

**Self –Certification for U.S. Tax Status (Individual) 美國稅務狀況自我證明書(個人)**

Identification number 身份證號碼	Account Holder Name 帳戶持有人姓名	Foreign Tax Identification Number (if available) 海外納稅人識別號碼 (如適用)

***U.S. Foreign Account Tax Compliance Act (“FATCA”) has come into force on 1 July 2014. FATCA is primarily a US reporting regulation which intends to compel financial institutions (FIs) to report to the IRS information about financial accounts held by U.S. taxpayers, or by foreign entities in which Specified U.S. person (see appendix) hold a substantial ownership interest.***

***美國海外帳戶稅收合規法案(“FATCA”)已於2014年7月1日生效。FATCA 主要是一個美國報告規則，旨在迫使金融機構(FIs)向美國國稅局報告由美國納稅人、或由特定美國人士(見附錄)持有大量股權的海外實體持有的金融帳戶的資訊。***

***For the avoidance of doubt, any reference notes or guidance provided by Huatai Financial Holdings (Hong Kong) Limited are provided for reference purposes only and do not constitute tax advice. If you require assistance in determining any reference notes or guidance apply to a specific account or account holder then you should seek qualified professional assistance.***

***為免生疑問，任何華泰金融控股(香港)有限公司提供的注釋和指引僅供參考且不構成任何稅務建議。如若閣下需要援助以確定適用於特定的帳戶或帳戶持有人的任何注釋和指引，則閣下應該尋求合資格專業人士的援助。***

Question 問題	Yes 是	No 否	Comment 注釋
1 Are you a U.S. citizen? (If you hold multiple citizenships, tick “Yes” if one of them is U.S.) e.g. HK allows dual citizenship 閣下是否為美國公民？(如若閣下持有多重國籍，如其中之一是美國，請勾選“是”) 例如香港允許雙重國籍	<input type="checkbox"/>	<input type="checkbox"/>	
2 Are you a lawful permanent U.S. resident (e.g. “green card holder” irrespective of the expiry date)? 閣下是否為合法的美國永久居民(例如“綠卡持有者”不論到期日)?	<input type="checkbox"/>	<input type="checkbox"/>	

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Question 問題	Yes 是	No 否	Comment 注釋
3 Do you meet the substantial presence tests <sup>1</sup> ? 閣下是否滿足實際居留標準?	<input type="checkbox"/>	<input type="checkbox"/>	
(if yes) If you meet the substantial presence test, but you have left the U.S. during the calendar year, is your residence still temporarily or permanently in the U.S.? (如是)如若閣下滿足實際居留標準,但閣下在年度內離開了美國,閣下在美國的住所仍是暫時的還是永久的?	<input type="checkbox"/>	<input type="checkbox"/>	

Declaration 聲明

To 致: Huatai Financial Holdings (Hong Kong) Limited 華泰金融控股(香港)有限公司

I hereby confirm the information provided above is true, accurate and complete.

本人茲此確認以上提供的資訊是真實、準確和完整的。

Subject to applicable local laws, I hereby consent for Huatai Financial Holdings (Hong Kong) Limited and its associated entities (collectively “HUATAI Group) to share my information with relevant regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.

在不抵觸當地適用法律的情況下,本人茲此同意華泰金融控股(香港)有限公司及其關聯實體(統稱“華泰集團”)可向相關監管機構或稅務機構提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。

Where required by domestic or overseas regulators or tax authorities, I consent and agree that HUATAI Group may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.

因應國內或海外的監管機構或稅務機構需要,本人准許並同意華泰集團可按適用的法律、法規和指令在本人賬戶中扣留相關所須的金額款項。

<sup>1</sup> To meet the substantial presence test, you must have been physically present in the U.S. on at least :

為滿足實際居留標準,閣下必須親身居留在美國至少:

- 31 days during the current year, and 183 days during the 3 year period that includes the current year and the 2 years immediately before.

當年內31天,且包括當年及前2年的3年期間共183天。

To satisfy the 183 days requirement, count:

為滿足183天的要求,計算:

- All of the days you were present in the current year, and /• One-third of the days you were present in the first year before the current year, and /• One-sixth of the days you were present in the second year before the current year.

所有當年內閣下居留的日數,和/•當年的前一年閣下居留日數的1/3,和/•當年的前兩年閣下居留日數的1/6。

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I undertake to notify HUATAI within 30 calendar days if there is any change in any information which I have provided to HUATAI Group.

本人保證本人提供的任何資料如有任何變更，本人將於 30 天內通知華泰。

Signature of Account Holder

帳戶持有人簽署:

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Date

日期:

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**Note 注:**

*For Joint account opening, each Account Holder should complete Self-Certification for U.S. Tax Status.*

*對於聯名帳戶的開戶申請，每位帳戶持有人應該填寫美國稅務狀況自我證明書。*

For Internal Use Only 僅供內部使用

Signature and Name of HUATAI Representative

華泰代表的簽署及姓名

Date

日期

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APPENDIX 附錄

Definition of “U.S. Person” “美國人士” 的定義

It means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States. This subparagraph 1(y) shall be interpreted in accordance with the U.S. Internal Revenue Code.

意指美國公民或居民個人、根據美國或其任何政治分部法例組織的合夥商號或法團、信託如若(i)美國國內法院按照適用的法律有權命令或判決基本上所有關於信託管理的有關問題，且(ii)一位或以上的美國人士有權控制所有的信託的重大決定，或死者為美國公民或居民的遺產。此項1(y)應按照美國國內稅收法典解釋。

Definition of “Specified U.S. Person” “特定美國人士” 的定義

It means a **U.S. Person**, other than: (i) a corporation the stock of which is regularly traded on one or more established securities markets; (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); (iii) the United States or any wholly owned agency or instrumentality thereof; (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code; (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

意指美國人士，除了：(i)股票在一個或多個已設立的證券市場定期交易的法團；(ii)任何屬於同一個擴展附屬組織之成員的法團，在美國國內稅收法典第1471(e)(2)節中予以定義，即在條款(i)中描述的法團；(iii)美國或其任何全資機構或部門；(iv)任何美國的州、任何美國領土、上述任何政治分部，或上述任何一個或多個的任何全資機構或部門；(v)任何在美國國內稅收法典第501(a)節予以定義的免稅組織或在美國國內稅收法典第7701(a)(37)節中予以定義的個人退休計畫；(vi)任何在美國國內稅收法典第581節中

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予以定義的銀行；(vii)任何在美國國內稅收法典第856節中予以定義的不動產投資信託公司；(viii) 任何在美國國內稅收法典第851節中予以定義的受控投資公司或任何根據1940投資公司法(15 U.S.C. 80a-64)在美國證券交易委員會註冊的實體；(ix) 任何在美國國內稅收法典第584(a)節中予以定義的共同信託基金；(x) 任何在美國國內稅收法典第664(c)節中予以定義的或符合美國國內稅收法典第4947(a)(1)節描述的免稅信託；(xi)證券商、商品、或根據美國或任何州的法規註冊的衍生金融工具（包括名義本金合同、期貨、遠期、期權）；(xii) 任何在美國國內稅收法典第6045(c)節中予以定義的經紀人；或(xiii) 符合美國國內稅收法典第403(b)或457(g) 節描述的免稅託管計畫。