



美國<海外帳戶稅收法案>自檢證明書 (法團客戶)

U.S. Foreign Account Tax Compliance Act ("FATCA") Self-Declaration Form (For Corporate Account)

Company Name 公司名稱	Account No. 帳戶號碼
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Client(s) hereby grants consent to Huayu Securities Limited ("Huayu Securities") to report the entity information to U.S. IRS or applicable local/foreign regulators or tax authorities in order to compile with the requirements of FATCA.

客戶同意華裕證券有限公司("華裕證券")匯報本法團的資料予美國稅務局及／或相關本地及／或外地司法、稅務或其他監管機構，以遵從 FATCA 的合規法案的規定。

☐ Agree 同意 ☐ Disagree 不同意

Please consult tax, legal and/or other professional advisers if client(s) have any question on or in relation to FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-Declaration Form.如客戶對於 FATCA、任何美國國稅表格 (包括需要填寫及遞交哪一份美國國稅局表格)或本自檢證明書有任何疑問，請客戶自行諮詢稅務、法律及/或其他專業顧問。

☐ U.S. Entities 美國實體

If client(s) are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9.
如客戶於美國註冊成立、設立、構成或組成，請填寫並遞交美國國稅局W9.

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In case client(s) none of the below, please complete and submit the appropriate U.S. IRS Form W-8.

如客戶不符合以下任何一項，請另自行填寫及遞交適當的美國國稅局表格 W-8.

☐ Non-Financial Institution (non-U.S. entities) 非金融機構 (非美國實體)

1. Active Non-Financial Foreign Entity 有實質業務活動的非金融外國實體

- Client(s) derive at least 50% of gross income (for the previous calendar year) from these business activities and NOT from passive income such as investments, dividends, interests, rents or royalties, and
客戶至少50%總收入(以上一個曆年計)來自營業活動而非被動收入 (例如：投資、股息、利息、租金或權利金)，及
- At least 50% of the weighted average percentage of assets held by client(s) produce income for these business activities. (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet)
客戶所持有之加權平均資產至少有50%會產出或用以產出這些營業活動的收入
(每個季度於資產負債表依照資產的公允市價或賬面價值計算)

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2. Passive Non-Financial Foreign Entity 主要為被動收入的非金融外國實體

- Client(s) derive more than 50% of gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and
客戶至少50%總收入(以上一個曆年計)來自被動收入 (例如：投資、股息、利息、租金或權利金)，及
- Client(s) does not have substantial U.S Owners who own at least 10% of your entity, please fill up the following table:
客戶並無屬於美國的主要股東 (擁有客戶最少10%股權)

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華裕國際控股有限公司
HY International Holdings Limited

九龍尖沙咀廣東道5號海洋中心9樓930室
Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司
Huayu Securities Limited

華裕資產管理有限公司
Huayu Asset Management Ltd

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華裕資本有限公司
HY Capital Co., Ltd

主要為被動收入的非金融外國實體而擁有美國股東

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Name 姓名	TIN 納稅人識別編號	Address 地址

Client(s) GIIN (Global Intermediary Identification Number) is
客戶的全球中介人識別號碼為：

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Declaration by client 客戶聲明

To compile with the U.S. IRS or applicable local/foreign regulators or tax authorities requirements, client(s) may require(s) providing self-certification (which may be on an IRS Form W-8 or W-9) and/or do not give the above consent to Huayu Securities. The Account will be treated as a Non-Consenting U.S. Account. Huayu Securities will report "aggregate information" of account balances, payment amounts and number of non-consenting U.S. accounts to the U.S. IRS.

為符合美國稅務局及／或相關本地及／或外地司法、稅務或其他監管機構的要求，客戶可能需要提交個人身份證明文件（如美國稅務局的 W-8 或 W-9 表格）；若未能提供該文件證明及／或不給予華裕證券以上同意，此帳戶會被列為拒絕披露資料帳戶，華裕證券將會向美國稅務局匯報該等拒絕披露資料的相關美國帳戶結餘、收支總額及數量的「綜合資料」。

Client(s) hereby confirms the information provided by client(s) is true, accurate and complete.

客戶確認所提供的資料是真實、準確及完整的。

Client(s) agree and undertake to notify Huayu Securities within 7 working days if there is a change in any information which we have provided to Huayu Securities.

客戶同意並承諾，倘向華裕證券提供的資料有任何變更，客戶會於 7 個工作天內通知華裕證券。

Client(s) will indemnify and hold harmless Huayu Securities from any loss, action, cost, expense (including but not limited to sums paid in settlement of claims, reasonable attorney's and consultant fees, and expert fees), claim, damages, or liability which arises or is incurred by Huayu Securities in discharging its obligations under FATCA and/or as a result of disclosures to the US tax authorities.

客戶將就華裕證券因履行 FATCA 義務及／或向美國稅務機構關於披露資料所引致或產生的任何損失、訴訟、成本、開支（包括但不限於理賠中支付的款項、合理的律師和顧問費、專家費用）、索償、損害或債務提供彌償，並保證華裕證券不致蒙受相關損害。

Client(s) hereby confirm and accept the Notice and Agreement relating to Foreign Account Tax Compliance Act and other Applicable Laws and understand and accept that such Notice will form part of the Client Agreement and Huayu Securities will not be able to setup an account for the entity if the requested form(s) and/or information are not provided.

客戶確認並接受稅務要求通知的規定，並明白並接受此有關《外國帳戶稅務合規法》和其他適用法律的聲明和協定將為客戶協議之一部分，本法團明白倘未能提供所需表格及／或資料，則華裕證券將無法為客戶開立帳戶。

Client's Signature 客戶簽名

授權簽名 Authorized Signature		(with Company Chop 附公司圖章, if applicable 如適用)
被授權簽署人姓名 Name of Authorized signatory	日期 Date	

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