foreign tax identification number, if any						
						15h Addre	ess (number and	street)				
						15i City or town, state or province, country, ZIP or foreign postal code						
						13h Recipient's GIIN						
MR RAVINDER SINGH PRATAP & MS TEESHALDIP KAUR BAL <ravtish a="" c="" fund="" super=""> 25 SUNSET DRIVE WILLIAMSTOWN VIC 3016 AUS</ravtish>					13i Recipient's foreign tax identification number, if any 13j LOB code							
					13k Recipient's account number 13l Recipient's date of birth							
					78001 9000003612 00000000							
					16a Payer's name VANECK VECTORS CHINAAMC CSI 300 ETF							
					16c Paye		16d Ch. 3 sta		264640074 116e Ch. 4 status code			
					100 Faye	a S GIIIN	02	iius code	02			
					17a State	income tax withh	neld 17b Payer's	state tax no.	17c Name of state			

Explanation of Codes

ВО	X 1. IN	come Code.
(Code	Types of Income
	01	Interest paid by U.S. obligors—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
st	22	Interest paid on deposit with a foreign branch of a domestic corporation or partnership
ere	29 30	Deposit Interest
Ξ	30	Original issue discount (OID)
	31	Short-term OID
	33	Substitute payment—interest
	51	Interest paid on certain actively traded or publicly offered securities ¹
	54	Substitute payments—interest from certain actively traded or publicly offered securities ¹
P	06	Dividends paid by U.S. corporations—general
ividend	07	Dividends qualifying for direct dividend rate
۵	80	Dividends paid by foreign corporations

34 Substitute payment-dividends

40 Other dividend equivalents under IRC section 871(m) (formerly 871(I))

52 Dividends paid on certain actively traded or publicly offered securities1

53 Substitute payments-dividends from certain actively traded or publicly offered securities¹

Capital gains

10 Industrial royalties

Motion picture or television copyright royalties

Other royalties (for example, copyright, software, broadcasting, endorsement payments)

च्च 13 14 Royalties paid on certain publicly offered securities¹

Real property income and natural resources royalties 15

Pensions, annuities, alimony, and/or insurance premiums 16

Scholarship or fellowship grants

17 Compensation for independent personal services²

18 Compensation for dependent personal services²

19 Compensation for teaching²

See back of Copy C for additional codes

1 This code should only be used if the income paid is described in Regulations section 1.1441-6(c)(2) and withholding agent has reduced the rate of withholding under an income tax treatly without the recipient providing a U.S. or foreign TIN.

Explanation of Codes (continued)

- Compensation during studying and training² 20
- Other income
- Qualified investment entity (QIE) distributions of capital 24
- Trust distributions subject to IRC section 1445
- Unsevered growing crops and timber distributions by a trust subject to IRC section 1445 26
- Publicly traded partnership distributions subject to IRC section 1446
- 28 Gambling winnings3
- 32 Notional principal contract income⁴
- Substitute payment-other 35
- 36 Capital gains distributions
- 37 Return of capital
- 38 Eligible deferred compensation items subject to IRC section 877A(d)(1)
- 39 Distributions from a nongrantor trust subject to IRC section
- Guarantee of indebtedness
- 42 Earnings as an artist or athlete-no central withholding

- QI that assumes primary withholding responsibility
- 07 WFP or WFT
- U.S. branch treated as U.S. Person
- Territory FI treated as U.S. Person
- 10 QI represents that income is exempt
- QSL that assumes primary withholding responsibility 11
- Payee subjected to chapter 4 withholding 12
- 22 QDD that assumes primary withholding responsibility
- 23 Exempt under section 897(I)
- Chapter 4

13

- Grandfathered payment
- 14 Effectively connected income
- Payee not subject to chapter 4 withholding
- 16 Excluded nonfinancial payment
- 17 Foreign Entity that assumes primary withholding
- U.S. Payees—of participating FFI or registered deemed-compliant FFI
- Exempt from withholding under IGA⁷
- Dormant account8
- 21 Other-payment not subject to chapter 4 withholding

- 42 Earnings as an artist or athlete—no central withholding agreement⁵
- 43 Earnings as an artist or athlete—central withholding agreement⁵
 4 Specified federal procurement payments
 50 Income previously reported under escrow procedure⁶

- mount previously reported under escrow procedure⁶ Boxes 3a and 4a. Exemption Code (applies if the tax rate entered in boxes 3b and 4b is 00.00). Code Authorism 4

- aspater 3

 Iffectively connected income

 Exempt under IRC (other than portfolio interest)

 income is not from U.S. sources

 Computer tax treat

 Fortfolio interest exempt under IRC

- Boxes 12b, 12c, 13f, 13g, 15b, 15c, 18d, and 16e. Withholding Agent, Recipient, Intermediary, and Payer Chapter 3 and Chap 4 Status Codes. Type of Recipient, Withholding Agent, Payer, or Intermediary Code

- hapter 3 Status Codes

 1 U.S. Witholding Agent Ofter

 20 U.S. Witholding Agent Ofter

 30 Territory Fil-resided as U.S. Person

 41 Territory Fil-resided as U.S. Person

 50 U.S. branch treated as U.S. Person

 60 U.S. branch Tested as U.S. Person

 70 U.S. branch Ect presumption applied

 80 Partnership other than Withholding Foreign Partnership

 90 Withholding Foreign Partnership

 60 Eact of Cloyy D for #3500art

² If compensation that otherwise would be covered under income Codes 17 through 20 is directly attributable to the recipient's occupation as an a income Code 42 or 43 instead. Subject to 30% withholding rate unless the recipient is from one of the treaty countries listed under Gambling winnings (Income Code 28) in Pub. 515.

Use appropriate Interest Income Code for embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest Income Code (For embedding interest in a material and appropriate Interest in a material and appropriate

Code 43 should only be used if Letter 4492, Venue Notification has been issued by the Internal Revenue Service (otherwise use Income Code 42 for earnings tist or athlete). If Income Code 42 or 43 is used, Recipient Code 22 (artist or athlete) should be used instead of Recipient Code 16 (individual), 15 (corporation), arthreship other than withholding foreign parthership. INFORMING to reggr partnerships, the current year because such tax was previously excrowed for chapters 3 and 4 and the new the tax for which is being deposited in the current year because such tax was previously excrowed for chapters 3 and 4 and the new the current year because such tax was previously excrowed for chapters 3 and 4 and the new throughout the current years and checked the box to report the tax as not deposited under the excrow procedure. See the next exclusions.

enting U.S. account that is receiving a payment subject to chapter 3 withh

⁸ Use only if applying the excrow procedure for dormant accounts under Regulations section 1.1471-4(b)(8). If tax was withheld and deposited under chapter 3, do no check box 7b ("tax not deposited with IRS pursuant to escrow procedure"). You must instead enter "3" in box 3 and complete box 3b.

Explanation of Codes (continued)

- Trust other than Withholding Foreign Trust
- Withholding Foreign Trust
- 14

- Private Foundation
- Government or International Organization
- 21
- 23 Pension
- 25 Nonqualified Intermediary
- Hybrid entity making Treaty Claim
- U.S. Withholding Agent-Foreign branch of FI 34
- Qualified Derivatives Dealer
- Pooled Reporting Codes⁹
- 29
- Agency Withholding Rate Pool—Exempt Organization 32

- 01 U.S. Withholding Agent-FI
- 02 U.S. Withholding Agent-Other
- Territory FI-not treated as U.S. Person
- Territory FI—treated as U.S. Person Participating FFI—Other
- Participating FFI—Reporting Model 2 FFI
 Registered Deemed-Compliant FFI—Reporting Model 1 FFI
- 08 Registered Deemed-Compliant FFI-Sponsored Entity
- Registered Deemed-Compliant FFI-Other
- 10 Certified Deemed-Compliant FFI-Other
- 12
- Certified Deemed-Compliant FFI—Investment Entity that does not maintain financial accounts
- Owner-Documented FFI 16
- U.S. Branch-treated as U.S. person
- 18 U.S. Branch-not treated as U.S. person (reporting under section 1471) Passive NFFE identifying Substantial U.S. Owners

- Qualified Intermediary
 Qualified Securities Lender—Qualified Intermediary
- Qualified Securities Lender-Other
- Corporation
- 16 Individual
- Tax Exempt Organization (Section 501(c) entities)
- Unknown Recipient Artist or Athlete
- Foreign Central Bank of Issue

- Withholding Rate Pool—General
 Withholding Rate Pool—Exempt Organization
- PAI Withholding Rate Pool—General PAI Withholding Rate Pool—Exempt Organization
- 31 Agency Withholding Rate Pool-General

- Certified Deemed-Compliant FFI—FFI with Low Value Accounts
- Certified Deemed-Compliant FFI—Nonregistering Local
- Certified Deemed-Compliant FFI-Sponsored Entity
- Nonparticipating FFI

- Passive NFFE with no Substantial U.S. Owners Publicly Traded NFFE or Affiliate of Publicly Traded NFFE
- Active NFFE Individual
- Section 501(c) Entities 25
- Excepted Territory NFFE
 Excepted NFFE—Other
- 27 Exempt Beneficial Owner Entity Wholly Owned by Exempt Beneficial Owners
- 29 Unknown Recipient
- Recalcitrant Account Holder
- 31 Nonreporting IGA FFI
- Direct reporting NFFE U.S. reportable account 32 33
- 34 35 Nonconsenting U.S. account Sponsored direct reporting NFFE
- 36 Excepted Inter-affiliate FFI Undocumented Preexisting Obligation
- 38 U.S. Branch-ECI presumption applied
- Account Holder of Excluded Financial Account¹⁰ Passive NFFE reported by FFI¹¹ 40 NFFE subject to 1472 withholding

43

05

- U.S. Withholding Agent Foreign branch of FI Reporting Codes
 Recalcitrant Pool—No U.S. Indicia Recalcitrant Pool-U.S. Indicia
- Recalcitrant Pool-Dormant Account 45 Recalcitrant Pool-U.S. Persons
- Recalcitrant Pool—Passive NFFEs 47 Nonparticipating FFI Pool U.S. Payees Pool

QI-Recalcitrant Pool—General¹² 49 Box 13j. LOB Code (enter the code that best describes the applicable limitation on benefits (LOB) category that qualifies the taxpayer for the requested treaty benefits).

LOB Treaty Category

- Government contracting state/political subdivision/local 02
- Tax exempt pension trust/Pension fund Tax exempt/Charitable organization Publicly traded corporation
- Subsidiary of publicly traded corporation Company that meets the ownership and base erosion test Company that meets the derivative benefits test
- Company with an item of income that meets the active trade 09 or business test Discretionary determination

Other

- Codes 27 through 32 should only be used by a QI, QSL, WP, or WT. A QI acting as a QDD may use code 27 or 28.
 This code should only be used if income is paid to an account that is excluded from the definition of financial acurater Armset in 64 the applicable Model 1 TIAG or Model 2 IGA.
- *This code should only be used when the withholding agent has received a certification on the FFI withholding statement of a participating FFI or registered deemed ompliant FFI that maintains the account that the FFI has reported the account held by the passive NFE as a U.S. account (or U.S. reportable account) under its ATCA requirement. The withholding apent must report the name and GIIII of south FFA in boxes 15 dand 15e. 12 This code should only be used by a withholding agent that is reporting a payment (or portion of a payment) made to a QI with respect to the QI's recalcitrant a