



# 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)

香港中環德輔道中86號章記大廈2字樓  
2/F, Cheong K. Building, 86 Des Voeux Road C., Central, H.K.  
電話 Telephone : 852-31882299 傳真 Fax : 852-31889838  
投訴熱線 Complaint Hotline : 852-31889973  
網站 Web Site : www.OC2299.com  
證監會編號 CE No. : AJH947

## FATCA Self-Certification(Corporate) 美國海外帳戶 FATCA 身分聲明書(法團)

Account Name 法團名稱 : \_\_\_\_\_

Account Number 戶口號碼 : \_\_\_\_\_

### **Declaration on U.S. Person Status (Please use a “✓” to select ONE only)**

#### **美國身份聲明書 (請填上“✓”號, 並僅選擇一項)**

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 Select ONE Only 請只選擇一項		Additional Form Required for Account Opening 須額外提交表格作開戶之用
(a)	<input type="checkbox"/> The entity is incorporated, created or organized in the United States of America or under the law of the United States of America or of any of the States of the United States of America, including the District of Columbia, Guam and The Commonwealth of Puerto Rico 本法團是在美國或根據美國法律或美國任何州份(包括哥倫比亞特區、關島和美屬波多黎各)的法律註冊成立、創立或組成。	W9 Form 表格
(b)	<input type="checkbox"/> The entity is a financial institution. 本法團是金融機構。	W8 BEN-E Form 表格
(c)	<input type="checkbox"/> The entity has U.S. citizen(s) / U.S. tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding. 本法團是有持有超過 10% 股權的重大權益股東為美國公民/美國稅務居民。	W8 BEN-E Form 表格
(d)	<input type="checkbox"/> The entity is setup as an investment vehicle (e.g. hedge fund) having U.S. citizen(s) / U.S. tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding. 本法團是成立為投資工具(如對沖基金), 並有持有 10% 股權的重大權益股東為美國公民/美國稅務居民。	W8 BEN-E Form 表格
(e)	<input type="checkbox"/> The entity is setup as trust which has U.S. citizen(s) / U.S. tax resident(s) who is/are beneficiary(ies) of the trust. 本法團成立為信託, 並有信託受益人為美國公民/美國稅務居民。	W8 BEN-E Form 表格
(f)	<input type="checkbox"/> Other entities. 其他法團實體。	No 不需要

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 \_\_\_\_\_