



帳戶持續審查資料表(非個人帳戶)
ACCOUNT ONGOING REVIEW FORM
(Non Individual Account)

僅供參考

| | | | |
|-----------------------------|----------------|---------|--------|
| 銀行專用 (For Office Use Only) | | | |
| 帳號 Account No. | | | |
| | | | |
| 證照核對 Document(s) Checked by | | | |
| 經辦 Handled by | 覆核 Approved by | | |
| | | | |
| 日期 Date | | | |
| | | | |
| | 日 Day | 月 Month | 年 Year |

致: 兆豐國際商業銀行股份有限公司，香港分行(「貴行」，該表述包括繼承人和受讓人)
To: Mega International Commercial Bank Co., Ltd., Hong Kong Branch (the "Bank", which expression shall include its successors and assigns)

注意: 請用正楷填寫本申請表上各欄，並在適當的方格內加上“√”號及刪除不適用者。
Note: Please complete all sections in BLOCK LETTERS and mark “√” where applicable and delete as appropriate.

| | |
|----------------------|-------------------|
| 客戶名稱 Customer Name | |
| 英文名稱 Name in English | ← 請填寫貴公司之英文戶名 |
| 中文名稱 Name in Chinese | ← 請填寫貴公司之中文戶名(如有) |

商業證明文件及資料 Business Identification Document and Information

| | |
|---|---|
| 公司類型 Type of Company <input type="checkbox"/> 有限公司 Limited Company <input type="checkbox"/> 合夥人 Partnership <input type="checkbox"/> 獨資經營公司 Sole Proprietorship <input type="checkbox"/> 其他, 請註明 Others, please specify _____ | 註冊號碼 Registration Number <input type="checkbox"/> 公司註冊證書 Certificate of Incorporation 號碼 No.: _____ <input type="checkbox"/> 商業登記證 Business Registration Certificate 號碼 No.: _____ <input type="checkbox"/> 其他登記證明 Other Certificate 號碼 No.: _____ |
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|-------------------------------|--------------------------|
| 公司註冊國 Country of Registration | 公司註冊地址 Registered Office |
|-------------------------------|--------------------------|

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| 成立日期 Date of Incorporation (只適用於有限公司 applicable to limited company only) _____ 日 Day _____ 月 Month _____ 年 Year |
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| 開業日期 Commencement Date of Business _____ 日 Day _____ 月 Month _____ 年 Year |
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業務性質/行業 Nature of Business/Industry

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| 業務性質 Nature of Business/Industry 1. 請填寫此帳戶之業務性質(如貿易接單、製造、控股、投資...等) 2. 如為貿易, 請加註整個集團(含關係企業)是否有倉庫OR工廠 |
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| 商品或服務類別 Category of Product(s) or Service(s) 1. 請填此帳戶之產品OR服務類別(如加工機械、企業諮詢服務...等) 2. 如為投資or控股, 請註明投資or控股之標的物 (被投資公司名稱及其主要業務、金融商品、不動產...等), 投資金額、持股比例。 |
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| 營業地址 Business Address 請填寫"英文"之公司聯絡地址, 不得為郵政信箱PO BOX! |
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| 通訊地址 Correspondence Address <input type="checkbox"/> 同營業地址 same as Business Address 如與營業地址不同, 請填寫"英文"之公司通訊地址, 不得為郵政信箱PO BOX! |
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| 總公司名稱(如有) Name of Head Office (if any) |
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|---|
| 總公司所在地 Country Where Head Office is Located |
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|---|
| 總公司所在地的業務性質 Nature of Business/Industry of the Country Where Head Office is Located |
|---|

上市公司 Listed Company

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|---|---------------------|
| <input type="checkbox"/> 帳戶持有人並非上市公司或為准上市公司。 Account Holder is not a listed or a pro-listed company. <input type="checkbox"/> 帳戶持有人為上市公司之非全資直屬子公司, 請註明上市公司持有之股份百分比。 Account Holder is a non-wholly owned subsidiary of a listed company. Please specify _____% <input type="checkbox"/> 帳戶持有人現為上市公司或為上市公司之全資直屬子公司。 Account Holder is a listed company or a wholly owned subsidiary of a listed company. | 是否為上市公司之子公司, 請註明於此。 |
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|---|-----------------------|
| 上市地區 Country of Listing <input type="checkbox"/> 香港 HK <input type="checkbox"/> 美國 US <input type="checkbox"/> 其他, 請註明 Others, please specify _____ <input type="checkbox"/> 台灣 TW <input type="checkbox"/> 英國 UK | 上市號碼 Stock code _____ |
|---|-----------------------|

請詳填貴公司之所有相關註冊登記資料。

請詳填總公司(母公司)之名稱, 所在地及業務性質等。(如有)。

以下每一欄位皆請勾選，勿留空。
如有欄位不適用於貴公司者，請填N/A。

A/C No.:

| | |
|---|---|
| 企業背景 Business Background | |
| 開戶目的 Account Purpose | (如有需要，可勾選多於一項) (tick more than one box, if appropriate) <input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 商品/服務交易 For Transaction of good(s) / service(s) <input type="checkbox"/> 營運支出 Operation Expenditure <input type="checkbox"/> 投資 Investment <input type="checkbox"/> 貸款還款 Loan Repayment <input type="checkbox"/> 其他，請註明 Others, please specify _____ |
| 年度營業額/收入 Annual Business Turnover /Revenue | <input type="checkbox"/> 美元 USD 金額 Amount : _____ <input type="checkbox"/> 港幣 HKD 金額 Amount : _____ 行業經驗/年限 Years of Experience in Business |
| 主要供應商所在國家(如有) Country of Major Suppliers, if any | <input type="checkbox"/> 中國 China <input type="checkbox"/> 美國 US <input type="checkbox"/> 其他，請註明 Others, please specify _____ 年度採購額 Annual Purchase Amount _____ 銷售目標市場 Sales Target Market <input type="checkbox"/> 中國 China <input type="checkbox"/> 美國 US <input type="checkbox"/> 其他，請註明 Others, please specify _____ |
| 僱員人數 Number of Employees | 香港 HK _____ 台灣 Taiwan _____ 其他地區 Other areas _____ |
| 於貴行開立的有關連者之戶口 Account(s) of Connected Parties Maintained with the Bank | 有關連者名稱 Name of Connected Parties _____ 賬號 Account No. _____ |
| 資金來源 Source of Funds | 資金來源類型 Types of Source of Funds (如有需要，可勾選多於一項) (tick more than one box, if appropriate) <input type="checkbox"/> 公司所有者 Business Owner <input type="checkbox"/> 內部融資 Intra-group Financing <input type="checkbox"/> 銷售款 Sales Proceeds <input type="checkbox"/> 物業出售或租金 Sales or Rental of Property <input type="checkbox"/> 投資出售或收益 Sales or Return of Investment <input type="checkbox"/> 其他，請註明 Others, please specify _____ |
| | 資金來源方式 Means of Source of Funds (如有需要，可勾選多於一項)(tick more than one box, if appropriate) <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 支票 Cheque <input type="checkbox"/> 匯票 Demand Draft <input type="checkbox"/> 電匯 Telegraphic Transfer 請註明銀行 Please specify the Bank _____ <input type="checkbox"/> 其他，請註明 Others, please specify _____ <input type="checkbox"/> 由第三人提供資金者，請說明與第三人關係 Funds provided by a 3rd party, please specify the relationship _____ |
| | 資金來源地 Origins of Source of Funds (如有需要，可勾選多於一項)(tick more than one box, if appropriate) <input type="checkbox"/> 香港 HK <input type="checkbox"/> 中國 China <input type="checkbox"/> 美國 US <input type="checkbox"/> 台灣 Taiwan <input type="checkbox"/> 其他，請註明 Others, please specify _____ |
| 初次及持續財富來源 Initial and ongoing Source of Wealth (如:提供累積資本及存款的活動 e.g.:activities that generate the business' accumulated capital and ...) | (如有需要，可勾選多於一項) (tick more than one box, if appropriate) <input type="checkbox"/> 公司所有者投資 Investment by Business Owner <input type="checkbox"/> 內部融資 Intra-group Financing <input type="checkbox"/> 營業收入及利潤 Business Income <input type="checkbox"/> 物業出售或租金 Sales or Rental of Property <input type="checkbox"/> 投資回報 Return of Investment (來自 From <input type="checkbox"/> 證券 Securities <input type="checkbox"/> 不動產 Real Estate <input type="checkbox"/> 古董 Antique <input type="checkbox"/> 其他，請說明 Other, please specify _____) <input type="checkbox"/> 其他，請註明 Others, please specify _____ |
| | 估計淨資產(Estimated Net Wealth (HK\$)) <input type="checkbox"/> 500,000 or less <input type="checkbox"/> 500,001-5,000,000 <input type="checkbox"/> 5,000,001-10,000,000 <input type="checkbox"/> 10,000,001-20,000,000 <input type="checkbox"/> 20,000,001-50,000,000 <input type="checkbox"/> 50,000,001-100,000,000 <input type="checkbox"/> 100,000,001 or above |
| 預期戶口活動及收支月交易量 Anticipated Activities and Monthly Volume and Type of Activity | 存款(包含匯入匯款) Deposits (including inward remittance) 交易量(筆) No. of counts: <input type="checkbox"/> ≤ 10 <input type="checkbox"/> 11-50 <input type="checkbox"/> 51-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> 201-500 <input type="checkbox"/> >500 預期涉及總金額 Anticipated Total Amount _____ |
| | 支取(包含匯出匯款) Withdrawals (including outward remittance) 交易量(筆) No. of counts: <input type="checkbox"/> ≤ 10 <input type="checkbox"/> 11-50 <input type="checkbox"/> 51-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> 201-500 <input type="checkbox"/> >500 預期涉及總金額 Anticipated Total Amount _____ |
| | 預期主要匯入/出地 (如有需要，可標示多於一個匯入/出地) Anticipated Destination/Origin of Remittance Fund (Please indicate more than one Destination/Origin, if appropriate) _____ |

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勿留空。

勿留空。
請加註幣別

勿留空。

勿留空。

勿留空。
若勾選"其他"，
需註明國家，
不得填寫地區

勿留空。

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勿留空。
請填寫經常匯入此
帳戶之銀行名稱
(如兆豐)至少一間

勿留空。
請勾選每月預期之交易筆數
及填寫每月最多之交易金額及幣別

勿留空。
請填寫主要匯入/匯出之國家
名稱，不得填寫地區

主要客戶或資金來源對象 Major Customers or Counterparties

| 全名 Full Name | 關係 Relationship | 業務性質 Nature of Business | 年度預期金額(USD/HKD) Annual Expected Amount | 實際營運國家 Country of Operation |
|-----------------|--------------------|----------------------------|---|--------------------------------|
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說明此帳戶金流從哪而來!
請確實填寫貴司透過本行帳戶交易之主要客戶或資金來源對象。
例如：匯入匯款之匯款方。

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主要供應商或付款對象 Major Supplier or Counterparties

| 全名 Full Name | 關係 Relationship | 業務性質 Nature of Business | 年度預期金額(USD/HKD) Annual Expected Amount | 實際營運國家 Country of Operation |
|-----------------|--------------------|----------------------------|---|--------------------------------|
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說明此帳戶金流往哪而去!
請確實填寫貴公司透過本行帳戶交易之主要供應商或付款對象。
例如：匯出匯款之收款方。

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帳戶持有人及被授權人員聲明 Account Holder and Authorized Person Declaration

1. 帳戶持有人已細閱及完全明白本帳戶持續審查資料表之內容，帳戶持有人確認本帳戶持續審查資料表所載資料均屬真實、正確、最新及完整的資料。如帳戶持續審查資料表所載之資料有任何更改，帳戶持有人承諾會即時以貴行規定之表格通知貴行。
The Account Holder has read and fully understood the contents of this Account Opening Form. The Account Holder confirms that information given by the Account Holder in this Account Opening Form is true, correct, update and complete. The Account Holder further undertakes to notify the Bank forthwith in the form prescribed by the Bank in case of any change of any such information.
2. 帳戶持有人確認及聲明，帳戶持有人已獲提供下列文件副本及已詳細閱讀其條文，並同意受其約束：
The Account Holder acknowledges and declares that the Account Holder has been provided with a copy of the following documents and carefully read and agreed to be bound by the same:-
- 《銀行服務總條款》
“Master Terms for Banking Service”
 - 《關於香港個人資料(私隱)條例致客戶的通告》
“Notice to Customers relating to Hong Kong’s Personal Data (Privacy) Ordinance”
 - 《關於兆豐國際商業銀行履行台灣個資法告知義務內容之通知－履行中華民國個人資料保護法第八條第一項告知義務內容》(僅限擁有中華民國籍人士適用)
“Mega International Commercial Bank’s Statement of Advice Regarding the Compliance of the Disclosure Obligation as Prescribed in the Personal Information Protection Act of the Republic of China – Statement of Advice Regarding the Compliance of Paragraph 1 of Article 8 of the Personal Information Protection Act of the Republic of China” (Only Applicable to Holder(s) of the Republic of China Citizenship)
 - 《關於兆豐國際商業銀行履行台灣個資法告知義務內容之通知－履行中華民國個人資料保護法第九條第一項告知義務內容》(僅限擁有中華民國籍人士適用)
“Mega International Commercial Bank’s Statement of Advice Regarding the Compliance of the Disclosure Obligation as Prescribed in the Personal Information Protection Act of the Republic of China – Statement of Advice Regarding the Compliance of Paragraph 1 of Article 9 of the Personal Information Protection Act of the Republic of China” (Only Applicable to Holder(s) of the Republic of China Citizenship)
 - 《稅務要求通知》
“Tax Requirement Notice”
 - 《傳真及電子傳送交易指示彌償書》
“Facsimile and Electronically Transmitted Instruction Indemnity”
3. 就上述文件及本帳戶持續審查資料表，帳戶持有人已被邀請提問及如有需要可尋求獨立意見，如帳戶持有人有此意願，帳戶持有人確認帳戶持有人已細閱及明白上述文件及本帳戶持續審查資料表之內容並同意受其約束。
The Account Holder has been invited to ask questions and take independent profession advice on the above documents and this Account Opening Form if the Account Holder wishes. The Account Holder hereby confirms that the Account Holder has read and fully understood the contents of the abovementioned documents and this Account Opening Form and agrees to be bound by them.
4. 帳戶持有人確認及明白，除非上下文另有規定，本帳戶持續審查資料表採納《銀行服務總條款》的定義詞語。
The Account Holder acknowledges and understands that the defined terms in the “Master Terms for Banking Service” are adopted in this Account Opening Form unless the context otherwise requires.
5. 帳戶持有人確認及聲明如帳戶持有人或被授權人員(如有)此後擁有美國國籍或擁有美國永久居留權，帳戶持有人會即時以書面通知貴行。帳戶持有人確認及明白貴行並不對任何帳戶持有人或被授權人員(如有)因疏忽或蓄意不通知貴行最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知貴行而招致貴行的所有損失或損害承擔不可推卸的賠償責任。
The Account Holder acknowledges and declares that it and the Authorized Person(s) (if any) shall notify the Bank in writing as and when it and the Authorized Person(s) hold(s) U.S. citizenship or permanent right of abode. The Account Holder acknowledges and understands that the Bank shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the latest information to the Bank by it and the Authorized Person(s) (if any) and the Account Holder and the Authorized Person(s) (if any) have the compelling obligation to be responsible for the Bank’s losses and damages arising out of or in connection with the failure by the Account Holder and the Authorized Person(s) to notify the Bank.
6. 帳戶持有人明白、確認及同意，在適當的情況下，帳戶持有人暨其中介層之資料及其董事、股東、實益擁有人及被授權人員之個人資料，以及交易紀錄或須披露予其他司法管轄區的主管當局，包括但不限於台灣及美國主管當局，以及貴行總行與提供貴行代理銀行服務之代理銀行等機構，該等資料有可能被移轉至香港特別行政區外。
The Account Holder understands, acknowledges and agrees that, where the circumstances are appropriate, the data of the Account Holder and its intermediate layers, the personal data of the director(s), shareholder(s), beneficial owners and Authorized Person(s) and the transaction record(s) may be disclosed to the competent authority of other jurisdictions including, without limitation, the competent authority of Taiwan and U.S, and the Head Office of the Bank, the correspondent banks and institutions which provide correspondent banking services to the Bank. Such Information may be transferred to a place outside the Hong Kong Special Administrative Region.
7. 帳戶持有人聲明及確認，已於審查前告知其董事、股東、實益擁有人及被授權人員有關其個人資料之安排，其(等)之責任及對其(等)之影響，並已取得其(等)之同意，繼續以其(等)之資料辦理帳戶持續審查作業。
The Account Holder declares and acknowledges that it has notified its director(s), shareholder(s), beneficial owners and Authorized Person(s) in respect of the arrangement relevant to the personal data and the responsibility as well as impact on the part of those, and that it has obtained the consent of those for the purpose of proceeding with account on-going review process.

8. 本帳戶持續審查資料表之中英文文義如有歧異，應以英文為準。
The English version of this Account Opening Form shall prevail if there is any discrepancy between the English and Chinese version.

被授權人員簽署（有限公司適用）/ 所有合夥人簽署（合夥企業適用）/ 獨資經營者簽署（獨資企業適用）及公司章（如有）
Signature(s) of Authorized Person(s) (applicable to limited company) / Signatures of all Partners (applicable to partnership) / Signature of Sole Proprietor (applicable to sole proprietorship) and company chop (if any)

如為OBU公司，
請蓋公司SIGNIN BAR及負責人親簽。
如為台灣公司，
請蓋公司大小章及負責人親簽。



簽章 Signature(s) and Chop

請用中文正楷 書寫 負責人 全名。

姓名 Name(s)

日期 Date

所有董事、持股超過25%之股東，及被授權簽字人皆需請各自填寫一份資料紀錄表。

資料記錄表
Information Sheet

| 有關人士之資料 Information of Relevant Person | | | | |
|---|--|---|---|--------------------------|
| 第 _____ 有關人士 _____ Relevant Person | | | | |
| <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female | | <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 女士 Ms. <input type="checkbox"/> 太太 Mrs. | | |
| 中文姓名 Name in Chinese | | 英文姓名 Name in English | | |
| <div style="border: 1px solid black; padding: 5px; display: inline-block;"> 僅供參考 </div> | | 請勾選相對應之身份別。 例如：如為25%股東，請勾選主要股東及實益擁有人，持股比例25%。 | | |
| <input type="checkbox"/> 董事 Director <input type="checkbox"/> 東主 Sole Proprietorship <input type="checkbox"/> 合夥人(持股比例 _____ %) Partner (_____ % shareholding percentage) <input type="checkbox"/> 主要股東(持股比例 _____ %) Substantial Shareholder (_____ % shareholding percentage) <input type="checkbox"/> 實益擁有人(持股比例 _____ %) Beneficial Owner (_____ % shareholding percentage) <input type="checkbox"/> 授權人員 Authorized Person | | | | |
| 身份證明文件 Identification Document | | | | |
| 國籍 Nationality | 身份證明文件類型 ID Document Type | 身份證明文件號碼 ID Document No. | 出生日期 Date of Birth | |
| | <input type="checkbox"/> 香港身份證 HKID <input type="checkbox"/> 護照 Passport (簽發國家 Issuing Country: _____) <input type="checkbox"/> 其他，請註明 Others, please specify _____ | | _____ 日 Day _____ 月 Month _____ 年 Year | |
| 居住國家 Residence of Country | | Address | | |
| 此區資料勿留空！ 請填寫關係人之相關資訊 | | | | |
| 通訊地址(如與住宅地址/永久地址不同) Correspondence Address (if different from residential address/permanent address) | | | | |
| 住宅電話號碼 Home Telephone No. | | 流動電話號碼 Mobile Phone No. | 傳真號碼 Fax No. | |
| 職業 Occupation | | | | |
| <input type="checkbox"/> 自僱 Self-employed | <input type="checkbox"/> 商號東主 Merchant | <input type="checkbox"/> 全職受僱 Full-time job | <input type="checkbox"/> 兼職受僱/臨時性質/合約僱員工 Part-time/Temporary/Contract worker | |
| <input type="checkbox"/> 學生 Student | <input type="checkbox"/> 家庭主婦 Housewife | <input type="checkbox"/> 退休人士 Retired | <input type="checkbox"/> 其他，請註明 _____ Other, please specify _____ | |
| 其他資料 Other Information | | | | |
| 請依當事人實際身份勾選，勿留空 | | | | |
| 有關人士是否現任職或曾任職於國家政府部門之高級官員或擔任公職(如政府委任之委員會等)? 若“是”，請詳述： Is the Relevant Person a current or former senior official in the local or foreign government (e.g. appointed member of committee and etc)? If 'Yes', please specify: | | | 是 Yes | 否 No |
| 國家及地區 Country and District: _____ 工作機構名稱/部門 Name of Working Organization / Department: _____ 職位 Job Title: _____ 工作年期 Working Years : _____ 離職日期(如有) Date of Resignation (if any): _____ | | | <input type="checkbox"/> | <input type="checkbox"/> |
| 有關人士是否現正或曾經從事政治工作(如政黨人士、政府顧問等)? 若“是”，請詳述： Is the Relevant Person involved in any political activities such as political party or government consultant? If "Yes", please specify: | | | <input type="checkbox"/> | <input type="checkbox"/> |
| 國家及地區 Country and District: _____ 工作機構名稱/部門 Name of Working Organization / Department: _____ 職位 Job Title: _____ 工作年期 Working Years : _____ 離職日期(如有) Date of Resignation (if any): _____ | | | <input type="checkbox"/> | <input type="checkbox"/> |

請依當事人實際身份勾選，勿留空

Mega International Commercial Bank Hong Kong Branch
Account Opening Form (Non Individual Account)

| | | |
|--|---|---|
| <p>有關人士是否現正或曾經擔任國營企業或上市公司高級管理層職位？若“是”，請詳述 Does/Did the Relevant Person hold a current or former senior management position of a stated owned enterprise or listed company? If “Yes”, please specify:</p> <p>國家及地區 Country and District: _____ 工作機構名稱/部門 Name of Working Organization / Department: _____ 職位 Job Title: _____ 工作年期 Working Years : _____ 離職日期（如有） Date of Resignation (if any): _____</p> | □ | □ |
| <p>有關人士之直系親屬是否現正或曾經從事以上其中一項活動？若“是”，請詳述（可另紙書寫並加簽確認）： Is/Was the Relevant Person’s immediate family member involved in any of the above activities? If “Yes”, please specify (please describe in a separate sheet and sign therein for confirmation, if necessary):</p> <p>直系親屬姓名 Name of Immediate Family Member: _____ 與申請人關係 Relationship with the Applicant: _____ 國家及地區 Country and District: _____ 工作機構名稱/部門 Name of Working Organization / Department: _____ 職位 Job Title: _____ 工作年期 Working Years : _____ 離職日期（如有） Date of Resignation (if any): _____</p> | □ | □ |
| <p>有關人士是否在美國境內出生，或曾否或目前為美國公民、擁有美國國籍、取得美國永久居住權，或正辦理美國移民手續？ Is/Was the Relevant Person borne in U.S., or a holder of U.S. citizenship, U.S. nationality or permanent right of abode, or applying U.S. immigration?</p> <p>身分證照編號 Passport Number: _____ 身分證照類型: 美國護照 / 州身分證照 / 駕駛執照 / 綠卡 / 軍人證 / 其他 (請註明: _____) Type of Passport: US Passport / State Licence / Driving License / Green Card / Military ID / Other (please specify: _____) 社會保障編號 Social Security Number: _____ 納稅個人識別號碼（如有） Individual Taxpayer Identification Number (if any): _____ 棄籍/除籍日期（如有） Date of Expatriation/Denaturalization (if any): _____</p> | □ | □ |
| <p>有關人士現正或曾否，直接或間接地持股於美國登記之公司/團體逾 10%或以上？若“是”，請詳述 Does/Did the Relevant Person hold 10% or more shareholding, directly or indirectly in any of company / entity registered in U.S.? If “Yes”, please specify</p> <p>機構名稱 Name of Organization: _____ 登記市/州份 City/State of Registration: _____ 公司註冊號 Company Registration Number: _____ 截至開戶日當天的實際持控股權權益: _____ 股 (_____ %) Shares held up to the date of account opening _____ shares (_____ %)</p> | □ | □ |
| <p>有關人士是否持有美國物業或擁有在美國開立之投資帳戶？若“是”，請詳述 Does the Relevant Person hold any property or maintain security account in U.S.? If “Yes”, please specify</p> <p>物業地址 Address of Property: _____ 投資目的: 在美事業投資 / 移民投資 / 教育基金 / 個人增值 / 退休金 / 其他 (請註明): _____ Investment Objective: Business Investment in U.S. / Immigration Investment / Education Fund / Personal Income Growth / Retirement / Other (please specify) : _____</p> | □ | □ |

- Deliberately remains BLANK beneath this mark -
 - 本節以下刻意留為空白 -

有關人士及被授權人員聲明 Relevant Person and Authorized Person Declaration

1. 有關人士已細閱及完全明白本帳戶持續審查資料表之內容，有關人士確認本帳戶持續審查資料表所載資料均屬真實、正確、最新及完整的資料。如帳戶持續審查資料表所載之資料有任何更改，有關人士承諾會即時以貴行規定之表格通知貴行。
The Relevant Person(s) has/have read and fully understood the contents of this Account Ongoing Review Form. The Relevant Person(s) confirm(s) that information given by the Relevant Person(s) in this Account Ongoing Review Form is true, correct, update and complete. The Relevant Person(s) further undertake(s) to notify the Bank forthwith in the form prescribed by the Bank in case of any change of any such information.
2. 有關人士確認及聲明，有關人士已獲提供下列文件副本及已詳細閱讀其條文，並同意受其約束：
The Relevant Person(s) acknowledge(s) and declare(s) that the Relevant Person(s) has/have been provided with a copy of the following documents and carefully read and agreed to be bound by the same:-
 - 《銀行服務總條款》
“Master Terms for Banking Service”
 - 《關於香港個人資料(私隱)條例致客戶的通告》
“Notice to Customers relating to Hong Kong’s Personal Data (Privacy) Ordinance”
 - 《關於兆豐國際商業銀行履行台灣個資法告知義務內容之通知－履行中華民國個人資料保護法第八條第一項告知義務內容》(僅限擁有中華民國籍人士適用)
“Mega International Commercial Bank’s Statement of Advice Regarding the Compliance of the Disclosure Obligation as Prescribed in the Personal Information Protection Act of the Republic of China – Statement of Advice Regarding the Compliance of Paragraph 1 of Article 8 of the Personal Information Protection Act of the Republic of China” (Only Applicable to Holder(s) of the Republic of China Citizenship)
 - 《關於兆豐國際商業銀行履行台灣個資法告知義務內容之通知－履行中華民國個人資料保護法第九條第一項告知義務內容》(僅限擁有中華民國籍人士適用)
“Mega International Commercial Bank’s Statement of Advice Regarding the Compliance of the Disclosure Obligation as Prescribed in the Personal Information Protection Act of the Republic of China – Statement of Advice Regarding the Compliance of Paragraph 1 of Article 9 of the Personal Information Protection Act of the Republic of China” (Only Applicable to Holder(s) of the Republic of China Citizenship)
 - 《稅務要求通知》
“Tax Requirement Notice”
 - 《傳真及電子傳送交易指示彌償書》
“Facsimile and Electronically Transmitted Instruction Indemnity”
3. 就上述文件及本帳戶持續審查資料表，有關人士已被邀請提問及如有需要可尋求獨立意見，如有關人士有此意願，有關人士確認有關人士已細閱及明白上述文件及本帳戶持續審查資料表之內容並同意受其約束。
The Relevant Person(s) has/have been invited to ask questions and take independent profession advice on the above documents and this Account Ongoing Review Form if the Relevant Person(s) wish(es). The Relevant Person(s) hereby confirm(s) that the Relevant Person(s) has/have read and fully understood the contents of the abovementioned documents and this Account Ongoing Review Form and agree(s) to be bound by them.
4. 有關人士確認及明白，除非上下文另有規定，本本帳戶持續審查資料表採納《銀行服務總條款》的定義詞語。
The Relevant Person(s) acknowledge(s) and understand(s) that the defined terms in the “Master Terms for Banking Service” are adopted in this Account Ongoing Review Form unless the context otherwise requires.
5. 有關人士確認及聲明如有關人士或被授權人員(如有)此後擁有美國國籍或擁有美國永久居留權，有關人士會即時以書面通知貴行。有關人士確認及明白貴行並不對任何有關人士或被授權人員(如有)因疏忽或蓄意不通知貴行最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知貴行而招致貴行的所有損失或損害承擔不可推卸的賠償責任。
The Relevant Person(s) acknowledge(s) and declare(s) that he/she/they and the Authorized Person(s) (if any) shall notify the Bank in writing as and when the he/she/they and the Authorized Person(s) holds U.S. citizenship or permanent right of abode. The Relevant Person(s) acknowledge(s) and understand(s) that the Bank shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the latest information to the Bank by him/her/them and the Authorized Person(s) (if any) and the Relevant Person(s) and the Authorised Person(s) (if any) has/have the compelling obligation to be responsible for the Bank’s losses and damages arising out of or in connection with the failure by the Relevant Person(s) and the Authorised Person(s) to notify the Bank.
6. 有關人士明白、確認及同意，在適當的情況下，有關人士及被授權人員之個人資料及交易紀錄或須披露予其他司法管轄區的主管當局，包括但不限於台灣及美國主管當局，以及貴行總行與提供貴行代理銀行服務之代理銀行等機構，該等資料有可能被移轉至香港特別行政區外。
The Relevant Person(s) understand(s), acknowledge(s) and agree(s) that, where the circumstances are appropriate, the personal data of the Relevant Person(s) and the Authorized Person(s) and the transaction record(s) may be disclosed to the competent authority of other jurisdictions including, without limitation, the competent authority of Taiwan and U.S and the Head Office of the Bank, the correspondent banks and institutions which provide correspondent banking services to the Bank. Such Information may be transferred to a place outside the Hong Kong Special Administrative Region.

Mega International Commercial Bank Hong Kong Branch
Account Opening Form (Non Individual Account)

- 7. 被授權人員同意及確認，本帳戶持續審查資料表及《銀行服務總條款》關於被授權人員的條文將對其有絕對約束力。
The Authorized Person(s) agree(s) and acknowledge(s) that, in so far as the provision of this Account Ongoing Review Form and of Master Terms for Banking Service relates to him/her/them, the same shall be absolutely binding on the Authorized Person(s).
- 8. 本帳戶持續審查資料表之中英文文義如有歧異，應以英文為準。
The English version of this Account Ongoing Review Form shall prevail if there is any discrepancy between the English and Chinese version.

請此份資料紀錄表當事人
於此欄位親簽，
勿加任何公司章。
請留意簽字處位於小x旁。

X

有關人士簽署
Signature of Relevant Person

請用中文正楷書寫當事人姓名。

姓名 Name

日期 Date

Tax Declaration Form 稅務聲明

I/We acknowledge that Mega International Commercial Bank Co., Ltd. HK Branch (herein referred to as "the Bank"), is regulated by the Hong Kong Monetary Authority, and is subject to anti-money laundering/counter-terrorist financing ("AML/CTF") laws and regulations of which a broad range of serious crimes (including serious tax crimes) have been designated as money laundering predicate offences in HK.

兆豐國際商業銀行香港分行(以下簡稱“銀行”)受香港金融管理局監管，需遵守打擊洗錢及恐怖份子資金籌集相關規定，其中廣泛的嚴重犯罪(包括嚴重稅務犯罪)在香港被認定為洗錢的前置犯罪。

I/We hereby represent and warrant to the Bank that:

第2.點請務必勾選 [有] 或 [沒有]

我/我們在此向銀行聲明並保證:

1. I/We acknowledge and agree that I/we am/are solely responsible for my/our own tax affairs, and the Bank is not used as a conduit to disguise the proceeds of tax crimes or any criminal activity or conduct.
我/我們知悉且同意，我/我們對自己的稅務事務負全部責任，並且不會利用銀行作為掩飾稅務所得或任何犯罪活動或行為的管道。
2. I/We **have** **have not** been prosecuted, investigated or charged for or with any offence or penalty in relation to taxation in any country/territory within the past 5 years. If I/we have been involved in the above mentioned situations, I/we **have** **have not** provided the Bank with circumstances and outcome of each tax matter.
在過去 5 年內，我/我們 **有** **沒有** 因任何國家/地區的稅務被起訴、調查或被控任何罪行或罰款。如果我/我們曾涉及上述情事，我/我們 **已提供** **尚未提供** 予銀行每一項稅務事項的情況及結果。
3. I/We agree to notify the Bank of any changes to the purpose or legitimacy or my/our account(s)/transaction(s) with the Bank, promptly and without delay.
我/我們同意當稅務目的或合法性改變或賬戶/交易發生任何變化，將及時通知銀行。
4. It is my/our intention that any applicable taxes relating the account(s)/transaction(s) with the Bank will be correctly declared and paid.
任何與銀行賬戶/交易相關的稅均將被正確申報與繳付。
5. I/We undertake to provide the Bank with all information and documents relating to my/our tax affairs as may be required by the Bank to comply with the Bank's AML/CTF obligations.
我/我們承諾將配合銀行的要求，提供銀行有關我們稅務事務的所有資訊和文件，使銀行能遵守及符合打擊洗錢及恐怖份子資金籌集之義務。

此聲明之中文條款為英文版本譯本，如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

Authorisation and Acknowledgement

Signed for and on behalf of

Customer Name:

請填寫 正楷之個人戶/公司戶 戶名

Authorized Signature:

請帳戶持有人親簽，並加蓋 此帳戶之原留印鑑
如為公司戶，請加蓋公司章，並加上負責人親簽

Date (YYYY/MM/DD):

自我證明表格 – 法人 (包含合夥組織)
Self-Certification Form – Entity (Including Partnership)

重要提示 Important Notes :

- 這是由帳戶持有人向兆豐國際商業銀行香港分行提供的自我證明表格，以作自動交換財務帳戶資料用途。兆豐國際商業銀行香港分行可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- This is a self-certification form provided by an account holder to Mega International Commercial Bank Co., Ltd., Hong Kong Branch for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Mega International Commercial Bank Co., Ltd., Hong Kong Branch to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知兆豐國際商業銀行香港分行。
- An account holder should report all changes in its tax residency status to Mega International Commercial Bank Co., Ltd., Hong Kong Branch.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的欄位不敷使用，可自行增列填寫。在欄/部標有星號 (*) 的項目為申報財務機構須向稅務局申報的資料。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

第 1 部 法人帳戶持有人的身分辨識資料**Part 1 Identification of Entity Account Holder**

(對於聯名帳戶或多人聯名帳戶，每名法人帳戶持有人須分別填寫一份表格)

(For joint or multiple account holders, complete a separate form for each entity account holder.)

- | | |
|---|---|
| <p>(1) 法人或分支機構的法定名稱 * Legal Name of Entity or Branch *</p> | <p style="text-align: right;">← 請填寫公司名稱</p> <hr style="border: 0; border-top: 1px solid black;"/> |
| <p>(2) 法人或機構設立所在的稅務管轄區 Jurisdiction of Incorporation or Organisation</p> | <p style="text-align: right;">← 請填寫公司註冊國家</p> <hr style="border: 0; border-top: 1px solid black;"/> |
| <p>(3) 香港商業登記號碼 Hong Kong Business Registration Number</p> | <p style="text-align: right;">← 請填寫公司註冊號碼</p> <hr style="border: 0; border-top: 1px solid black;"/> |
| <p>(4) 現行營業地址 Current Business Address 第 1 行(例如：室、樓層、大廈、街道、地區) Line 1 (e.g. Suite, Floor, Building, Street, District) 第 2 行 (城市) * Line 2 (City) * 第 3 行 (例如：省、州) Line 3 (e.g. Province, State) 國家 * Country * 郵政編碼/郵遞區號碼 Post Code/ZIP Code</p> | <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p style="text-align: center;">請填公司實際營運地址(如台灣) (一般 "非" 為註冊地)。</p> </div> <hr style="border: 0; border-top: 1px solid black;"/> <hr style="border: 0; border-top: 1px solid black;"/> <hr style="border: 0; border-top: 1px solid black;"/> |

(5) 通訊地址 (如通訊地址與現行營業地址不同, 填寫此欄)

Mailing Address (Complete if different to the current business address)

第 1 行(例如: 室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 2 行 (城市)

Line 2 (City)

第 3 行 (例如: 省、州)

Line 3 (e.g. Province, State)

國家

Country

郵政編碼/郵遞區號碼

Post Code/ZIP Code

如公司通訊地址不同於實際營運地址, 才需填寫。

第 2 部 法人類別

Part 2 Entity Type

在其中一個適當的方格內加上✓號, 並提供有關資料。

Tick ✓ one of the appropriate boxes and provide the relevant information.

| | |
|-------------------------------|--|
| 金融機構 Financial Institution | <input type="checkbox"/> 託管機構、存款機構或特定保險公司 Custodial Institution, Depository Institution or Specified Insurance Company |
| | <input type="checkbox"/> 投資實體, 但不包括由另一金融機構管理 (例如: 擁有裁量權以管理投資實體的資產) 並位於非參與稅務管轄區的投资實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction |
| 積極性非金融機構 Active NFE | <input type="checkbox"/> 該非金融機構的股票經常在 _____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market |
| | <input type="checkbox"/> _____ 的關係企業, 該關係企業的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market |
| | <input type="checkbox"/> 政府機關、國際組織、中央銀行或由前述的機構全權擁有的其他法人 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities |
| | <input type="checkbox"/> 除上述以外的積極性非金融機構 (在其中一個適當的圓圈內加上✓號) Active NFE other than the above (Please Tick ✓ one of the appropriate circles.) <ul style="list-style-type: none"><input type="radio"/> 符合規定總收入中少於 50% 屬被動收入, 且總資產少於 50% 屬產生被動收入的資產, 或屬為產生被動收入而持有的資產 Active by reason of having less than 50% of the assets are passive income<input type="radio"/> 控股非金融機構, 其 80% 以上營 (詳細定義請詳附錄) Holding NFEs that 80% or more or in part, the stocks of, or provide financial subsidiaries (Please refer to the detailed definition in the appendix)<input type="radio"/> 其他(請說明) _____ Others (please specify) _____ |
| 消極性非金融機構 Passive NFE | <input type="checkbox"/> 位於非參與稅務管轄區並由另一金融機構管理 Investment entity that is managed by another financial institution in a non-participating jurisdiction |
| | <input type="checkbox"/> 不屬積極性非金融機構的非金融機構 NFE that is not an active NFE |

請擇一項勾選 貴公司法人類別。

1. 一般營運公司, 請勾選『積極性非金融機構』的第4個方框, 並需勾選第1個小圓圈。
2. 控股公司, 請勾選『積極性非金融機構』的第4個方框, 並需勾選第2個小圓圈。
3. 一般投資公司or收入50%以上來自『被動收入』(股利、股息、租金...等)之公司, 請勾選『消極性非金融機構』的第2個方框。

第 3 部 控權人 (如法人帳戶持有人是消極性非金融機構，填寫此部份)

Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)

就帳戶持有人，填寫所有控權人的姓名在列表內。控權人一般是指自然人對某法人的「控權」，通常透過其在法人的持股(通常以某個百分比(例如 25%)為基準)行使。就法人而言，如行使控制權的並非自然人，則控權人會是該法人的高階管理人員。

Indicate in the table below the name of all controlling person(s) of the account holder who is/are generally the natural person(s) exercising control over an entity through a controlling ownership interest ultimately (typically on the basis of a certain percentage (e.g. 25%)). If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

每名控權人須分別填寫一份控權人自我證明表格

Complete Self-Certification Form of Controlling Person for each controlling person

| | |
|-----|-----|
| (1) | (2) |
| (3) | (4) |
| (5) | (6) |
| (7) | (8) |

1.第2頁之法人類別勾選為『消極性非金融機構』才需填寫第3部控權人。

2.控權人指: (1)持股超過25%之股東 or (2)簽字人 or (3)董事。

3.每名控權人需各填寫一份『附檔5.CRS自我證明表格 – 控權人』表格。

第 4 部 居留司法管轄區及稅籍編號或具有等同功能的辨識編號 (以下 Part 4 Jurisdiction of Residence and Taxpayer Identification)

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (包括香港) 及 (b) 該居留司法管轄區發給帳戶持有人的稅籍編號。列出**所有** (不限於 5 個) 居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅籍編號是其香港商業登記號碼。If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

此編號視貴公司之居留司法管轄區而定。例如：

如身 (1)如為一般OBU公司，若註冊地沒有提供稅籍編號，請於右邊那欄填寫理由A，或依公司實際狀況填寫。

如身 (2)如為香港註冊法人，稅籍編號應為香港商業登記號碼。

如身 (3)如為台灣註冊法人，稅籍編號應為統一編號OR繳稅編號。

如身 如對稅務狀況有任何疑問，請洽專業稅務顧問諮詢。本行恕無法給予任何稅務建議。

- 理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅籍編號。
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B – 帳戶持有人不能取得稅籍編號。如選取這一理由，解釋帳戶持有人不能取得稅籍編號的原因。
Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 理由 C – 帳戶持有人毋須提供稅籍編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅籍編號。
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

| 居留司法管轄區 Jurisdiction of Residence | 稅籍編號 TIN | 如沒有提供稅籍編號， 填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available | 如選擇理由 B， 解釋帳戶持有人不能取得稅籍編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B |
|--------------------------------------|-------------|--|---|
| (1) | | | |
| (2) | | | |
| (3) | | | |
| (4) | | | |
| (5) | | | |

請填寫公司註冊國家

第 5 部 自動交換財務帳戶資料聲明

Part 5 Declarations For Automatic Exchange Of Financial Account Information

本人知悉及同意，兆豐國際商業銀行香港分行可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Mega International Commercial Bank Co., Ltd., Hong Kong Branch for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Mega International Commercial Bank Co., Ltd., Hong Kong Branch to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或導致本表格所載的資料不正確，本人會通知兆豐國際商業銀行香港分行，並會在情況發生改變後 30 日內，向兆豐國際商業銀行香港分行提交一份已適當更新的自我證明表格。

I undertake to advise Mega International Commercial Bank Co., Ltd., Hong Kong Branch of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Mega International Commercial Bank Co., Ltd., Hong Kong Branch with a suitably updated self-certification form within 30 days of such change in circumstances.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

請負責人/被授權人員
親簽於此。

X

帳戶持有人簽署
Signature of account holder

X

身分 (例如：公司的董事或高階人員、合夥的合夥人、信託的受託人等)

Capacity (e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

X

姓名
Name

請用中文正楷書寫
負責人/被授權人員
全名。

X

簽署日期 (日/月/年)
Date (DD/MM/YYYY)

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

控權人一般是指自然人對某法人的「控權」，通常透過其在法人的持股(通常以某個百分比(例如25%)為基準)行使。就法人而言，如行使控制權的並非自然人，則控權人會是該法人的高階管理人員。

自我證明表格 – 控權人
Self-Certification Form – Controlling Person

重要提示 Important Notes :

- 這是由帳戶持有人向兆豐國際商業銀行香港分行提供的自我證明表格，以作自動交換財務帳戶資料用途。兆豐國際商業銀行香港分行可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- This is a self-certification form provided by an account holder to Mega International Commercial Bank Co., Ltd., Hong Kong Branch for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Mega International Commercial Bank Co., Ltd., Hong Kong Branch to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知兆豐國際商業銀行香港分行。
- An account holder should report all changes in its tax residency status to Mega International Commercial Bank Co., Ltd., Hong Kong Branch.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不敷使用，可另行增列填寫。在欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

第 1 部 控權人的身分辨識資料
Part 1 Identification of Controlling Person

(1) 控權人的姓名

Name of Controlling Person

稱謂 (例如：先生、太太、女士、小姐)

Title (e.g. Mr, Mrs, Ms, Miss)

姓氏 *

Last Name or Surname *

名字 *

First or Given Name *

請填控權人之姓名等資料。

(2) 香港身份證或護照號碼

Hong Kong Identity Card or Passport Number

如為香港居民，請填香港身份證號。
如為非香港居民，請填護照號碼。

(3) 現行居住地址

Current Residence Address

第 1 行(例如：室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 2 行 (城市) *

Line 2 (City) *

第 3 行 (例如：省、州)

Line 3 (e.g. Province, State)

國家 *

Country *

郵政編碼/郵遞區號碼

Post Code/ZIP Code

請填現行居住地址。
如為台灣居民，可填台灣身份證背後之戶籍地址。

(4) 通訊地址 (如通訊地址與現行居住地址不同, 填寫此欄)

Mailing Address (Complete if different to the current residence address)

第 1 行(例如: 室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 2 行 (城市)

Line 2 (City)

第 3 行 (例如: 省、州)

Line 3 (e.g. Province, State)

國家

Country

郵政編碼/郵遞區號碼

Post Code/ZIP Code

如通訊地址與現行居住地址不同, 填寫此欄。

(5) 出生日期 * (日/月/年)

Date of Birth * (dd/mm/yyyy)

請填控權人出生日期, 留意日期排序為: 日/月/西元年。

(6) 出生地點 (可不填寫)

Place of Birth (Not compulsory)

縣/市

Town/City

省/州

Province/State

國家

Country

第 2 部 你作為控權人的法人帳戶持有人

Part 2 The Entity Account Holder of which you are a controlling person

填寫你作為控權人的法人帳戶持有人的名稱。

Enter the name of the entity account holder of which you are a controlling person.

| 法人 Entity | 法人帳戶持有人的名稱 Name of the Entity account Holder |
|--------------|---|
| (1) | 請填寫該控權人, 其具有控制權之法人名稱。 |
| (2) | |
| (3) | |

第 3 部 居留司法管轄區及稅籍編號或具有等同功能的辨識編號 (以下簡稱「稅籍編號」) *

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

提供以下資料, 列明 (a) 控權人的居留司法管轄區, 亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅籍編號。列出所有 (不限於 5 個) 居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence.

如控權人是香港稅務居民, 稅籍編號是其香港身份證號碼。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅籍編號, 必須填寫合適的理由 A、B 或 C:

If a TIN is unavailable, provide the appropriate reason A, B or C:

- 理由 A – 控權人的居留司法稅務管轄區並沒有向其居民發出稅籍編號。

Reason A – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

- 理由 B – 控權人不能取得稅籍編號。如選取這一理由解釋控權人不能取得稅籍編號的原因。

Reason B – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

- 理由 C – 控權人毋須提供稅籍編號。居留司法管轄區的主管機關不需要控權人披露稅籍編號。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

居留司法管轄區：通常為控權人因居民身份繳納所得稅的國家/地區。

| 居留司法管轄區 Jurisdiction of Residence | 稅籍編號 TIN | 如沒有提供稅籍編號， 填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available | 如選擇理由 B， 解釋控權人不能取得稅籍編號的原因 Explain why the controlling person is unable to obtain a TIN if you have selected Reason B |
|--------------------------------------|-------------|--|---|
| (1) | | | |
| (2) | | | |
| (3) | | 如沒有提供稅籍編號， 需填寫理由 A、B 或 C。 | 如選擇理由 B，此欄位務必填寫控權人不能取得稅籍編號的原因。 |
| (4) | | | |
| (5) | | | |

此編號視貴該控權人具有哪國之稅務居民身分而定。例如：

- (1) 如具台灣國籍，無論是否需要繳稅，稅籍編號皆為台灣身分證字號。
- (2) 如具台灣國籍，但在大陸工作並須繳交當地所得稅，需於第2稅籍編號另外填寫 [台胞證字號]。
- (3) 如具香港身分證，稅籍編號皆為香港身分證字號。

如對稅務狀況有任何疑問，請洽專業稅務顧問諮詢。本行恕無法給予任何稅務建議。

第 4 部 控權人類別

Part 4 Type of Controlling Person

就第 2 部所載的法人，在適當方格內加上✓號，指出控權人就法人所屬的控權人類別

Tick the appropriate box to indicate the type of controlling person for the entity stated

請在適當方格內打勾，指出該控權人就所控制之法人所屬的控權類別。

| 法人類別 Entity Type | 控權人類別 Type of Controlling Person | 法人(1) Entity(1) | 法人(2) Entity(2) | 法人(3) Entity(3) |
|--|--|--------------------------|--------------------------|--------------------------|
| 法人 Legal Person | 擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本) Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權) Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 擔任該法人的高級管理人員/對該法人的管理行使最終控制權的個人 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 信託 Trust | 委託人 Settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 受託人 Trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 監察人 Protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 受益人或某類別受益人 Beneficiary or member of the class of beneficiaries | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 其他 (例如：如財產授與人/另一法人，對該法人行使控制權的個人) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 除信託以外的 法律安排 Legal Arrangement other than Trust | 處於相等/相類於委託人位置的個人 Individual in a position equivalent/similar to settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 處於相等/相類於監察人位置的個人 Individual in a position equivalent/similar to protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 其他 (例如：如處於相等/相類於委託/受託人/監察人/受益人位置的人為另一法人，對該法人行使控制權的個人) Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

一般公司請勿勾選此兩大類法人類別

第 5 部自動交換財務帳戶資料聲明

Part 5 Declarations for Automatic Exchange Of Financial Account Information

本人知悉及同意，兆豐國際商業銀行香港分行可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於控權人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by Mega International Commercial Bank Co., Ltd., Hong Kong Branch for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by Mega International Commercial Bank Co., Ltd., Hong Kong Branch to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人證明，就與本表格所有相關的法人帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格[#]。
I certify that I am the controlling person / I am authorized to sign for the controlling person[#] of all the account(s) held by the entity account holder(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知兆豐國際商業銀行香港分行，並會在情況發生改變後 30 日內，向兆豐國際商業銀行香港分行提交一份已適當更新的自我證明表格。

I undertake to advise Mega International Commercial Bank Co., Ltd., Hong Kong Branch of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Mega International Commercial Bank Co., Ltd., Hong Kong Branch with a suitably updated self-certification form within 30 days of such change in circumstances.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

請控權人親簽一處。

請註明該控權人於法人戶之身份別。

X

控權人簽署/獲控權人授權的人士簽署[#]
Signature of controlling person /
Signature of authorized person to sign for the
controlling person[#]

X

身分別[#] (如果你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身份簽署這份表格，須夾附該授權書的核證副本)
Capacity[#] (Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

請用中文正楷書寫控權人完整姓名。

請註明簽署日期

X

姓名
Name

X

簽署日期 (日/月/年)
Date (DD/MM/YYYY)

[#]刪去不適用者 Delete as appropriate

警告: 根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

Form **W-8BEN-E**

(Rev. April 2016)
2016年4月修訂

**Certificate of Status of Beneficial Owner for United States
Tax Withholding and Reporting (Entities)**

於美國扣繳稅款與申報目的下之最終受益人身分聲明(法人)

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service
美國財政部國稅局

► For use by entities. Individuals must use Form W-8BEN. 本表供法人使用；個人須使用W-8BEN表格。
► Section references are to the Internal Revenue Code. 對應章節請參考美國稅法法規。 ► Information about Form W-8BEN-E and its separate instructions is at www.irs.gov/formw8bene. W-8BEN-E表格資訊及其個別說明書請參考：www.irs.gov/formw8bene。 ► Give this form to the withholding agent or payer. Do not send to the IRS. 請將此表格繳交扣繳義務人或付款人；請勿直接繳交美國國稅局。

Do NOT use this form for : 下列人士請勿使用本表格

- U.S. entity or U.S. citizen or resident. 美國法人、美國公民或美國稅務居民，適用 W-9
- A foreign individual. 外籍(非美國籍)人士，適用 W-8BEN (個人)或表格 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits)...W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits)(see instructions for exceptions)W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b)(unless claiming treaty benefits)(see instructions for other exceptions)..... W-8ECI or W-8EXP
- Any person acting as an intermediary.....W-8IMY

僅供參考

Instead, use Form : 適用表格

-W-9
-W-8BEN (Individual) or Form 8233
-W-8ECI
-W-8IMY
-W-8ECI or W-8EXP
-W-8IMY

PART I

第一部份

Identification of Beneficial Owner 最終受益人身份

請填寫公司註冊國家

1 Name of organization that is the beneficial owner 最終受益人(法人)名稱 2 Country of incorporation or organization 公司註冊/成立地國家

3 Name of disregarded entity receiving the payment (If applicable, see instructions) 收取款項的無形企業實體名稱(若適用，請參閱說明)

請填寫公司英文名稱

- 4 Chapter 3 Status (entity type) (Must check one box only) 第三章身份狀態(法人類型)(僅可勾選一種身分)
- Disregarded entity 無形企業
 - Partnership 合夥企業
 - Simple Trust 單純信託
 - Grantor trust 贈與人信託
 - Central Bank of Issue 中央銀行
 - Complex trust 複雜信託
 - Estate 遺產
 - Government 政府
 - Tax-exempt organization 免稅組織
 - Private foundation 私人基金會
 - International organization 國際組織

請勾選法人身份。

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making an election under section 1361? If "Yes" complete Part III. 倘勾選「是」，請完成第三部分。

5 Chapter 4 Status (FATCA status) (see instructions for details and complete the certification below for the entity's applicable status) 第四章身份狀態(請參閱詳細說明並依法人適用之身分狀態完成後續保證事項)

- Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner). 未簽署協議的外國金融機構(包含受限制的外國金融機構；或與在跨政府協議下應申報的外國金融機構之關係企業，而非屬視同合規的或有簽署協議的外國金融機構者；或豁免的最終受益人)。
- Participating FFI. 有簽署協議的外國金融機構。
- Nonreporting IGA FFI. Complete Part XII. 在跨政府協議下毋須申報的外國金融機構。完成第十二部份。
- Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. 外國政府、美國屬地政府或發行貨幣的外國中央銀行。完成第十三部份。
- International organization. Complete Part XIV. 國際組織。完成第十四部份。
- Exempt retirement plans. Complete Part XV. 豁免的退休計畫。完成第十五部份。
- Entity wholly owned by exempt beneficial owners. Complete Part XVI. 由免受扣繳的最終受益人完全持有的法人。完成第十六部份
- Territory financial institution. Complete Part XVII. 美國屬地金融機構。完成第十七部份。
- Nonfinancial group entity. Complete Part XVIII. 非金融集團法人。完成第十八部份。
- Excepted nonfinancial start-up company. Complete Part XIX. 免受扣繳的非金融新創公司。完成第十九部份。
- Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. 免受扣繳的清算中或破產的非金融法人。完成第二十部份。
- 501(C) organization. Complete Part XXI. 符合第 501(c)節規範的組織。完成第二十一部份。
- Nonprofit organization. Complete Part XXII. 非營利組織。完成第二十二部份。
- Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. 股票在證券市場正常交易的非金融外國法人或其關係企業。完成第二十三部份。
- Excepted territory NFFE. Complete Part XXIV. 免受扣繳的美國屬地非金融外國法人。完成第二十四部份。
- Active NFFE. Complete Part XXV. 積極的非金融外國法人。請完成第二十五部份。
- Passive NFFE. Complete Part XXVI. 消極的非金融外國法人。完成第二十六部份。
- Excepted inter-affiliate FFI. Complete Part XXVII. 免受扣繳的關係企業間的外國金融機構。完成第二十七部份。
- Direct reporting NFFE. 直接申報的非金融外國法人。
- Sponsored direct reporting NFFE. Complete Part XXVIII. 受贊助的直接申報的非金融外國法人。完成第二十八部份。
- Account that is not a financial account. 帳戶非金融帳戶。

請擇一項勾選 貴公司身份狀態，並填寫勾選的方格旁所指出表格後方需完成之相對應部份。

1. 一般營運公司&控股公司，請勾選『積極的非金融外國法人』，並需勾選Page7第二十五部份。

2. 一般投資公司or收入50%以上來自『被動收入』(股利、股息、租金...等)，請勾選『消極的非金融外國法人』，並需勾選Page7第二十六部份。

6 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. (other than a registered address) 永久居住地址(含街道、公寓或房間號碼，或郵件投遞路線)。請勿使用郵政信箱或轉信地址。(除註冊地地址之外之地址)

請填公司實際營運地址(如台灣)(一般"非"為註冊地)。

City or town, state or province. Include postal code where appropriate.
城市或鄉鎮, 州或省, 及郵遞區號

Country 國家

7 Mailing address (if different from above) 郵寄地址 (倘與上方永久居住地址不同)

City or town, state or province. Include postal code where appropriate.
城市或鄉鎮, 州或省, 及郵遞區號

Country 國家

8 U.S. taxpayer identification number (TIN), if required. 倘須要, 填寫美國稅籍編號

9a GIIN
全球中介機構識別號碼b Foreign TIN
外國稅籍編號10 Reference number(s) (see instructions)
參考編號 (請參閱說明)

Note. Please complete remainder of the form including signing the form in Part XXX. **備註.** 請完成後續文件內容並於第三十部分簽名

PART II 第二部份

Disregarded Entity or Branch Receiving Payment (Complete only if disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.) 收取款項的無形企業或分行(僅於當具有全球中介機構識別碼之無形企業及其分支機構位於非外國金融機構所在地國家時填寫, 請參閱說明)

- 11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment 收取款項的無形企業之第四章身份狀態(FATCA 身份)
- Limited Branch (see instructions). 受限制的分行(請參閱說明) Reporting Model 1 FFI. 在跨政府協議模式一下應申報的外國金融機構
- U.S. Branch. 美國分行 Participating FFI. 有簽署協議的外國金融機構
- Reporting Model 2 FFI. 在跨政府協議模式二下應申報的外國金融機構
- 12 Address of disregarded entity or branch (street, apt, or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address). 永久居住地址(含街道、公寓或房間號碼, 或郵件投遞路線)。請勿使用郵政信箱或轉信地址(除非為註冊的地址)。

City or town, state or province, Include postal code where appropriate. 城市或鄉鎮、州或省, 及郵遞區號

Country 國家

13 GIIN (if any) 全球中介機構識別號碼(若適用)

PART III 第三部份

Claim of Tax Treaty Benefits (if applicable).(For chapter 3 purposes only)
租稅協定優惠稅率之主張 (如適用)(僅供第 3 章填寫用)

- 14 I certify that (check all that apply): 本人保證 (勾選所有適用項目)
- a The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country. 最終受益人係與美國簽訂租稅協定國家 _____ 之居民。
- b The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions): 最終受益人係以非個人身分, 取得適用租稅協定優惠稅率的收入項目, 並符合租稅協定條款對該利益之限制。下列為符合租稅協議規定受利益限制之類型 (請擇一勾選: 詳見說明)
- Government 政府機構 Company that meets the ownership and base erosion test 符合所有權人與利基侵蝕測試之公司
- Tax exempt pension trust or pension fund 稅務豁免之退休金信託或基金 Company that meets the derivative benefits test 符合衍生性收益測試之公司
- Other tax exempt organization 其他稅務豁免組織 Company with an item of income that meets active trade or business test 公司之收入項目符合積極性交易或業務測試
- Publicly traded corporation 股票在證券市場正常交易之公司 Favorable discretionary determination by the U.S. competent authority received 受有美國主管機關有利的自由裁量決定
- Subsidiary of a publicly traded corporation 股票在證券市場正常交易公司之子公司 Other (specify Article and paragraph): _____ 其他(依據之規定): _____
- c The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions). 最終受益人係以非個人身分, 主張自外國公司取得之美國來源股息或自從事美國貿易或業務之外國公司取得之利息係適用租稅協定優惠稅率, 且為符合資格的居民身份。(詳見說明)
- 15 **Special rates and conditions** (if applicable – see instructions):
The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____. Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____ **特別稅率與條件** (如適用, 詳見說明): 受益人主張依上述第 14a 點之協定第 _____ 條規定, 要求以 _____ % 稅率扣繳(說明收入類型) _____. 解釋最終受益人符合適用扣繳稅率條款之附加條件 _____。

PART IV 第四部份

Sponsored FFI
受贊助的外國金融機構

- 16 Name of sponsoring entity: _____ 贊助法人名稱: _____
- 17 **Check whichever box applies. 依適用條件勾選**
- I certify that the entity identified in Part I: 本人保證第一部份列示之法人:
- Is an investment entity; 本身為投資法人;
 - Is not a QI, WP, or WT: **and** 非合格中介機構、外國扣繳合夥企業或外國扣繳信託; **且**
 - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity. 同意前述辨識出的法人(且非屬未簽署協議的外國金融機構)成為本法人之贊助法人。
- I certify that the entity identified in Part I: 本人保證第一部份列示之法人:
- Is a controlled foreign corporation as defined in section 957(a); 係一個符合 957(a)描述的受控制的外國公司
 - Is not a QI, WP, or WT: 非合格中介機構、外國扣繳合夥企業或外國扣繳信託
 - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and** 由前述之美國金融機構直接或間接完全持有, 並同意擔任本法人之贊助法人; **且**
 - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees. 與前述贊助法人共用一個電子帳戶系統, 而此系統可讓贊助法人辨識出所有本法人的帳戶持有人及收款人, 並有權進入本法人所維護之所有帳戶及客戶資料, 包含但不限於: 客戶辨識資料、客戶文件、帳戶餘款及所有支付給帳戶持有人或收款人的款項。

PART V
第五部份**Certified Deemed-Compliant Nonregistering Local Bank**
公認視同合規的非註冊本地銀行

- 18 I certify that the FFI identified in Part I: 本人保證第一部份列示之外國金融機構:
- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization; 在其成立國僅被授權經營銀行或信用合作社(或類似的非營利合作信用機構);
 - Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than five percent interest in such credit union or cooperative credit organization; 銀行主要業務為向銀行無關聯散戶收取存款及發放貸款;信用合作社或類似的聯合信用機構部分主要業務為向會員收取存款及發放貸款,且其會員於該信用合作社或聯合信用機構未擁有5%以上權益。
 - Does not solicit account holders outside its country of organization; 未於成立國以外之地區招攬帳戶持有人;
 - Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions); 在該國家之外沒有固定營運場所(為此目的,固定營運場所不包含:未公開宣傳並作為行政支援功能的地點)
 - Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and** 資產負債表上之資產不超過1.75億美元;若屬為某集團成員,該集團合併資產負債表上之總資產不超過5億美元;且
 - Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part V. 集團無任何其他成員為外國金融機構,但與第一部份所列之外國金融機構成立於同一國家,並符合第五部份所載規定之外國金融機構除外。

PART VI
第六部份**Certified Deemed-Compliant FFI with Only Low-Value Accounts**
公認視同合規僅具低價值帳戶的外國金融機構

- 19 I certify that the FFI identified in Part I: 本人保證第一部份列示之外國金融機構:
- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract; 不以從事投資、再投資、或交易證券、合夥制公司利益、商品、名日本金契約、保險契約或年金契約、或任何與證券、合夥制公司利益、商品、名日本金契約、保險或年金契約相關之利益(包括期貨、遠期契約或選擇權)為主要業務;
 - No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and** 該外國金融機構或同集團任何成員(若有)所維護的金融帳戶餘額或價值均未超過5萬美元(該金額係依適用的帳戶加總規則決定);且
 - Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year. 該外國金融機構及所屬的整個集團(若有),在最近會計年度年底合併資產負債表上的資產,均不超過5,000萬美元。

PART VII
第七部份**Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**
公認視同合規的受贊助且被緊密持有的投資工具

- 20 Name of sponsoring entity: 贊助法人名稱 _____
- 21 I certify that the entity identified in Part I: 本人保證第一部份列示之法人:
- Is an FFI solely because it is an investment entity described in §1.1471-5(e)(4); 係因符合§1.1471-5(e)(4)節所述之投資法人而成為一外國金融機構;
 - Is not a QI, WP, or WT; 非合格中介機構、外國扣繳合夥企業或外國扣繳信託
 - Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and** 由上述第20點之贊助法人負責實質審查、扣繳及申報責任(將此外國金融機構視為有簽署協議的外國金融機構);且
 - Twenty or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100 percent of the equity interests in the FFI and is itself a sponsored FFI). 20人或以下的個人擁有此法人的所有債權或股權利益(不含美國金融機構、有簽署協議之外國金融機構、註冊視同合規之外國金融機構及公認視同合規的外國金融機構所擁有的債權利益、及被受贊助的外國金融機構100%持有股權利益的法人)

PART VIII
第八部份**Certified Deemed-Compliant Limited Life Debt Investment Entity**
公認視同合規的暫時性的債權投資法人

- 22 I certify that the entity identified in Part I: 本人保證第一部份列示之法人:
- Was in existence as of January 17, 2013; 於2013年1月17日時已成立;
 - Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and** 依據信託契約或類似合約,於2013年1月17日當日或之前發行所有類型的債權或股權利益給投資人;且
 - Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under § 1.1471-5(f)(2)(iv)). 因符合暫時性的債權投資法人條件(如於§ 1.1471-5(f)(2)(iv)中對資產及其他需求限制)而被視為公認視同合規。

PART IX
第九部份**Certified Deemed-Compliant Investment Advisors and Investment Managers**
公認視同合規的投資顧問及投資經理

- 23 I certify that the entity identified in Part I: 本人保證第一部份列示之法人:
- Is a financial institution solely because it is an investment entity described in §1.1471-5(e)(4)(i)(A), **and** 係因符合§1.1471-5(e)(4)(i)(A)節所述之投資法人而成為一個金融機構,且
 - Does not maintain financial accounts. 未維護金融帳戶。

PART X
第十部份**Owner-Documented FFI**
已提供所有人資訊之外國金融機構

Note. This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below. **備註:** 此身份僅適用美國金融機構、有簽署協議的外國金融機構或在跨政府協議模式一下應申報的外國金融機構,並於給予此表時同意將視該外國金融機構為一已提供所有人資訊之外國金融機構(詳見適用條件說明),且該外國金融機構須證明下列事項:

- 24a (All owner-documented FFIs check here) I certify that the FFI identified in Part I:
- (所有已提供所有人資訊之外國金融機構皆須勾選此項) 本人保證第一部份列示之外國金融機構:
 - Does not act as an intermediary; 未擔任中介機構;
 - Does not accept deposits in the ordinary course of a banking or similar business; 不接受如一般銀行或從事類似業務的商業存款;
 - Does not hold, as a substantial portion of its business, financial assets for the account of others; 不以替其他帳戶持有人持有金融資產為其主要業務;
 - Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; 非為一發行或支付金融帳戶款項的保險公司(或保險公司之控股公司)
 - Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;

並非具有從事銀行或類似業務範圍內收受存款、為其他帳戶持有金融資產以做為其實質營運之一部分之法人、或發行金融帳戶或有義務就該帳戶支付款項之保險公司(或保險公司之控股公司)之關係集團；

- Does not maintain a financial account for any nonparticipating FFI ; **and** 未替任何未簽署協議的外國金融機構維護金融帳戶；且
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement. 並無對外國金融機構持有股權利益或債權利益(除非債權利益非金融帳戶或餘額、價值未超過美金 5 萬元)之特定美國人士，除非美國特定人士已確認列於外國金融機構之所有人報告聲明中。

Check box 24b or 24c, whichever applies. 依適用條件勾選 24b 或 24c :

- b** I certify that the FFI identified in Part I : 本人保證第一部份列示之外國金融機構 :
- Has provided, or will provide, an FFI owner reporting statement that contains : 已提供或將提供包括下列資訊之外國金融機構所有權人申報聲明書 :
 - The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons) ; 每一直接或間接持有「已提供所有資訊之外國金融機構」(包含除特定美國人士外之所有法人)股權利益之人士及特定美國人士的名稱、地址、稅籍編號(如有)、第四章狀態及提供之文件類型 ;
 - The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons) ; **and** 每一持有「已提供所有資訊之外國金融機構」(包含所有間接債權利益，且此間接債權利益包含任何法人直接或間接擁有領款人的債權權益或受款人的債權持有人直接或間接股權權益)債權利益且於該金融機構之金融帳戶具超過\$50,000 美金之個人及特定美國人士的名稱、地址、稅籍編號(如有)、第四章狀態，(但排除由「有簽署協議的外國金融機構」、「合規的外國金融機構」、「公認視同合規的外國金融機構」、「免受扣繳的外國非金融機構」、「免受扣繳的最終受益人」、或除特定美國人士以外的美國人士所擁有的債權權益)；且
 - Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity. 任何其他扣繳機構所需以符合其對該法人義務之資訊。
 - Has provided, or will provide, valid documentation meeting the requirements of §1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement. 在外國金融機構之所有人報告聲明中，確認每個人已提供或將提供符合§1.1471-3(d)(6)(iii)規定之有效文件。
- c** I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within four years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in §1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers. 本人保證第一部份列示之外國金融機構已提供、或將提供於本行支付款項之日起算 4 年內由在美國營業之獨立的會計師事務所或法律代表所簽署的稽核函。該稽核函須聲名該會計事務所或法律代表已檢視該外國金融機構所有持有人及於§1.1471-3(d)(6)(iv)(A)(2)節辨識出的債權持有人的相關文件，且該外國金融機構符合所有「已提供所有資訊的外國金融機構」條件；此外，在第一部分辨識出的外國金融機構已提供或將提供對於「特定美國人士」所有人的所有權人申報聲明書及其 W-9 文件、但保有適用的放棄權。

Check box 24d if applicable (optional, see instructions). 依適用條件勾選 24d(選擇填寫，請參閱說明) :

- d** I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries. 本人保證第一點列示之法人為一無任何或有受益人、或已指定類別但未經辨識的受益人的信託。

**PART XI
第十部份**

**Restricted Distributor
受限制的通路商**

- 25a** (All restricted distributors check here) I certify that the entity identified in Part I : (所有受限制的通路商勾選此項)本人保證第一部份列示之法人
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished ; 針對本表格的提供對象(受限制的基金)，擔任該受限制的基金之債權或股權之通路商；
 - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other ; 至少提供投資服務給 30 個與彼此無關聯的客戶，且超過一半的客戶不得為關係人；
 - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction) ; 須依成立國的法令執行洗錢防制審查程序，且該成立國為遵循「洗錢防制金融行動小組」的司法管轄權地區；
 - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any ; 僅在其成立國營運且於成立國外無固定營業場所；倘該通路商尚屬集團成員，集團之所有成員皆於同一國成立；
 - Does not solicit customers outside its country of incorporation or organization ; 未於成立國外招攬客戶
 - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year ; 最近會計年度之總資產管理規模不超過 1.75 億美元，且損益表總收入不超過 700 萬美元；
 - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement ; **and** 非屬最近會計年度總資產管理規模超過 500 萬美元或合併損益表總收入超過 2000 萬美元的擴增附屬集團之成員；且
 - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs. 不經銷受限制基金之任何債權或證券給特定美國人士、具一個或多個實質美國持有人的「消極的非金融外國法人」，或未簽署協議的外國金融機構。

Check box 25b or 25c, whichever applies: 依適用條件勾選 25b 或 25c :

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I :

本人進一步保證，針對在 2011 年 12 月 31 日後銷售之「受限制的基金」的債權或股權利益，第一部份列示之法人：

- b** Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI. 已受通路協議約束，禁止一般性銷售債券或證券給美國法人及美國個人居民；且現受通路協議約束，禁止銷售債券或證券給任何特定美國人士、具一或多個實質美國持有人的「消極的非金融外國法人」，或未簽署協議的外國金融機構。
- c** Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in §1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs. 現受通路協議約束，禁止銷售債券或證券給特定美國人士、具一或多個實質美國持有人的「消極的非金融外國法人」，或未簽署協議的外國金融機構；且在上開限制列入通路協議前，該法人已依§1.1471-4(c)節既有帳戶的規定，對與該銷售相關的所有帳戶進行審查，並已贖回售予特定美國人士、具一或多個實質美國持有人的「消極的非金融外國法人」，或未簽署協議的外國金融機構的證券，或致使受限制基金將證券轉讓給「有簽署協議的外國金融機構」或為「在跨政府協議模式一下應申報之外國金融機構」的通路商。

**PART XII
第十二部份**

**Nonreporting IGA FFI
在跨政府協議下免申報的外國金融機構**

- 26 I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____. The applicable IGA is a Model 1 IGA or a Model 2 IGA ; and is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions) ; 符合美國及 _____ 跨政府協議條款中被視為免申報的金融機構條件。該跨政府協議為 模式一或 模式二 ; 且於跨政府協議或財政部規定下被視為 _____。
 - If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor whose GIIN is provided on line 9a (if any) _____ ; and your GIIN (if issued to you) _____ ; 如果你是受託人、受託信託之受託人或受贊助法人，應提供該受託人或已於第 9a 點提供全球中介機構識別號碼(如有)贊助法人之名稱 _____ ; 及你的全球中介機構識別號碼(如有發給) _____。

PART XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue
第十三部份 外國政府、美國屬地政府或發行貨幣的外國中央銀行

- 27 I certify that the entity identified in Part I is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)). 本人保證第一部份列示之法人為款項的受益人且未從事與保險公司、保管機構或存款機構相關之付款、帳戶或需遞交此文件義務的商業金融活動(排除在§1.1471-6(h)(2)的獲准項目)

PART XIV International Organization
第十四部份 國際組織

Check box 28a or 28b, whichever applies. 依適用條件勾選 28a 或 28b

- 28a I certify that the entity identified in Part I is an international organization described in section 7701(a)(18). 本人保證第一部份列示之法人為於7701(a)(18)節所述之國際組織
- b I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is comprised primarily of foreign governments ; 主要係由外國政府組成；
 - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government ; 被視為跨政府或超國家組織且受類似國際組織豁免權法的外國法律管轄或受到其總部與外國政府間協議之規範；
 - The benefit of the entity's income does not inure to any private person ; 法人的所得優惠不適用於任何私人人士
 - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)). 為款項的受益人且未從事與保險公司、保管機構或存款機構相關之付款、帳戶或需遞交此文件義務的商業金融活動(排除在§1.1471-6(h)(2)的獲准項目)

PART XV Exempt Retirement Plans
第十五部份 豁免的退休計畫

Check box 29a, b, c, d, e, or f, whichever applies. 依適用條件勾選 29a, b, c, d, e, 或 f.

- 29a I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits) ; 係成立於與美國簽訂租稅協定的國家 (稅務條約優惠取得請見第三部分)
 - Is operated principally to administer or provide pension or retirement benefits ; and 主要係為管理或提供退休金或退休利益而操作；且
 - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement. 該基金係以成立國(該國符合任何適用於該利益的限制)居民身分，對美國來源所衍生之收入享有租稅協定利益(或將有權享因該等收入所獲之利益)。
- b I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered; 組織目的係為提供退休、殘疾或死亡撫恤金(或任何以上組合)給受益人，該受益人依其提供之服務，為一或多位雇主之前雇員。
 - No single beneficiary has a right to more than 5% of the FFI's assets ; 無任一受益人擁有大於 5% 的外國金融機構資產；
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated ; and 受政府法制管轄且每年提供受益人的年度申報資料給該基金成立及營運國家相關的稅務機關；且
 - Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan ; 係因退休金計畫之身分，通常在成立國或營運國之法令下免繳投資所得稅；
 - Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A)); 提撥至該基金的款項中超過 50% 係來自贊助的雇主(不論其他在此部分描述的資產轉移計畫、在模式一或模式二跨政府協議所述的退休及養老帳戶、在模式一或模式二跨政府協議所述的其他退休基金，或於§1.1471-5(b)(2)(i)(A)所述之帳戶)；
 - Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA) ; or 不允許或不懲處在於退休、殘疾或死亡等特定事件發生前之分配或提領(排除§1.1471-5(b)(2)(i)(A)中的退休及養老帳戶過渡分配)到在模式一或模式二跨政府協議所述的退休及養老帳戶，或到其他於此部分或在模式一或模式二跨政府協議所述的退休基金；或
 - Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually. 雇員提撥給基金的金額限制依雇員收入而定；或每年以 50,000 美元為上限
- c I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered ; 組織目的係為提供退休、殘疾或死亡撫恤金(或任何以上組合)給受益人，該受益人依其提供之服務，為一或多位雇主之前雇員。
 - Has fewer than 50 participants ; 參加者少於 50 人；
 - Is sponsored by one or more employers each of which is not an investment entity or passive NFFE ; 受一位或以上雇主贊助，且該雇主非「投資法人」或「消極的非金融外國法人」；
 - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively; 雇員及雇主提撥至基金的金額(不論其他在此部分描述的資產轉移計畫、在模式一或模式二跨政府協議所述的退休及養老帳戶、在模式一或模式二跨政府協議所述的其他退休基金或於§1.1471-5(b)(2)(i)(A)所述之帳戶)額度分別皆因雇員的收入及薪酬影響而有不同限制。
 - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20 percent of the fund's assets ; and 非為該基金成立及營運國之居民的參加者不得擁有該基金大於 20% 的資產；且
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

受政府法制管轄且每年提供受益人的年度申報資料給該基金成立及營運國家相關的稅務機關。

- d I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
本人保證第一部份列示之法人係為一養老金計畫而成立且該計畫滿足 401(a)節(除該計畫須由美國成立或組織的信託投資)的要求。
- e I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
本人保證第一部份列示之法人僅為替此部分或模式一或模式二跨政府協議所述之一或多個退休基金賺取收入而建立，或為§1.1471-5(b)(2)(i)(A)所述之帳戶，或為模式一或模式二跨政府協議下所述之退休及養老帳戶。
- f I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees) ; or
為外國政府、國際組織、中央發行銀行或美國屬地政府(各自定義於§1.1471-6 節)或由在模式一或模式二跨政府協議下所述之免稅扣繳的受益人贊助，以提供退休、殘疾或死亡撫恤金給受益人或參加者，該參加者為贊助者(或被雇員指定的人)的現任或前任雇員；或
 - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.
為外國政府、國際組織、中央發行銀行或美國屬地政府(各自定義於§1.1471-6 節)或由在模式一或模式二跨政府協議下所述之免稅扣繳的受益人贊助，以提供退休、殘疾或死亡撫恤金給受益人或參加者，該參加者非為贊助者(或被雇員指定的人)的現任或前任雇員，但因提供贊助者私人服務而列入考慮。

PART XVI 第十六部份

Entity Wholly Owned by Exempt Beneficial Owners 由免稅扣繳之最終受益人完全持有之法人

- 30 I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is an FFI solely because it is an investment entity ; 因其為投資法人而成為外國金融機構；
 - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in §1.1471-6 or in an applicable Model 1 or Model 2 IGA ;
在投資法人中所有股本權益直接擁有者皆為符合§1.1471-6 節或模式一或模式二跨政府協議中所述之免稅扣繳的最終受益人；
 - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in § 1.1471-6 or an applicable Model 1 or Model 2 IGA. 在投資法人中所有債務權益直接擁有者為存款機構(對於貸款方)或符合§1.1471-6 節或模式一或模式二跨政府協議中所述之免稅扣繳的最終受益人。
 - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity ; and 已提供所有權人申報聲明書，內容包含名稱、地址、稅籍編號(若有)、第四章狀態及一份所有具債務權益而構成金融帳戶者或具直接股本權益者需提供給扣繳義務人的文件類型之敘述。
 - Has provided documentation establishing that every owner of the entity is an entity described in § 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.
已提供文件，該文件係可證明該法人每一持有人(不論是否為最終受益人)皆為§1.1471-6(b), (c), (d), (e), 及/或(f)節所述之法人。

PART XVII 第十七部份

Territory Financial Institution 美國屬地金融機構

- 31 I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States ; 本人保證第一部份列示之法人係根據美國屬地法令成立的金融機構(投資機構除外)

PART XVIII 第十八部份

Excepted Nonfinancial Group Entity 免稅扣繳的非金融集團法人

- 32 I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in §1.1471-5(e)(5)(i)(C) through (E) ;
係一控股公司、財務中心或控制金融公司且實質上全部法人活動皆為於§1.1471-5(e)(5)(i)(C 至(E)節所述功能；
 - Is a member of a nonfinancial group described in §1.1471-5(e)(5)(i)(B) ; 係一符合§1.1471-5(e)(5)(i)(B)節所述之非金融集團的成員
 - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group) ; and
非為存款或保管機構(除了為該法人的關係企業成員)；且
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. 非作為投資基金之用，如私募股權基金、創投投資基金、融資收購基金或任何其他以收購或融資為投資策略，並隨後以投資為目的持有該公司利益以做為資本資產之投資工具。

PART XIX 第十九部份

Excepted Nonfinancial Start-Up Company 免稅扣繳的非金融新創公司

- 33 I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment) ;
成立於(或，於新成立的事業，董事會提案核准該新事業之日期) _____ (成立日期起算至付款日，不超過 24 個月)；
 - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE ;
尚未經營業務或無經營歷史或投資資本於資產並意圖經營非屬「金融機構」或「消極的非外國金融機構」之新事業。
 - Is investing capital into assets with the intent to operate a business other than that of a financial institution ; and
現正投資資本於資產並意圖經營金融機構以外的業務；且
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. 未以投資基金(例如私募股權基金、創投基金、融資收購基金、或任何其他以收購或融資為目的並隨後以投資為目的持有該公司利益以做為資本資產之投資工具)方式運作(或延續)。

PART XX 第二十部份

Excepted Nonfinancial Entity in Liquidation or Bankruptcy 免稅扣繳的清算中或破產的非金融法人

- 34 I certify that the entity identified in Part I: 本人保證第一部份列示之法人：
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____ ;
於 _____ 申請清算計畫、重整計畫，或破產
 - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE ;
過去五年未從事金融機構業務或為一「消極的非金融外國法人」
 - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity ; and 正進行清算、重整或破產，且欲繼續或重啟非金融法人業務；且
 - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in

- I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons), or 本人進一步保證第一部份列示之法人無實質美國持有人(或是無控制權人為美國人士), 或
- I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX. 本人進一步保證第一部份列示之法人, 已於第二十九部份提供該非金融外國法人的每一實質美國持有人(或美國控制權人)的名稱、地址以及稅籍編號。

PART XXVII **Excepted Inter-Affiliate FFI**
第二十七部份 **免受扣繳的關係企業間的外國金融機構**

- 41 I certify that the entity identified in Part I: 本人保證第一部份列示之法人:
- Is a member of an expanded affiliated group; 為擴增附屬企業集團中之成員
 - Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group); 未維護金融帳戶(除替擴增附屬企業集團中的成員所維護的帳戶)
 - Does not make withholdable payments to any person other than to members of its expanded affiliated group that are not limited FFIs or limited branches; 未支付可扣繳的款項給任何除了該擴增附屬企業集團中的成員之人(該擴增附屬企業集團為非受限制的外國金融機構或受限制的分支的);
 - Does not hold an account (other than a depository account in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; and 未持有具有或收到來自扣繳義務人(除其擴增附屬企業集團中的成員)任何款項的帳戶(除了在該法人運作及支付費用的國家內的存款帳戶); 且
 - Has not agreed to report under §1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group. 未同意在§1.1471-4(d)(2)(ii)(C)下申報或為第四章的用途而代表任何金融機構(包含其擴增附屬企業集團中的成員)執行扣繳義務人義務。

PART XXVIII **Sponsored Direct Reporting NFFE (see instructions for when this is permitted)**
第二十八部份 **受贊助的直接申報的非金融外國法人(何時允許請參閱說明)**

- 42 Name of sponsoring entity: _____ 贊助法人的名稱: _____
- 43 I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified in line 42. 本人保證第一部份列示之法人為一受於第 42 項辨識出的法人贊助的直接申報的非外國金融機構。

PART XXIX **Substantial U.S. Owners of Passive NFFE**
第二十九部份 **消極的非金融外國法人之實質美國持有人**

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see instructions for definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use the Part for reporting its controlling U.S. persons under an applicable.

依第二十六部分之要求, 提供每一消極非金融外國法人之美國實質持有人的名稱, 地址, 及稅籍編號。請參閱美國實質持有人定義說明。如提供表格給在跨政府協議模式一或模式二下申報的外國金融機構, 非金融外國法人也應按適用規定, 將須申報之具控制權美國人士填列於此部份。

| Name 名稱 | Address 地址 | TIN 稅籍編號 |
|---------|------------|----------|
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PART XXX **Certification 聲明**
第三十部份

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 在知悉偽證罪之懲罰下, 本人聲明: 本人已盡力檢視本表格之資訊, 並相信上開資訊係真實、正確且完整。本人進一步依偽證懲罰聲明:
- The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W, 在第 1 點所識別的法人為此表格提及之所有收入的最終受益人, 使用本表格證明其在第四章的身份或為因第 6050W 節目的而提交此表格的零售商;
 - The entity identified on line 1 of this form is not a U.S. person, 本表第 1 點所列之法人並非美國稅務居民;
 - The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and 本表涉及之收入 (a) 未與美國境內交易或業務行為實際連結; (b)有實際連結但在租稅協定下免稅; 或(c)係屬與合夥關係實際連結之收入中合夥人的持份; 且
 - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions. 在經紀交易或以物易物狀況中, 最終受益人為本表說明中所定義之免受扣繳的外國人士。

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

此外, 本人授權將此表格提供給對本表第 1 點所列之最終受益人為本人之收入, 或為可控制、接收或保管此收入的扣繳義務人, 或可發放或支付本表第 1 點所列之最終受益人為本人之收入的扣繳義務人。

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect. 倘本表格之任何聲明已不正確, 本人同意將於 30 天內提交一新表格。

Sign Here **在此簽署**

Signature of individual authorized to sign for beneficial owner 最終受益人授權之個人之簽名

Print Name 正楷大寫姓名

Date (MM-DD-YYYY) 日期 (月-日-年)

請負責人/被授權人員親簽於此。

請用中文正楷書寫負責人/被授權人員全名。

- I certify that I have the capacity to sign for the entity identified on line 1 of this form. 本人保證本人具有為本表第 1 點辨識之法人簽署本表之資格。

請勾選此方框

FACSIMILE AND ELECTRONICALLY TRANSMITTED INSTRUCTION INDEMNITY

傳真及電子傳送交易指示彌償書

To: Mega International Commercial Bank Co., Ltd., Hong Kong Branch (the "Bank") which expression shall include its successors and assigns)

致：兆豐國際商業銀行股份有限公司香港分行（(下稱「貴行」），此詞語包括貴行的繼承人及承受人）

1. I/We, the account holder(s), hereby request the Bank to accept and act upon (but the Bank is not obliged) any instruction and/or request transmitted through facsimile and/or attached in an email to the attention to the Bank and/or other electronic means of instruction of which the Bank may consider acceptable and appropriate given by me/us in relation to all accounts, services and transactions save for those otherwise agreed between the Bank and me/us in writing (hereinafter collectively called the "Facsimile/Electronically Transmitted Instructions").
本人(等)，帳戶持有人，謹此要求貴行接受並執行（但貴行非必要）本人(等)發出的關於所有帳戶、服務及交易（貴行與本人(等)另有書面協議的帳戶、服務及交易除外）的任何傳真指示及/或要求，及合關於本人(等)所有帳戶、服務及交易（貴行與本人(等)另有書面協議的帳戶、服務及交易除外）的任何指示及/或要求之電郵及/或銀行接受並認為可行之其他電子方式（以下統稱「傳真/電子傳送交易指示」）。
2. In consideration of the Bank agreeing from time to time and at any time to consider to accept the Facsimile/ Electronically Transmitted Instructions in the Bank's absolute discretion, I/we hereby warrant to and undertake with the Bank as follows: -
鑑於貴行按絕對酌情權不時及於任何時間同意考慮接受傳真/電子傳送交易指示，本人(等)謹此向貴行保證及承諾如下：
 - (i) Any Facsimile/ Electronically Transmitted Instructions should be transmitted to you with my/our signature(s) and / or stamp(s) which are in conformity with the specimen(s) filed with the bank.
任何傳真/電子傳送交易指示均須載有本人(等)有效之簽字及/或蓋章，而簽字及/或蓋章必須與貴行留存印鑑樣式相符。
 - (ii) I/We shall bear all risks arising from any of the Facsimile/ Electronically Transmitted Instructions received by the Bank and the Bank shall have no liability or responsibility whatsoever provided that the Bank follows or acts upon the Facsimile/Electronically Transmitted Instructions in good faith;
本人(等)將會承擔因貴行所收取的任何傳真/電子傳送交易指示而產生的一切風險，而貴行毋須承擔任何義務或責任，惟貴行必須本著誠信作業；
 - (iii) The Bank shall be under no duty to inquire into the authenticity of any of the Facsimile/ Electronically Transmitted Instructions or the identity or authority of the person transmitting or purporting to transmit any of the Facsimile/ Electronically Transmitted Instructions if the Bank accepts the Facsimile/ Electronically Transmitted Instructions. Without prejudice to Clause 3(viii) herein, the Bank shall be entitled to treat the Facsimile/ Electronically Transmitted Instructions as duly authorized and conclusively binding on me/us irrespective of whether or not the Facsimile/ Electronically Transmitted Instructions are actually transmitted with my/our authority and knowledge; and
若貴行接受傳真/電子傳送交易指示，貴行無責任查證任何傳真/電子傳送交易指示的真確性，或任何傳送或聲稱傳送傳真/電子傳送交易指示的人的身分或授權的真確性。於不影響本彌償書第 3(viii) 條條文的前提下，無論傳真/電子傳送交易指示的發出是否為本人(等)授權或為本人(等)所知悉，貴行均可視傳真/電子傳送交易指示已有適當的授權及對本人(等)具有終局性的約束力；及
 - (iv) I/We will fully indemnify the Bank and its officers, employees, agents and correspondents against all claims, demands, actions, proceedings, damages, losses, costs and expenses incurred arising out of anything done or omitted to be done pursuant to any Facsimile/ Electronically Transmitted Instructions given.
本人(等)將對貴行及貴行的高級職員、僱員、代理人及代理銀行就其因依據所發出的任何傳真/電子傳送交易指示的作為或不作為所引起的一切索償、付款要求、訴訟、法律程序、損害、損失、費用及支出作出充分彌償。
3. I/We hereby agree and accept that: -
本人(等)謹此同意及接受：-
 - (i) All instructions given by way of facsimiles shall be transmitted to the facsimile number (852) 2525-9014 or such other facsimile number as the Bank may from time to time designate and all instructions given by means of e-mail shall be transmitted to the email account hk220@megaicbc.com or such other email account or alternative electronic method as the Bank may from time to time designate. Otherwise, the respective Facsimile/ Electronically Transmitted Instructions shall be deemed not to have been transmitted and given to the Bank;
所有通過傳真發出的指示均須傳送到傳真號碼 (852) 2525-9014 或由貴行不時指定的傳真號碼，而所有通過電郵發出的指示均須傳電至電郵信箱，電郵地址如下：
hk220@megaicbc.com 或由貴行不時指定的電郵信箱或其他電子方式，否則傳真/電子傳送交易指示將被視作未有傳送到及給予貴行；
 - (ii) The Bank shall not be deemed to have received the Facsimile/Electronically Transmitted Instructions unless and until the same have actually reached and been received by the Bank and with a receipt acknowledgement from the Bank's appointed staff in such manner(s) as the Bank shall at its absolute discretion consider fit. Otherwise, the respective Facsimile/Electronically Transmitted Instructions shall be deemed not to have been transmitted and given to the Bank;
除非及直至傳真/電子傳送交易指示實際地傳送到貴行及貴行實際地收到傳真/電子傳送交易指示，且所有傳真/電子傳送交易指示均須獲貴行委任的職員以貴行絕對酌情認為合適的方式確認收訖，否則，傳真/電子傳送交易指示不會被視為有效地傳送到貴行；
 - (iii) The Bank shall not be responsible for any matters beyond its control, including, but not limited to, any error, failure or breakdown in any equipment or interface with or interception of any transmission;
貴行毋須為貴行控制範圍以外的任何事宜負責，包括但不限於任何設備或轉換介面或傳輸被攔截等所產生的錯誤、失效與故障；
 - (iv) The Bank reserves its right to act upon the Facsimile/ Electronically Transmitted Instructions in accordance with applicable banking practice on the next business day immediately following the date of receipt of the Facsimile/ Electronically Transmitted Instructions in the event that they are transmitted to the Bank beyond the normal office hours as specified by the Bank in its absolute discretion.
貴行保留將於由貴行酌情決定的正常營業時間後始傳送到貴行的傳真/電子傳送交易指示根據適用的銀行實務慣例於下一個營業日始行處理；
 - (v) The Bank will only act on the Facsimile/Electronically Transmitted Instructions insofar as they are in the Bank's opinion practicable and reasonable to do so and in accordance with applicable banking practices and procedures. Where it is necessary, I/we shall forthwith provide the Bank with such further relevant information. In addition, the Bank may at any time in its absolute discretion, require confirmation or verification of any or all of the Facsimile/Electronically Transmitted Instructions from me/us. I/We understand that the Bank reserves the exclusive rights on not processing the Facsimile/Electronically Transmitted Instructions until such further relevant information or confirmation is provided in due course; 倘若傳真/電子傳送交易指示切實可行及合理，貴行方需依據適用的銀行實務慣例及程序予以執行。如有需要，本人(等)將即時提供進一步相關資料予貴行。此外，貴行可隨時有權酌情決定要求確認任何或所有傳真/電子傳送交易指示。本人(等)明白貴行在適時收到進一步相關資料或確認前將保留不處理傳真/電子傳送交易指示之絕對權利；
 - (vi) Any of the Facsimile/Electronically Transmitted Instructions, once given, may not be rescinded or withdrawn without the consent of the Bank. All such instructions so given and acted on by the Bank in good faith shall be conclusively binding on me/us whether or not the Facsimile/Electronically Transmitted Instructions are given by me/us or by any person purporting to be me/us;
任何傳真/電子傳送交易指示，一經發出，如未得貴行同意，均不得撤銷或撤回。所發出的一切指示經貴行本著誠信原則執行後均對本人(等)具終局性約束力，不論傳真/電子傳送交易指示是否由本人(等)或聲稱由本人(等)所發出；
 - (vii) The Bank accepts no responsibility for any error, mistake, action or inaction out of the Facsimile/ Electronically Transmitted Instructions being equivocal, illegible or otherwise provided that the Bank has exercised due skill and diligence in acting upon the Facsimile/ Electronically Transmitted Instructions;
倘若貴行以適當的技巧及盡責地執行傳真/電子傳送交易指示，則貴行毋須為因傳真/電子傳送交易指示的含糊、模糊或其他原因而產生的錯誤、錯失，作為或不作為承擔任何責任；
 - (viii) Save for those expressly provided by the Bank in writing, the original hard copy of the Facsimile/Electronically Transmitted Instructions are not required be subsequently delivered to the Bank by me/us forthwith. The Bank will act on the Facsimile/Electronically Transmitted Instructions upon receipt thereof. Subject to the foregoing provisions, a hard copy of such instructions is not required to send to the Bank by post, personal delivery or otherwise, and the Bank shall have right to treat the Facsimile/Electronically Transmitted Instructions as the final and conclusive instructions and/or directions in respect of the relevant services and/or transactions. For avoidance of duplicated instruction executed by the Bank, I/we have the obligation to ensure proper indication(s) identifying the processed transaction(s) (transmission date of facsimile/email inclusive) should be unequivocally annotated on the hard copy of the instruction in case a hard copy is required to be delivered to the Bank. The Bank shall not be liable for any direct or indirect consequences in relation to the absence of such annotation, including but not limited to duplicated payment or transfer of asset and any fault, loss or damage suffered or sustained by me/us derived from the duplicated payment or transfer of asset therein. In the event of any inconsistency between any of the Facsimile/Electronically Transmitted Instructions so received and acted on by the Bank shall prevail;
除貴行另有書面規定外，本人(等)毋須將傳真/電子傳送交易指示的正本遞予貴行。貴行將於收到傳真/電子傳送交易指示後予以執行，受限於上述條文，該等指示的正本其後毋須再以郵遞、專人送遞或其他方式送達至貴行，且貴行有權視傳真/電子傳送交易指示為有關服務及/或交易的最終及具終局性的指示及/或指令。為免貴行重複處理相關指示，如本人(等)被要求將正本送達貴行，本人(等)有責任確保相關指示的正本已有合適的標記(包括傳真/電郵發送日期)註明已處理交易，貴行並不對任何因正本欠缺該附註而引致的一切直接或間接後果而承擔任何責任，包括但不限於貴行按傳真指示作出雙重付款或資產調撥及其他申請人因雙重付款或資產調撥而承受或蒙受的任何失責、損失或損害。倘若由貴行收妥並執行的傳真/電子傳送交易指示與其正本之間有任何差異，則以貴行收妥並執行的傳真/電子傳送交易指示為準；
 - (ix) Digital format of all instructions given by e-mail or alternative electronic method should be non-modifiable and prone to read and access by the Bank (including but without limitation image file and unalterable PDF files). The Bank shall, in its absolute discretion, be entitled to determine the types of digital format acceptable to the Bank at any time and from time to time. The Bank also reserves the right at any time, at its absolute discretion, to refuse to carry out any of the Facsimile/ Electronically Transmitted Instructions given by me/us without prior notice thereof, without giving any reason therefor and without being responsible for any loss or damages suffered by me/us arising out of any such cases;

1. 如為個人戶，請親簽；
2. 如為OBU公司，請加SIGNING BAR+負責人親簽；
3. 如為DBU公司，請蓋大小章+負責人親簽

所有通過電郵或其他電子傳送方式發出的指示必須為不可修改且能方便貴行讀取及處理之格式(包括但不限於圖像及不可修改之 PDF 檔)，貴行可不定時對貴行接受的電子格式之種類及定義擁有終局性解釋權。貴行保留可隨時有權酌情決定拒絕執行不合規格之傳真/電子傳送交易指示而毋須預先通知本人(等)及給予任何理由的權利，貴行亦毋須為本人(等)因上述各項而蒙受的任何損失或損害承擔任何責任；

(x) The Bank shall reserve the right at its absolute discretion not to open or process, without prior notice thereof giving any reason therefor and without being responsible for any loss or damage suffered by me/us arising out of any such cases, my/our instruction transmitted by e-mail or by alternative electronic method containing computer virus, eavesdropping program, malicious program, Trojan horse program and/or contents that are suspected to adversely affect the Bank's operations. I/We understand that I/we shall be held liable to any loss or damage suffered by the Bank arising out of the Bank opening or processing my/our instruction transmitted by e-mail or by alternative electronic method with virus or malicious program; and

貴行有絕對權利不開或處理本人(等)含有電腦病毒、竊聽程式、惡意程式、木馬程式及/或懷疑對貴行運作有負面影響之電郵或其他電子傳送交易指示而毋須預先通知本人(等)及給予任何理由，貴行亦毋須為本人(等)因前述因而拒絕處理交易所蒙受的任何損失或損害承擔任何責任。本人(等)明白，貴行倘因開啟或處理本人(等)通過電郵或其他電子傳送方式發出而含有病毒或惡意程式之指示而引致貴行任何損失及/或損害，本人(等)須承擔相關責任；及

(xi) Without prejudice to the generality of the foregoing provisions, the Bank reserves the right at any time, at its absolute discretion, to refuse to carry out any of the Facsimile/Electronically Transmitted Instructions given by me/us without prior notice thereof, without giving any reason therefor and without being responsible for any loss or damage suffered by me/us arising out of any such cases. The Bank may at its sole discretion, cancel or otherwise determine the disposal of the Facsimile/Electronically Transmitted Instructions as it sees fit.

於不損害上述條文一般性的前提下，貴行保留可隨時有權酌情決定拒絕執行任何傳真/電子傳送交易指示而毋須預先通知本人(等)及給予任何理由的權利，貴行亦毋須為本人(等)因上述各項而蒙受的任何損失或損害承擔任何責任。倘若貴行認為合適，貴行可獨自酌情決定取消傳真/電子傳送交易指示或決定其處理方法。

4. Notwithstanding the foregoing provisions, the Bank may (but not obliged to) confirm the Facsimile/Electronically Transmitted Instructions with any one of the authorized person(s) listed in the Account Opening Form/Mandate or the contact person(s) whose particulars are set out in Clause 12 hereof (as the case may be) prior to carrying out the Facsimile/Electronically Transmitted Instructions in such manner(s) as the Bank shall at its absolute discretion consider fit. The contact person(s) is/are only authorized to confirm with the Bank the Facsimile/Electronically Transmitted Instructions but not further or otherwise. If the Bank is unable to confirm the Facsimile/Electronically Transmitted Instructions with the authorized person(s) or the contact person(s) for whatsoever reason, it is entitled to refuse to carry out the Facsimile/Electronically Transmitted Instructions or take or not take such action(s) as the Bank shall in its absolute discretion consider fit. In any event, the Bank shall not be held liable to any loss or damages suffered or sustained by me/us in connection with its refusal, action or inaction as aforesaid.

儘管存在上述條文，貴行可(但非必要)於執行傳真/電子傳送交易指示前向表列於開戶申請書/帳戶指令的任何一位授權人員或其詳細資料載列於本彌償書第 12 條條款之任何一位聯絡人(視屬何情況而定)確認。聯絡人僅被授權與貴行確認傳真/電子傳送交易指示而不涉及其他方面。倘若貴行由於任何原因未能授權人員或聯絡人確認傳真/電子傳送交易指示，貴行可以拒絕執行傳真/電子傳送交易指示或作出貴行按絕對酌情應為合適的作為或不作為。無論如何，貴行毋須為本人(等)因上述的拒絕、作為或不作為而蒙受的損失或損害承擔任何責任。

5. The Bank is authorized to debit any of my/our account(s) with the Bank in discharge of my/our liability to the Bank hereunder.

本人(等)授權貴行借記任何本人(等)於貴行的帳戶，以解除本人(等)於本彌償書項下對貴行的責任。

6. Where the account holder consists of or the service's user is more than one person, the warranty, undertaking and indemnity given herein shall be deemed to be given by all the holders of the account or the users of the service jointly and severally.

當帳戶的持有人或服務使用者多於一個人時，本彌償書的保證、承諾及彌償均被視作由所有帳戶持有人或服務使用者共同及分別地作出。

7. The Bank may revise this Indemnity and/or introduce additional terms and conditions from time to time. Any revision and/or addition to this Indemnity shall become effective subject to the Bank giving a notice to me/us by post, advertisements, public announcement or any other means as the Bank sees fit.

貴行可隨時修訂本彌償書及/或引入增訂條款及細則。本彌償書的任何修訂及/或增訂均視為具約束力文件，惟貴行須以郵遞、刊登廣告、公告或其他貴行認為合適的方式向本人(等)發出合理通知。

8. This Indemnity shall remain in full force and effect until the Bank receives and has a reasonable time to act on, a notice of termination in writing duly signed provided that such termination shall not release me/us from any liability under the terms of this Indemnity in respect of any act performed by the Bank pursuant to any prior instruction given.

在貴行收到妥為簽署的書面終止通知，並獲得合理時間依據該通知作業之前，本彌償書依然具有全部效力及作用。但是，終止本彌償書並不會解除本人(等)對貴行依據終止前發出的指示行事項承擔的責任。

9. No failure or delay by the Bank in exercising any right, power or remedy shall be a waiver thereof. If any term or condition herein becomes illegal, invalid or unenforceable, then the remaining terms and conditions shall not be prejudiced thereby.

倘貴行未有或延遲行使本彌償書所載的任何權利、權力或補償，並不當作放棄有關權利、權力或補償。若本彌償書所載的任何條款或細則構成違法、失效或不可執行，則其他條款及細則不會因而受到損害。

10. In the event of any inconsistency between the Chinese and English versions of this Indemnity, the English version shall prevail.

倘若本彌償書的中英兩種語言版本之間存在差異，以英文版本為準。

11. This Indemnity shall be governed by and construed in all respects in accordance with Hong Kong law. I/We irrevocably submit to the non-exclusive jurisdiction of the Hong Kong Courts but the Bank shall be entitled to enforce this Indemnity in courts of other competent jurisdiction as the Bank may select.

本彌償書在各方面均受香港法律管轄並依據香港法律解釋。本人(等)不可撤銷地接受香港法院的非專屬司法管轄權管轄，但貴行可在貴行選擇的其他有司法管轄權的法院強制執行本彌償書。

12. The particulars of the contact person(s) authorized to confirm the Facsimile/Electronically Transmitted Instructions with the Bank is/are as follows:

獲授權與貴行確認傳真/電子傳送交易指示的聯絡人之詳細資料如下：

| Contact Person(s) 聯絡人(請依號次填列優先聯絡名單) | |
|-------------------------------------|--|
| 第 1 聯絡人 | Name in Full 全名: _____ ID/Passport No. 身分證/護照號碼: _____ Title 職稱: _____ Contact Number 聯絡電話: (1) _____ (2) _____ |
| 第 2 聯絡人 | Name in Full 全名: _____ ID/Passport No. 身分證/護照號碼: _____ Title 職稱: _____ Contact Number 聯絡電話: (1) _____ (2) _____ |
| 第 3 聯絡人 | Name in Full 全名: _____ ID/Passport No. 身分證/護照號碼: _____ Title 職稱: _____ Contact Number 聯絡電話: (1) _____ (2) _____ |

請依希望照會的順序，依序填列聯絡人(此為僅能照會或查詢帳戶明細之人員)之姓名、證件號碼、職稱、電話、分機號碼...等資訊；另須提供聯絡人之身分證正反面影本或護照影本，供未來照會時之身分核實

Remarks: For the avoidance of doubt, the contact person(s) is/are only authorized to confirm with the Bank the Facsimile/Electronically Transmitted Instructions with no authority to amend account information, transaction particular and/or amount, to cancel transaction, etc.)
註：為免生疑問，聯絡人僅被授權與貴行確認傳真/電子傳送交易指示而不涉及其他方面(即：不具帳戶資料修改、交易內容及/或金額修改、交易取消的權限)。

Date 日期: _____ / _____ / _____
(DD/日) (MM/月) (YYYY/年)

Client's Signature(s)(applicable to Personal Account)/
Signatures of all Joint Account Holders (applicable to Joint Account)/
Signature(s) of Authorized Person(s) (applicable to limited company) /
Signatures of all Partners (applicable to partnership) / Signature of Sole Proprietor (applicable to sole proprietorship) and company chop (if any)
客戶簽署(個人帳戶適用)/所有聯名戶持有人簽署(聯名帳戶適用)/
被授權人員簽署(有限公司適用)/所有合夥人簽署(合夥企業適用)/
獨資經營者簽署(獨資企業適用)及公司章(如有)

S.V

| For Bank Use Only 僅供銀行內部使用 | | | |
|----------------------------|------------|-------------------|------------|
| Supervisor 主管 | Checker 覆核 | Handling Clerk 經辦 | Remarks 備註 |
| | | | |

1. 如為個人戶，請親簽；
2. 如為OBU公司，請加SIGNING BAR+負責人親簽；
3. 如為DBU公司，請蓋大小章+負責人親簽

客戶資料修改表格 Customer Information Amendment Form

請在適當方格內填上 Please mark as appropriate:

本人/吾等同意本次資料修改，適用於存款及理財帳號。

如貴戶有需要修改通訊資料，請填此份修改表格。

I / We agree that the amendment of the following information is applied to both of the Deposit and Securities Account.

| | | | |
|-------------------------|------------|----------------------------|-----|
| 存款帳號 Deposit Account | 965-XX- | 理財帳號 Securities Account | HKS |
| 客戶姓名 Customer's name | 中文 Chinese | 英文 English | |

| | | |
|--|--|--|
| 通訊資料有否更改 Change of contact details | <input type="checkbox"/> 有，更改如下 YES， Please state the amended contact details in the below box (原有之資料將被取消及取代 Original information will be cancelled and superseded) | <input type="checkbox"/> 否 No |
| 住宅電話 Residential phone no.: | 公司電話 Office phone no.: | |
| 流動電話 Mobile phone no.: | 其他電話 Other phone no.: | |
| 傳真電話 Fax no.: | 電郵地址 E-mail address: | |
| 銀行對帳單請寄 Bank statement please send (二選一 Any one of two) | <input type="checkbox"/> 電子郵箱 By Email <input type="checkbox"/> 傳真 By Fax | <input type="checkbox"/> 同意 Agree <input type="checkbox"/> 不同意 Disagree 原郵箱之對帳單一併移轉至新郵箱 (惟僅限兩年內)。 Previous bank statements are transferred to new Email. (Only applicable for the data within the past two years) |
| 通訊地址 Mailing address | | |
| 主要營業/居住地址 Main business / residential address | 如主要營業/居住地址與通訊地址不同，請註明如下。(除非另有註明，帳戶結單及其他通知將會寄至通訊地址。) If main business/residential address differs from mailing address, please state the main business/residential address as below (Unless otherwise specified, bank statement and other notice(s) will be sent to mailing address.) | |

| | | |
|---|---|----------------------------------|
| 傳真及電子傳送交易指示彌償書第12條之聯絡人有否更改 Change of contact person for facsimile and electronically transmitted instruction indemnity | <input type="checkbox"/> 有，更改如下 (本項更改不適用理財帳號) YES, amend as below. (This item is not applied for Securities Account) | <input type="checkbox"/> 否 No |
| <input type="checkbox"/> 增加 Add / <input type="checkbox"/> 刪除 Delete | 聯絡人 Contact Person Name: _____ 職稱 Title: _____ | |
| <input type="checkbox"/> 增加 Add / <input type="checkbox"/> 刪除 Delete | 聯絡電話 Contact Number: (1) _____ (2) _____ (3) _____ | |
| <input type="checkbox"/> 增加 Add / <input type="checkbox"/> 刪除 Delete | 聯絡人 Contact Person Name: _____ 職稱 Title: _____ | |
| <input type="checkbox"/> 增加 Add / <input type="checkbox"/> 刪除 Delete | 聯絡電話 Contact Number: (1) _____ (2) _____ (3) _____ | |

本人/吾等確定所提供之資料在各方面均屬正確及完整無誤，並授權銀行處理本人/吾等上述指示。I/We confirm that the information provided by me/us is true, correct and complete in all aspects and I/We hereby authorize the Bank to process my/our above instruction.

此致 Yours truly,

日期 Date: _____

請簽蓋原留印鑑。

S.V.

客戶簽署 Signed by customer
(必須與原留印鑑相符 Please use signature(s) originally filed with the bank)

通知 Note:

- 本行保留不接受申請的權利並毋須提供任何理由。The Bank reserves the right to decline any request without providing any reason.
- 如有任何爭議，本行將保留最終決定權。In case of any dispute, the Bank reserves the right to make the final decision.

僅供銀行內部使用 For Bank Use Only

| | | | |
|---------------|----------------|------------|------------|
| RECEIVED DATE | EFFECTIVE DATE | HANDLED BY | CHECKED BY |
|---------------|----------------|------------|------------|