

To:

- | | |
|---|---|
| <input type="checkbox"/> 招商證券(香港)有限公司
China Merchants Securities (HK) Co., Limited | <input type="checkbox"/> 招商期貨(香港)有限公司
China Merchants Futures (HK) Co., Limited |
| <input type="checkbox"/> 招商資本(香港)有限公司
CMS Capital (HK) Co., Limited | <input type="checkbox"/> 招商證券資產管理(香港)有限公司
CMS Asset Management (HK) Co., Limited |
| <input type="checkbox"/> 招商證券投資管理(香港)有限公司
China Merchants Securities Investment Management (HK) Co., Limited | |

(各自稱為“貴公司”) (each “your Company”)

關於美國海外帳戶稅務遵循法 (“海外帳戶稅務遵循法”) 的
個人客戶自我核證聲明書
Self-certification Declaration Form for an Individual
under the U.S. Foreign Account Tax Compliance Act (“FATCA”)

1. 開立個人帳戶時自我核證
Self-certification on opening of an individual account

- 1.1. 關於在貴公司開立帳戶，本人(即“帳戶持有人”)茲在適用的方格中打勾，以示核證:
In relation to the opening of this account with your Company, I (being the “**account holder**”) certifies by ticking the box below which is applicable:

- (a) 本人不是(就稅務目的而言)美國居民(註1)及/或本人不是美國公民(註2)
I am not a U.S. resident for tax purposes (Note 1) and/or a U.S. citizen (Note 2)

永久居住地址: Permanent residence address: _____ 國家 Country: _____		
出生國家: Country of birth:	出生日期: 年/月/日 Date of birth: YYYY/MM/DD	國籍: Country of citizenship:
就稅項而言為居民的國家: Countries in which I am a resident for tax purposes: (1) _____ (2) _____		
非美國稅籍編號(如有): Non-U.S. foreign tax identifying number (if any): (1) _____ (2) _____		

- (b) 本人是(就稅務目的而言)美國居民及/或本人是美國公民(如是,請續填 Form W-9)
I am a U.S. resident for tax purposes and/or a U.S. citizen (if so, please further complete Form W-9)

2. 本人同意，如帳戶持有人就自我核證而向貴公司提供的資訊有變更，帳戶持有人須立即或在變更的 30 天內通知貴公司，並提供新且有效的自我核證。

I agree that, if there is a change in information on the self-certification (as contained in or as required under this document) for which the account holder provided to your Company, the account holder shall inform your Company immediately or within 30 days of the change and furnish a new and valid self-certification.

3. 帳戶持有人核證，就美國有關稅法而言，(i) 如其獨自開立個人帳戶，其乃該帳戶的實益擁有人；(ii) 如其開立聯名帳戶，其乃該帳戶的其中一實益擁有人。

The account holder certifies that (i) in case of opening of a sole individual account, he/she is the beneficial owner of the said account or (ii) in case of opening of a joint account, he/she is one of the beneficial owners of the said joint account for the purpose of the U.S. Code.

4. 在知悉偽證罪之懲罰下，本人聲明，本人已盡力檢查本表格之資訊，並相信上述資訊為真實、正確且完整。本人進一步依偽證懲罰擔保：

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 4.1. 本表格涉及之收入乃：

The income to which this form relates is:

- 4.1.1. 未與美國境內交易或業務行為有效連結；
not effectively connected with the conduct of a trade or business in the United States；
- 4.1.2. 可有效連結但在稅收協議下免稅；或
effectively connected but is not subject to tax under an applicable income tax treaty；or
- 4.1.3. 為屬與合夥關係有效連結之收入中合夥人的持份；及
the partner's share of a partnership's effectively connected income；and

- 4.2. 在經紀交易或以物易物狀況中，最終受益人為“免受扣繳的外國人士”(按海外帳戶稅務遵循法譯義)。

For broker transactions or barter exchanges, the beneficial owner is an “exempt foreign person” (as defined under FATCA).

5. 如本自我核證聲明書的中、英文版不一致，概以英文版為準。

The English version of this self-certification shall prevail whenever there is a discrepancy between the English and Chinese versions.

簽署核證

Signed and certified

帳戶持有人姓名：

Name of the Account Holder

帳戶號碼：

Account Number

日期：

Date

註：

1. 美國居民，就稅務目的而言，包括美國綠卡持有人(即美國合法永久居民)及符合實質居住測試的個人(即他/她在本納稅年度已處於美國境內最少 31 實際天數，並在一個為期三年的年期內根據以下的計算方式處於美國境內 183 等同的天數：等同的天數 = 實際於本納稅年度處於美國境內的天數 + 他/她於前一納稅年度處於美國境內的天數之三分之一 + 他/她於之前第二個納稅年度處於美國境內的天數之六分之一)。閣下應就閣下的美國稅務居住地問題諮詢閣下的稅務顧問。
A U.S. resident for tax purposes includes a U.S. green card holder (i.e. a U.S. lawful permanent resident) as well as an individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three-year period using the following formula: equivalent days = actual days in the U.S. in the current tax year + 1/3 of his/her days in the U.S. in the immediate preceding tax year + 1/6 of his/her days in the U.S. in the second preceding tax year). The customer should consult his/her/their own tax advisor regarding such U.S. tax residency.
2. 一個出生在美國領土的人(例如，美屬薩摩亞、北馬裡亞納羣島共榮邦(於 1986 年 11 月 3 日之後出生)、關島、波多黎各自由邦、美屬處女群島)也被視為美國公民。
A person who was born in a U.S. territory (e.g. American Samoa, The Commonwealth of Northern Mariana Island (born after Nov 3, 1986), Guam, The Commonwealth of Puerto Rico, the U.S. Virgin Islands) would also be considered as a U.S. citizen.