



帳戶持續審查資料表(個人/聯名帳戶)
ACCOUNT ONGOING REVIEW FORM
(Individual/Joint 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.

戶口類型 Account Type	
<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 Joint Account

客戶名稱 Customer Name	
英文名稱 Name in English	
請填 貴戶護照上之英文姓名	
中文名稱 Name in Chinese	
請填 貴戶之中文姓名	

客戶資料 Customer Information

男 Male 先生 Mr. 小姐 Miss 女士 Ms. 太太 Mrs.
 女 Female

中文姓名 Name in Chinese 英文姓名 Name in English
請填 貴戶之基本資料。

身份證明文件 Identification Document

國籍 Nationality TAIWAN	身份證明文件類型 ID Document Type <input type="checkbox"/> 香港身份證 HKID <input checked="" type="checkbox"/> 護照 Passport (簽發國家 Issuing Country: TAIWAN) <input checked="" type="checkbox"/> 其他, 請註明 Others, please specify TW ID: 請填台灣身份證號碼	身份證明文件號碼 ID Document No. 請填台灣身分證字號 OR 護照號碼	出生日期 Date of Birth DD MM YYYY 日 Day 月 Month 年 Year
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居住國家 Residence of Country 請填目前居住國家	住宅地址/永久地址 Residential Address/Permanent Address 請填身份證背面之永久(戶籍)地址。 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)
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住宅電話號碼 Home Telephone No. 請填住宅電話號碼	流動電話號碼 Mobile Phone No. 請填手機號碼	傳真號碼 Fax No. 請填傳真號碼(如有)
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電郵地址 Email Address
請填目前對帳單收件之電郵信箱。如需要變更電郵地址, 請填寫P.21客戶資料修改表格。

職業 Occupation

自僱 Self-employed 商號東主 Merchant 全職受僱 Full-time job 兼職受僱/臨時性質/合約僱員工 Part-time/Temporary/Contract worker
 學生 Student 家庭主婦 Housewife 退休 Retired 其他, 請註明 Others, please specify
請就 貴戶目前職業別勾選。

僱主名稱 Name of Employer
請填寫 貴戶任職公司之全名。

業務性質/行業類別 Nature of Business/ Type of Industry/ 請填任職公司之主要業務行業別。例: 鞋材製造。	職位 Job Title 請填寫擔任職位名稱, 如: 經理。	任職年期 Years of Service YY 年 Years MM 月 Months
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辦事處地址 Office Address
 香港 Hong Kong 中國大陸 Mainland China 台灣 Taiwan 其他, 請註明 Others, please specify
 地址 Office Address
請勾選及填寫 貴戶任職公司之國家/地址。
請勾選 貴戶年收入之約略區間。

每年個人收入 Annual Personal Income
 ≤ HK\$250,000 HK\$250,001 – HK\$500,000 HK\$500,001 – HK\$1,000,000 > HK\$1,000,001

收取帳戶結單方式 Means of Collecting Account Statement

請將帳戶月結單傳遞至帳戶持有人之電子郵件信箱地址
 Statement to be transmitted to Email Address of the Account Holder
 請將帳戶結單傳真至帳戶持有人之傳真號碼
 Statement to be faxed to Fax Number of the Account Holder

請勾選目前月結單收取方式。

以下每一欄位皆請勾選，勿留空。
如有欄位不適用於貴戶者，
請填N/A。

個人背景 Personal Background 開戶目的 Account Purpose 勿留空。	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 交易 For Transaction <input type="checkbox"/> 支薪 Payroll <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 _____	
於貴行開立的本人有關連者之戶口 Account(s) of Connected Parties Maintained with the Bank	有關連者名稱 Name of Connected Parties	戶口號碼 Account No.
資金來源 Source of Funds 勿留空。	(如有需要，可勾選多於一項)(tick more than one box, if appropriate) <input type="checkbox"/> 薪金/佣金 Payroll/Commission <input type="checkbox"/> 物業出售或租金 Sales or Rental of Property <input type="checkbox"/> 積蓄 Savings <input type="checkbox"/> 個人業務 Individual Business <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 勿留空。	(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 with the 3rd party _____	
資金來源地 Origins of Source of Funds 勿留空。	(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 _____	
財富來源 Source of Wealth 初次及持續 Initial and ongoing 勿留空。 勿留空。	(如有需要，可勾選多於一項)(tick more than one box, if appropriate) <input type="checkbox"/> 薪金/佣金/退休金 Payroll/Commission/Pension <input type="checkbox"/> 業務收益 Business Income 受僱年期 Length of Employment _____ 年 Year 經營年期 Length of Business _____ 年 Year <input type="checkbox"/> 配偶給予 Earning given by Spouse <input type="checkbox"/> 繼承/贈與 Inheritance/Gift <input type="checkbox"/> 投資回報 Return on 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 勿留空。 請填寫主要匯入/匯出之國家名稱，不得填寫地區	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"/> 11-25 <input type="checkbox"/> 26-50 <input type="checkbox"/> 51-75 <input type="checkbox"/> 76-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> >200 預期涉及總金額 Anticipated Total Amount _____ 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
	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"/> 11-25 <input type="checkbox"/> 26-50 <input type="checkbox"/> 51-75 <input type="checkbox"/> 76-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> >200 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) _____	





其他資料 Other Information		
	是 Yes	否 No
帳戶持有人是否現或曾任職於本地或海外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 Account Holder a current or former senior official in the local or foreign government (e.g. appointed member of committee and etc)? If ‘Yes’, please specify: 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"/>
帳戶持有人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 Account Holder involved in any political activities such as political party or government consultant? If “Yes”, please specify: 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"/>
帳戶持有人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 Account Holder hold a current or former senior management position of a stated owned enterprise or listed company? If “Yes”, please specify: 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"/>
帳戶持有人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(如有需要, 可另紙書寫並加簽確認): Is/Was the Account Holder’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): 直系親屬姓名 Name of Immediate Family Member: _____ 與帳戶持有人關係 Relationship with the Account Holder: _____ 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"/>
帳戶持有人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 Account Holder born in U.S., or a holder of U.S. citizenship, U.S. nationality or permanent right of abode, or applying U.S. immigration? 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 License / 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): _____	<input type="checkbox"/>	<input type="checkbox"/>
帳戶持有人現正或曾否, 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 Account Holder hold 10% or more shareholding, directly or indirectly, in any of company / entity registered in U.S.? If “Yes”, please specify: 機構名稱 Name of Organization: _____ 登記市/州份 City / State of Registration: _____ 公司註冊號 Company Registration Number: _____ 截至審查日當天的實際持控股權權益: _____ 股 (_____ %) Shares held up to the date of review _____ shares (_____ %)	<input type="checkbox"/>	<input type="checkbox"/>
帳戶持有人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 Account Holder hold any property or maintain security account in U.S.? If “Yes”, please specify: 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) : _____	<input type="checkbox"/>	<input type="checkbox"/>

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(s) has/have read and fully understood the contents of this Account Ongoing Review Form. The Account Holder(s) confirm(s) that information given by the Account Holder(s) in this Account Ongoing Review Form is true, correct, update and complete. The Account Holder(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. 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(s) acknowledge(s) and declare(s) that the Account Holder(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，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(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 Account Holder(s) wish(es). The Account Holder(s) hereby confirm(s) that the Account Holder(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. 帳戶持有人確認及明白，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 Account Holder(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. 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(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 Account Holder(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/they and the Authorized Person(s) (if any) and the Account Holder(s) and the Authorized 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 Account Holder(s) 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 Account Holder(s) understand(s), acknowledge(s) and agree(s) that, where the circumstances are appropriate, the personal data of the Account Holder(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.
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/they, 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.

只適用於聯名帳戶 Applicable to Joint Account			
<p>X 請 貴戶親簽。</p> <div style="text-align: center; margin-bottom: 10px;">  <p>S.W.</p> </div> <p>帳戶持有人簽署 Signature of the Account Holder</p> <p>X 請用中文正楷書寫 貴戶全名。</p> <div style="text-align: center; margin-bottom: 10px;"> <p>姓名 Name</p> <hr/> </div>	<div style="text-align: center; margin-bottom: 10px;">  <p>S.W.</p> </div> <p>第二聯名帳戶持有人簽署 Signature of 2nd Joint Account Holder</p> <div style="text-align: center; margin-bottom: 10px;"> <p>姓名 Name</p> <hr/> </div>	<div style="text-align: center; margin-bottom: 10px;">  <p>S.W.</p> </div> <p>第三聯名帳戶持有人簽署 Signature of 3rd Joint Account Holder</p> <div style="text-align: center; margin-bottom: 10px;"> <p>姓名 Name</p> <hr/> </div>	<div style="text-align: center; margin-bottom: 10px;">  <p>S.W.</p> </div> <p>第四聯名帳戶持有人簽署 Signature of 4th Joint Account Holder</p> <div style="text-align: center; margin-bottom: 10px;"> <p>姓名 Name</p> <hr/> </div>

日期 Date

銀行專用 (For Office Use Only)

此戶是聯名帳戶，聯名帳戶持有人共____人，本帳戶持續審查資料表第 [____ 至 ____] 頁為第一帳戶持有人之個人資料，其他聯名帳戶持有人資料見另紙。

The Account is a Joint Account with _____ Joint Account Holder(s). Pages [____ to ____] of this Account Ongoing Review Form set out the Account Holder's Personal particulars. For the other Account Holder(s), please refer to the particulars listed out in the separate sheet(s).

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 – 個人 (包含獨資企業)
Self-Certification Form – Individual (Including Sole Proprietorship)

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填寫，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 帳戶持有人的身分識辨資料

Part 1 Identification of Individual Account Holder

(對於聯名帳戶或多人聯名帳戶每名個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 individual account holder.)

(1) 帳戶持有人的姓名

Name of Account Holder

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 *

先生/太太/女士/小姐

姓氏

名字

(2) 香港身份證或護照號碼

Hong Kong Identity Card or Passport Number

如為台灣籍請填護照號碼

(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。

(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

請填通訊地址。

(5) 出生日期 * (日/月/年)

Date of Birth * (dd/mm/yyyy)

DD/MM/YYYY

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

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 (香港包括在內) 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) the jurisdictions of residence.

如帳戶持有人的香港稅務居民, 稅籍編號是其香港身份證號碼。

If the Individual account holder 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 – 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)			

此欄位 居留司法管轄區 及 稅籍編號TIN 視 貴戶於哪些國家/地區具有稅務居民身份而定。

一般來說, 如為台灣居民, 需繳交台灣所得稅, 則司法居留管轄區為台灣, 稅籍編號為台灣身份證字號 / 居留證字號; 如在大陸工作, 具大陸稅務居民身分, 則需另外加填大陸之稅籍編號 (台胞證字號)。

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 3 部自動交換財務帳戶資料聲明

Part 3 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 (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 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 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，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

I certify that I am the account holder / 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 貴戶親簽。

帳戶持有人簽署/獲帳戶持有人授權的人士簽署 #
Signature of account holder /
Signature of authorized person to sign for the
account holder #

本人

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 貴戶全名。

姓名
Name

簽署日期：DD/MM/YYYY

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).

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)
在美國課稅及申報目的下之最終受益人外國身分證明(個人)

Department of the Treasury
Internal Revenue Service
美國財政部稅務局

- ▶ For use by individuals. Entities must use Form W-8BEN-E. 供個人使用。非個人須使用W-8BEN-E表格。
- ▶ Go to www.irs.gov/Formw8ben for instructions and the latest information. W-8BEN表格及其最新說明公佈於www.irs.gov/Formw8ben.
- ▶ Give this form to the withholding agent or payer. Do not send to the IRS. 繳交此表格給扣繳義務人或付款人。勿直接交予 IRS。

Do NOT use this form if: 倘符合以下情況請勿使用本表格: **Instead, use Form:** 應使用之表格

- You are NOT an individual. 非個人者, 應使用 W-8BEN-E 表格. W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual. 美國公民或其他美國人士(包含個人外籍居民), 應使用 W-9 表格. W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services). 收入可與美國境內交易或業務行為(個人服務除外)有效連結的最終受益人, 應使用 W-8ECI 表格. W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States. 收受美國境內個人服務報酬的最終受益人, 應使用 8233 或 W-4 表格. 8233 or W-4
- You are a person acting as an intermediary. 擔任中間人角色者, 應使用 W-8BIMY 表格. W-8BIMY

Notes: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence. 備註: 倘若為 FATCA 夥伴國(如: 簽訂 Model 1 跨政府協議之司法管轄區)之居民, 特定稅務帳戶資訊可能會提供予您身為稅務居民之司法管轄區。

PART I Identification of Beneficial Owner (see instructions) 最終受益人身份 (詳見說明)

第一部份

1 Name of individual who is the beneficial owner 最終受益人姓名 請填 貴戶名稱	2 Country of citizenship 國籍 請填 貴戶國籍
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. 永久居住地址(含街道、公寓或房間號碼, 或郵件投遞路線)。勿使用郵政信箱或轉信地址。 請填永久(戶籍)地址。	
City or town, state or province. Include postal code where appropriate. 城市或鄉鎮、州或省, 以及郵遞區號	Country 國家
4 Mailing address (if different from above) 郵寄地址 (倘與上方永久居住地址不同) 請填通訊地址 (如與戶籍地不同)	
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
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions) 倘須填(詳見說明), 填寫美國稅籍編號 (SSN 或 ITIN)	6 Foreign tax identifying number (see instructions) 外國稅籍編號 (詳見說明) 請填台灣身份證號碼
7 Reference number(s) (see instructions) 參考編號 (詳見說明)	8 Date of birth(MM-DD-YYYY) (see instructions) 出生日期(月-日-年)(詳見說明) MM-DD-YYYY

PART II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions) 租稅協議利益之主張 (僅依第 3 章目的填寫)(詳見說明)

第二部份

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
本人聲明最終受益人係與美國簽訂租稅協議國家 _____ 之居民。

10 **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 9 above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding:
特別稅率與條件 (如適用, 參見說明): 受益人主張依上述第九點之協議第 _____ 條與段落之規定, 要求以 _____ % 稅率扣繳(說明收入類型)
解釋最終受益人在條款與段落規定下能適用此扣繳稅率之額外條件: _____

PART III Certification 聲明

第三部份

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: 本人已盡力檢查本表格之資訊, 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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purpose.
本人為此表格涉及之所有收入之個人最終受益人(或被個人最終受益人所授權簽署的個人), 或針對第四章目的用本表格證明本人身分狀態;
- The person named on line 1 of this form is not a U.S. person, 本表第 1 點所列之人並非美國人士;
- The income to which this form relates is:
(a) not effectively connected with the conduct of a trade or business in the United States. 未與美國境內交易或業務行為有效連結;
(b) effectively connected but is not subject to tax under an applicable income tax treaty, or 可有效連結但在適用的租稅協議下免稅; 或
(c) the partner's share of a partnership's effectively connected income, 係屬與合夥關係有效連結之收入中, 合夥人的持份
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and 本表格第 1 點所列之最終受益人為第 9 點列示與美國簽訂租稅協議國家之居民; 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稅扣繳的外國人士

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.
此外, 本人授權將此表格提供給對最終受益人為本人之收入, 可控制、接收或保管的扣繳義務人, 或可發放或支付最終受益人為本人之收入的扣繳義務人。若本表格之聲明已不正確, 本人將同意於 30 天內提交一新表格。

Sign Here ▶ **請 貴戶親簽。**
在此簽署

Signature of beneficial owner (or individual authorized to sign for beneficial owner)
最終受益人(或被最終受益人授權簽署之個人)之簽名

Date (MM-DD-YYYY)
日期 (月-日-年)

請用中文正楷書寫 貴戶姓名。

Print name of signer 簽署人姓名完整拼音

Capacity in which acting (if form is not signed by beneficial owner)
簽署人行事之身分 (倘表格非由最終受益人簽署)

- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2

of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier

What is FATCA reporting?

The Foreign Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of the Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

- a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

- b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.
- c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.
- d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.
- e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulation section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2 "Business name/disregarded entity name". If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

- 7- A futures commission merchant registered with the Commodity Futures Trading Commission
- 8- A real estate investment trust
- 9- An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10- A common trust fund operated by a bank under section 584(a)
- 11- A financial institution
- 12- A middleman known in the investment community as a nominee or custodian
- 13- A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.
² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f) and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code.
 The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B—The United States or any of its agencies or instrumentalities
- C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)
- F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
- G—A real estate investment trust
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 584(a)
- J—A bank as defined in section 581
- K—A broker
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5
 Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4 , Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1- An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2- The United States or any of its agencies or instrumentalities,
- 3- A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities,
- 4- A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5- A corporation,
- 6- A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S.

address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/Businesses and clicking on Employer Identification Number (EIN) under Starting a Business. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt Payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of :
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons	Each holder of the account

(joint account maintained by an FFI)	The minor ²
4. Custodian account of a minor (Uniform Gift to Minors Act)	The grantor-trustee ¹
5. a. The usual revocable savings trust (grantor is also trustee)	The actual owner ¹
b. So-called trust account that is not a legal or valid trust under state law	The owner ³
6. Sole proprietorship or disregarded entity owned by an individual	The grantor*
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	
For this type of account:	Give name and EIN of :
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/ disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title). Also see *Special rules for partnerships*, earlier.

*Note: The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for

Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

同意書(Waiver)

一、 帳戶資料之申報：

茲因本人/本公司係 貴行依美國「海外帳戶稅收遵循法」(Foreign Account Tax Compliance Act,以下簡稱 FATCA 法案)所規定應向美國國稅局(IRS)申報之往來對象，茲同意 貴行在依據 FATCA 法案申報本人/本公司與 貴行往來相關資料之特定目的範圍內，得為必要之資料蒐集、處理、利用與國際傳輸。

1. Declaration of account information:

Whereas I/the company am/is a business customer of Mega International Commercial Bank Co., Ltd. (Mega Bank), and in compliance to the Foreign Account Tax Compliance Act (FATCA), Mega Bank is regulated to report all business transactions to the Internal Revenue Service (IRS). In agreement to declare the specific range of relevant information between Mega Bank and me/the company in regards to FATCA, certain necessary information gathering, deposition, utilization and international transmissions are required.

二、 本人/本公司已於合理期間內，審閱上述同意條款全部內容，並經 貴行明確告知各款內容及相關風險，茲聲明本人/本公司已完全充分瞭解上述條款內容而願遵守該條款。

2. I/The company have/has already examined the full content of this form contract in a sufficient amount of time, and am/is fully informed of the content and related risks. It is a true statement made by me/the company with fully understanding the content and willing to cooperate and comply.

此 致

Above all

兆豐國際商業銀行

Mega International Commercial Bank

存 戶 簽 章 : 需有 貴戶原留印鑑及親簽。
(Sign here)

(與印鑑卡「存戶簽名及蓋章欄」留存之簽樣相符)
(It should be consistent with the specimens archived in the boxes of specimen seal certificate card of the Depositor.)

身分證統一編號/統一編號：
(ID number)

請填護照號碼或身份證件號碼

日期：

(Date)

經辦：_____ 驗印：_____

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)因前述因由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須承擔的責任。

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
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