



一中證券有限公司 One China Securities Limited

(香港聯合交易所有限公司參與者)
(香港期貨交易所有限公司參與者)

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證監會編號 CE No. : AJH947

OTH-08

FATCA Self-Certification(Individual) 美國海外帳戶 FATCA 身分聲明書(個人)

Name 姓名 : _____

Account Number 戶口號碼 : _____

U.S. Indicia Questionnaire (Mandatory) 美國指標問卷(必須作答)

This section allows you to declare your identity under the Foreign Account Tax Compliance Act (FATCA) classification.
本部分允許您根據<外國帳戶稅務合規法案> (FATCA) 申報您的身份。

Please check “✓” Yes or No for each of the following questions:
請在是或否的方格內加上 “✓” 號以回答以下問題：

	Yes 是	No 否
1. U.S. citizenship/tax residency (e.g. U.S. passport / Green Card holder、U.S. taxpayer, etc.) ? 美國公民 / 繳納美國稅務的居民 (如美國護照 / 綠卡持有者、美國納稅人等) ?	<input type="checkbox"/>	<input type="checkbox"/>
2. U.S. place of birth? 美國出生地 ?	<input type="checkbox"/>	<input type="checkbox"/>
3. U.S. address (e.g. residential address, mailing address, P.O. Box) ? 美國地址 (如居住地址、郵寄地址、P.O.郵箱) ?	<input type="checkbox"/>	<input type="checkbox"/>
4. U.S. telephone number (e.g. home, work, mobile, fax numbers) ? 美國電話號碼 (如住宅、工作、行動、傳真號碼) ?	<input type="checkbox"/>	<input type="checkbox"/>
5. Standing instruction to pay amounts from One China Securities Limited Account to an account maintained in the U.S. ? 從一中證券有限公司向某美國銀行帳戶發出重覆的款項轉帳指示	<input type="checkbox"/>	<input type="checkbox"/>
6. A current power of attorney or signatory authority granted to a person with U.S. address ? 帳戶的獲授權人為美國地址的人士 ?	<input type="checkbox"/>	<input type="checkbox"/>
7. An U.S. “in care of” address or a “hold mail” address that is the sole address identified ? 郵件轉換或保留地址為單一並為美國地址 ?	<input type="checkbox"/>	<input type="checkbox"/>

FATCA Identity Declaration FATCA 身份聲名

	Please Select ONE only 只需選擇一項	Additional Form Required for Account Opening 須額外提交表格作開戶之用
(a) U.S. Individual 美國人士	<input type="checkbox"/>	W-9 Form 表格
(b) Non-U.S. Individual with no U.S. indicia 非美國人士，及沒有美國指標	<input type="checkbox"/>	No 不需要
(c) Non-U.S. Individual with U.S. indicia 非美國人士，但具有美國指標	<input type="checkbox"/>	W-8 BEN Form 表格

I understand and agree that One China Securities Limited (or hereafter “the Company”) may request additional information to verify the self-certification hereunder, and provide such on behalf of me to withholding agent(s) to prove my identity certified as a Non-U.S. taxpayer. I also have read the Notice of Foreign Account Tax Compliance Act, the Terms and Conditions in relations to Foreign Account Tax Compliance Act of the United States and the Notice to Client – Use of Personal Data relating to Foreign Account Tax Compliance Act of the United States, understand and agree to its regulations and requirement.

本人了解並同意一中證券有限公司 (以下簡稱 貴公司) 為證實上述聲明內容得於必要時向本人索取相關證明文件；得代理本人向美國稅法的扣繳義務人出示本聲明書或交付本聲明書之複本以協助本人聲明非屬美國稅務居民。本人已詳細閱讀美國海外帳戶稅收遵循法案說明書，美國海外帳戶稅收遵循法條款及有關美國海外帳戶稅收遵循法使用個人資料的客戶通知，了解並同意其規定與要求。

I will inform the Company of any changes on contents made on this self-certification within 30 days of the occurrence, and I understand and agree that the Company has the power and right to verify the validity of the self-certification and modify the rights of the account holder accordingly, including but not limited to withholding U.S. taxes or closing the account according to Chapter 4 of the U.S. Internal Revenue Codes.

若上述聲明內容及其他開戶相關文件之資訊產生變動，而造成本開戶文件不正確或不完整時，本人至遲應於變更日起 30 天內主動告知 貴公司。本人了解並同意 貴公司有權合理認定上開聲明內容之真偽或變更情形而對本人帳戶權利為必要的處置行為，包含但不限於辦理美國稅扣繳或終止帳戶服務。

Signature 聲明人簽名 _____

Date 日期 _____