

賬戶名稱 A/C Name: _____
賬戶號碼 A/C No.: _____
經紀 AE: _____

賬戶狀況證明 Certification of Account Status

請填寫以下有關個人賬戶及/或聯名賬戶的資料，如屬聯名賬戶，每名客戶須分別填寫自行證明書。
Please complete the following information for an individual and/or joint account. Please note that in the case of a joint account, each client is required to complete a separate self-certification form.

請在下列其中一個方格內加上√號：
Please tick either (1) or (2) or (3) and complete as appropriate:

- 本人確認，本人就課稅目的而言為美國公民及/或美國居民(綠卡持有人或根據實質居留測試被定性為居民)，而本人的美國聯邦納稅人識別號碼(美國納稅人識別號碼)如下：
I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test) and my U.S. federal taxpayer identification number (U.S. TIN) is as follow:
美國納稅人識別號碼 U.S.TIN : _____
- 本人確認，本人在美國(或美國境內)出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國“喪失原有國籍證明”為憑證。
I confirm that I was born in the U.S.(or U.S.territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.
- 本人確認，本人就課稅目的而言並非美國公民或美國居民。
I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

聲明 Declaration

本人聲明本證明書所提供的資料全部真實、完整及正確。在不抵觸當地適用法律的情況下，本人同意盛德證券有限公司在必要情況下可向國內及海外的監管機構或稅務機關提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。因應國內或海外的監管機構或稅務機關要求，本人准許並同意盛德證券有限公司可按適用的法律、法規和指令，在本人賬戶中預扣所須款項。本人承諾如本人向盛德證券有限公司提供的任何資料有任何變更，本人會於30日內重新提交自行證明書予盛德證券有限公司。

I represent that the information on this form is true, complete and accurate. Subject to applicable local laws, I hereby give my consent to Prestige Securities Limited for sharing my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that Prestige Securities Limited may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives. I undertake to provide an updated self-certification form within 30 calendar dates if there is a change in any information which I have provided to Prestige Securities Limited.

客戶簽署 Client Signature

日期 Date

如就任何曆年有下列情況，一般即屬已通過實質居留測試：(a) 該名個人在該年度內在美國居留至少31天；及 (b) 該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過183天。

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

以下由本公司填寫：/ For internal use only:

填寫 Prepared By: _____	簽名核對 Signature Verified By: _____	結餘查核 Balance Checked By: _____
輸入 Input By: _____	輸入核對 Input Checked By: _____	批核 Approved By: _____

賬戶名稱 A/C Name: _____
 賬戶號碼 A/C No.: _____
 經紀 AE: _____

客戶資料 Client Information

請小心填寫本自行證明書。如貴公司對於FATCA、任何美國國稅局表格(包括需填寫及遞交哪一份美國國稅局表格)或本自行證明書有任何疑問，請諮詢貴公司之稅務、法律及/或其他專業顧問。

Please complete this self-certification form carefully. Please consult your tax, legal and/or other professional advisers if you 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-certification form.

以下哪一項陳述最切合貴公司的情况? 請選擇以下A組或B組的其中一個選項。

Which of the following statements best describes you? Please select only 1 of the following from category A or B.

美國實體 U.S. Entities		
如貴公司於美國註冊成立、設立、構成或組成，請填寫並遞交美國國稅局表格W9。 If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9.		美國實體 U.S. Entities
A. 金融機構 Financial Institution 貴公司屬金融機構，及 You are a financial institution, and		
<input type="checkbox"/>	貴公司屬 You are <input type="checkbox"/> 參與的外國金融機構 Participating FFI ⁱ <input type="checkbox"/> 已註冊的視作合規外國金融機構 Registered deemed-compliant FFI ⁱⁱ <input type="checkbox"/> 以版本一申報的外國金融機構 Reporting Model 1 FFI ⁱⁱⁱ <input type="checkbox"/> 以版本二申報的外國金融機構 Reporting Model 2 FFI ^{iv} 而貴公司的全球中介人識別號碼為 and Your GIIN (Global Intermediary Identification Number) is: _____	參與的外國金融機構/ 以版本一申報的外國金融機構/ 以版本二申報的外國金融機構 Participating FFI/Reporting Model 1 FFI/Reporting Model 2 FFI
<input type="checkbox"/>	貴公司屬非參與的外國金融機構。 You are a Non-Participating FFI.	非參與的外國金融機構 Non-Participating FFI
<input type="checkbox"/>	貴公司不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格W-8。 You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.	
B. 非金融機構 Non-Financial Institution 貴公司屬非金融機構，及 You are NOT a financial institution, and		
<input type="checkbox"/>	有實質業務活動的機構 Active Business <input checked="" type="checkbox"/> 貴公司至少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 You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investment, dividends, interests, rents or royalties, and <input checked="" type="checkbox"/> 貴公司所持有之加權平均資產(每個季度於資產負債表依照資產的公允市價或帳面價值計算)至少有50%會產生出或以產生這些營業活動的收入 At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities	有實質業務活動的非金融外國實體 Active Non-Financial Foreign Entity
<input type="checkbox"/>	主要為被動投資收入的機構 Passive Investment <input checked="" type="checkbox"/> 貴公司超過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	主要為被動收入的非金融外國實體/ Passive Non-Financial Foreign Entity

	<p>權利金，及 You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and <input type="checkbox"/> 貴公司並無屬於美國的主要股東(擁有貴公司最少25%股權) You do not have substantial U.S. Owners who own at least 25% of your entity <input type="checkbox"/> 貴公司有屬於美國的主要股東(擁有貴公司最少25%股權)，如此項適用請填妥以下表格 You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table</p> <table border="1" data-bbox="215 347 1216 638"> <thead> <tr> <th data-bbox="215 347 406 392">姓名 Name</th> <th data-bbox="406 347 976 392">地址 Address</th> <th data-bbox="976 347 1216 392">納稅人識別編號 TIN</th> </tr> </thead> <tbody> <tr> <td data-bbox="215 392 406 470"></td> <td data-bbox="406 392 976 470"></td> <td data-bbox="976 392 1216 470"></td> </tr> <tr> <td data-bbox="215 470 406 548"></td> <td data-bbox="406 470 976 548"></td> <td data-bbox="976 470 1216 548"></td> </tr> <tr> <td data-bbox="215 548 406 638"></td> <td data-bbox="406 548 976 638"></td> <td data-bbox="976 548 1216 638"></td> </tr> </tbody> </table>	姓名 Name	地址 Address	納稅人識別編號 TIN										<p>主要為被動收入的非金 額外國實體而擁有美國 股東 Passive Non-Financial Foreign Entity with US Controlling Persons</p>
姓名 Name	地址 Address	納稅人識別編號 TIN												
<input type="checkbox"/>	<p>貴公司不符合上述任何一項，在此情況下請填寫及遞交適當之美國國稅局表格W-8。 You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.</p>													

客戶聲明 Declaration by Client

本人/吾等確認本自行證明書內提供的資料在提供當下仍為真確、正確和準確。如上述資料有任何變動，本人/吾等承諾無論如何於變更日起30日內知會盛德證券有限公司。
I/We hereby affirm that the information provided in this self-certification form is true, correct and accurate as of the moment of provision. I/We undertake to inform Prestige Securities Limited of any changes in the above-mentioned information, in any event by no later than the date falling 30 days from the date of change.

客戶簽署 Client's Signature(s) : _____ 日期 Date : _____

- i 參與的外國金融機構指已同意遵守外國金融機構協議條款的外國金融機構。參與的外國金融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。
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.
- ii 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1.1471-5(f)(l)(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。
A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets the 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. § 1.1471-5(f)(l)(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 a Model 1 or 2 IGA and that is registering pursuant to the applicable Model 1 or 2 IGA.
- iii 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帳戶，即稱為以版本一申報的外國金融機構。
A Model 1 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.
- iv 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融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。
A model 2 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.

以下由本公司填寫：/ For internal use only:		
填寫 Prepared By: _____	簽名核對 Signature Verified By: _____	結餘查核 Balance Checked By: _____
輸入 Input By: _____	輸入核對 Input Checked By: _____	批核 Approved By: _____