

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)

	mpany 司名稱	Name			Account No. 帳戶號碼			
Client(s) hereby grants consent to Huayu Securities Limited ("Huayu Securities") to report the entity information to U.S. IRS or a 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,稅務或其他監管機從 FATCA 的合規法案的規定。								
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(包括需要均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。								
	_ l	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.								
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. 6	entities) 非金融機構 (詞	非美國實體)			
1.	Activ	e Non-Financia	al Foreign Entity 有實	質業務活動的非金融外	· <u>國實體</u>			
	>	income such as in	nvestments, dividends, inte	ne (for the previous calendar erests, rents or royalties, and K自營業活動 而非 被動收入	1		_	
	>	quarterly, using f 客戶所持有之加	fair market value or book v	entage of assets held by clier value of assets as reflected in 會產出或用以產出這些營業 市價或賬面價值計算)	your balance sheet)	r these business activities.	(tested	
2.	Passi	ve Non-Financi	al Foreign Entity <u>主</u> 要	要為被動收入的非金融外	小國實體			
	>	rents or royalties 客戶至少50%總 Client(s) does no	, and 收入(以上一個曆年計)來 ot have substantial U.S Own	come (for the previous calen 医自被動收入 (例如:投資 mers who own at least 10% o	、股息、利息、租金或	戍權利金), 及	lends, interests,	
		各尸业無屬於美	美國的主要股東 (擁有客戶	一取少10%股權」				

華裕國際控股有限公司 HY International Holdings Limited 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 華裕資本有限公司 HY Capital Co., Ltd

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3.	Passive Non-Financial Foreign Entity with US Controlling Persons 主要為被動收入的非金融外國實體而擁有美國股東						
	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: 客戶有屬於美國的主要股東 (擁有客戶最少10%股權):						
	Name 姓名 TIN 納稅人識別編號 Address 地址						
	Financial Institution (non-U.S. entities) Client(s) GIIN (Global Intermediary Identification Number) is						
	金融機構 (非美國實體) 客戶的全球中介人識別號碼為:						
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1.	Participating FFI 参與的外國金融機構						
	Participating FFI is an FFI that has agreed to comply with the terms of an FFI agreement. The term participating FFI also includes a qualified intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.						
	参與的外國金融機構指已同意遵守外國金融機構協議的外國金融機構。參與的外國機構一詞亦包括美國金融機構的合資格中介人分公司,但如該分公						
	參與的外國金融機構指已同意遵守外國金融機構協議的外國金融機構。參與的外國機構一詞亦包括美國金融機構的合資格中介人分公司,但如該分公 司屬以版本一申報的外國金融機構除外。						
2.	Registered deemed-compliant FFI 已註冊的視作合規外國金融機構						
	A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets requirements to be treated as a local FFI, non-reporting						
	FI member of a PFFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, or sponsored investment entity or controlled foreign						
	corporation (see Treas. Reg. 1.147-5(f)(1)(i) for more information about these categories), (2) a Reporting FI under a Model 1 IGA and that is registering to obtain a						
	GIIN, or (3) an FFI that is treated as a Non-reporting FI under Model 1 or 2 IGA and that is registering pursuant to the applicable Model 1 or 2 IGA						
	已註冊的視作合規外國金融機構指:(1)正進行註冊以確認其符合要求可被視為本地外國金融機構、參與的外國金融機構集團的非申報金融機構成員、						
	合資格集體投資公司、受限制基金、合資格信用卡發行人或保薦投資實體或受控制外國公司(有關上述組別的更多資料請參閱美國財政部規例第1.147-						
	5(f)(1)(i)條);(2)版本一政府間協議下正進行註冊以獲取全球中介人識別號碼的申報金融機構;或(3)被視為版本一或版本二政府間協議下的非申報金融						
	機構並正按照適用的版本一或版本二政府間協議進行註冊的外國金融機構。						
3.	Reporting Model 1 FFI 以版本一申報的外國金融機構						
	A Model IGA means an agreement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through						
	reporting by FFIs to such foreign government or agency thereof, followed by automatic exchange of the reported information with the IRS. An FFI in a Model 1						
	IGA jurisdiction that performs account reporting to the jurisdiction's government is referred to as a Reporting Model 1 FFI.						
	版本一政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議,透過由外國金融機構向該外國政府或其代理機構作出申報後 繼而與美國國稅局自動交換申報資料而實行FATCA。版本一政府間協議司法管轄區內的外國金融機構如向該司法管轄區政府申報賬戶,即稱為以版本						
	一申報的外國金融機構。						
4.	Reporting Model 2 FFI 以版本二申報的外國金融機構						
	A Model IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement						
	FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information						
	between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into an FFI agreement is a participating FFI,						
	but may be referred to as a reporting Model 2 FFI.						
	版本二政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議或安排,透過由外國金融機構按照外國金融機構協議的規定直						
	接向美國國稅局作出申報而實行FATCA,並由該外國政府或其代理機構與美國國稅局交換資料而作出補充。版本二政府間協議司法管轄區內的外國金						
	融機構如已訂立外國金額機構協議即屬參與外國金融機構,但可稱為以版本二申報的外國金融機構。						
5.	Client(s) are a Non-Participating FFI 客戶屬非參與的外國金融機構						



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 selfcertification (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 安丘签夕

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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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