



RHB Securities Hong Kong Limited (“RHBS”)

興業金融證券有限公司(「興業金融證券」)

RHB Futures Hong Kong Limited (“RHBF”)

興業金融期貨有限公司(「興業金融期貨」)

**FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”) DECLARATION FORM - Entity**

《海外帳戶稅收合規法案》申報表 - 實體

We hereby confirm and undertake to **RHBS [AND/OR (CLIENT TO DELETE WHERE APPROPRIATE)] RHBF**(where applicable, and hereinafter collectively and/or respectively (if only one entity is applicable) referred to as “RHBHK”) that we have fully **read and understood** the latest *Supplemental Terms and Conditions to the RHB Securities Hong Kong Limited Terms and Conditions for Securities Trading In Relation To Foreign Account Tax Compliance Act and/or RHB Futures Hong Kong Limited Terms and Conditions for Futures and Options Trading In Relation To Foreign Account Tax Compliance Act* (hereinafter the “**FATCA T&C**”), where applicable, available under RHBHK corporate website. We hereby **confirm our review, understanding, acknowledgement, and agreement to all the terms of the FATCA T&C. We further undertake to comply at all times and from time to time, with any and all applicable FATCA requirements**, whether pre-existing or to be implemented in the future.

Additionally, we confirm that we have consulted independent legal and/or tax advice where necessary and acknowledge that RHBHK cannot and will not provide any legal and/or tax advice in connection with FATCA requirements and this declaration form. We hereby declare that our FATCA status is/are as indicated by our selection [by ticking the appropriate box] under the table below:

吾等向興業金融證券[及/或興業金融期貨(請客戶刪去不適用者)](以下集體及/或(當其中一間公司適用時)分別稱「興業金融香港」)確定及承諾吾等已完全閱讀及明白在興業金融香港網站內載有興業金融證券有限公司證券交易的條款及條件之與美國《海外帳戶稅收合規法案》相關的補充條款及條件及/或興業金融期貨有限公司期貨及期權交易的條款及條件之與美國《海外帳戶稅收合規法案》相關的補充條款及條件(下稱「海外帳戶稅收合規法案條款及條件」)(如適用者)之最新版本，吾等謹此確定吾等對海外帳戶稅收合規法案條款及條件所有條款的檢閱、理解、確認及同意，及進一步承諾隨時及不時遵守所有(不論現存或將來實施)適用的美國《海外帳戶稅收合規法案》要求。

除此以外，吾等確定吾等在必要時已經諮詢過獨立法律及/或稅務的意見，並確認興業金融香港不能及不會提供任何與美國《海外帳戶稅收合規法案》要求及本申報表有關的法律及/或稅務意見。吾等謹此(通過在以下列表剔選合適的選項)聲明吾等的美國《海外帳戶稅收合規法案》狀況為:

**Please tick one box only 請於其中一個空格內✓**

Account Type 帳戶類別	Entity Type 實體類別	Document to be furnished to RHBHK 提交予興業金融香港的文件
U.S. Account 美國帳戶	<input type="checkbox"/> U.S. Corporation/Legal Entity 美國公司/法人	Duly completed, signed and dated Form W-9 - Request for Taxpayer Identification Number and Certification 已填妥、簽署及填寫日期之W-9表格
	<input type="checkbox"/> (1) Non-U.S. Passive Non-Financial Entity or (2) Non-U.S. Owner-documented Financial Institution, <u>with</u> U.S. controlling person 有美國控權人之(1)非美國被動非金融法人或(2)由其擁有記錄之非美國金融機構	1. Duly completed, signed and dated Form W-8BEN-E - Certification of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) 實體已填妥、簽署及填寫日期之 W-8BEN-E 表格 2. Duly completed, signed and dated Form W-9 - Request for Taxpayer Identification Number and Certification, by <u>U.S.</u> controlling person 美國控權人已填妥、簽署及填寫日期之W-9表格
Non- U.S. Account 非美國帳戶	<input type="checkbox"/> Non-U.S. Financial Institution 非美國金融機構	Global Intermediary Identification Number 全球中介識別編號 : _____
	<input type="checkbox"/> Non-U.S. Corporation/Legal Entity which is not Financial Institution 非美國及非金融機構之公司/法人	Duly completed, signed and dated Form W-8BEN-E - Certification of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) 實體已填妥、簽署及填寫日期之 W-8BEN-E 表格
	<input type="checkbox"/> (1) Non-U.S. Passive Non-Financial Entity or (2) Non-U.S. Owner-documented Financial Institution, <u>without</u> U.S. controlling person 無美國控權人之(1)非美國被動非金融法人或(2)由其擁有記錄之非美國金融機構	1. Duly completed, signed and dated Form W-8BEN-E - Certification of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) 實體已填妥、簽署及填寫日期之 W-8BEN-E 表格 2. (Only if <u>non-U.S.</u> controlling person with U.S. indicia) Duly completed, signed and dated Form W-8BEN - Certification of Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals) 有美國特徵的非美國控權人控權人已填妥、簽署及填寫日期之W-8BEN表格



We acknowledge and understand RHBHK, and the Relevant Entity(ies) (as defined under the FATCA T&C) under RHB Bank Group (as defined under the FATCA T&C) (RHBHK and Relevant Entity(ies) under RHB Bank Group shall collectively and hereinafter be referred to as "**RHB**") are required to comply with FATCA, and any applicable local or foreign law, legislation or regulation, and/or to satisfy any applicable financial account maintenance, remediation, record keeping, reporting and withholding obligations. We acknowledge, expressly consent, authorize and agree that RHB may and shall gather, store, use, process, disclose and report any Personal Data (as defined under the FATCA T&C) that are provided to RHBHK to the following parties, from time to time and on an ongoing basis during our account relationship with RHBHK and following termination of our account relationship with RHBHK, as required by the applicable laws and regulations governing us and RHB:

- 1) the Internal Revenue Service of the United States Federal Government (the "**US IRS**"), and/or
- 2) applicable agencies and/or authorities under the United States Federal Government (the "**US Federal Government Agencies**"), and/or
- 3) applicable agencies, regulators or authorities in Hong Kong (including but not limited to the Inland Revenue Department of the Hong Kong SAR Government (the "**HK IRD**")), and/or
- 4) the Securities and Futures Commission of Hong Kong (the "**SFC**"), and/or
- 5) any other applicable regulators governing RHB for the purposes of compliance with FATCA and associated regulations (such as regulations and laws necessitating RHB's escalation of suspected money laundering caused by alleged tax evasion activities by us), and/or
- 6) any counterparties, services providers providing services facilitating FATCA compliance, and/or any of their affiliates, agents, employees or delegates, and/or
- 7) the head office of RHBHK, and/or any other companies or offices within RHB and any other person under a duty of confidentiality to the Relevant Entity which has undertaken to keep such information confidential, and their respective professional advisers.

吾等知悉及明白興業銀行集團（已於海外帳戶稅收合規法案條款及條件之內定義）下興業金融香港及相關團體（已於海外帳戶稅收合規法案條款及條件之內定義）（興業銀行集團下興業金融香港及相關團體在本申報表集體地稱「**興業金融**」）須遵守美國《海外帳戶稅收合規法案》及任何適用的當地或外國法律，法例或法規及/或履行任何適用的金融帳戶維持、矯正、紀錄保存、匯報及保留應繳款項責任。吾等在此確認、明確表示同意並授權興業金融可以並且應該按有關法律和法規監管吾等和興業金融的要求下，在吾等與興業金融香港維持帳戶關係期間以及吾等與興業金融香港終止帳戶關係後，不時和持續地收集、存儲、使用、處理、披露和報告任何提供給興業金融香港的個人資料（已於海外帳戶稅收合規法案條款及條件之內定義）予以下方：

- 1) 美國聯邦政府的國家稅務局（「**美國稅務局**」），及/或
- 2) 美國聯邦政府的適用機構及/或當局（「**美國聯邦政府機構**」），及/或
- 3) 香港適用的機構，監管機構或當局（包括但不限於香港特別行政區政府稅務局（「**香港稅務局**」）），及/或
- 4) 香港證券及期貨事務監察委員會（「**證監會**」），及/或
- 5) 任何規管興業金融的其他適用監管機構，以符合美國《海外帳戶稅收合規法案》及相關法規（例如法規和法律要求興業金融上報任何因吾等涉嫌逃稅而引起的懷疑洗黑錢活動），及/或
- 6) 任何交易對手，提供促使符合海外帳戶稅收合規法案的服務提供者及/或任何它們的分支機構、代理人、僱員或代表及/或
- 7) 興業金融香港的總部，及/或興業金融的任何其他公司或辦事處以及對相關團體承諾保密此類信息並負有保密義務的任何其他人員及其各自的專業顧問。

We acknowledge and understand that RHB reserves the right at any time and from time to time to take any action and/or pursue all remedies at its disposal, at its sole and absolute discretion without direct or indirect liabilities to us, and to the extent permitted by applicable laws and regulations, including but not limited to RHBHK exercising its right to suspend and/or terminate our Account, and/or classify our Account as "non-consenting" or "nonparticipating FFI", and/or execute withholding and reporting under FATCA regulations, and/or recover damages and costs from us due to our breach of any of these FATCA obligations stated under the FATCA T&C therein.

吾等知悉及明白興業金融於任何時間和不時保留權利可採取任何行動及/或按其全權和絕對酌情決定不對吾等直接或間接承擔責任，並按適用法律和法規允許的範圍內追討賠償，包括但不限於興業金融香港行使其暫止或終止吾等帳戶的權利，及/或將吾等的帳戶歸類為“非同議”或“非參與外國金融機構”，及/或根據美國《海外帳戶稅收合規法案》規定執行扣繳和匯報，及/或因吾等違反海外帳戶稅收合規法案條款及條件中規定的任何美國《海外帳戶稅收合規法案》上的責任而向吾等追討損害賠償和費用。



We acknowledge and understand that RHB reserves the right to request and we have the obligation to provide additional documentary evidence to RHB within the time period specified to validate the U.S. or non-U.S. status when potential U.S. indicia or change in circumstances is noted by RHB during the course of account relationship. If there is any update to the account information/FATCA status or if updates provided reveal any US indicia or change to FATCA status, we hereby agree to notify and furnish RHBHK with the relevant documentary evidence within 30 days of such change.

吾等知悉及明白，興業金融保留向吾等要求在指定時期內提供額外證明文件予興業金融的權利並且吾等必須跟隨，以助興業金融在維持吾等帳戶關係過程中注意到潛在被視為美國帳戶的特徵或情況有所改變時，興業金融可以驗證美國人或非美國人的身份。如帳戶資料或關於美國《海外帳戶稅收合規法案》的狀況有任何更改，或有關可能被視為美國帳戶的特徵有任何更改，吾等同意於發生更改後的30 天內通知並附上有關證明文件予興業金融香港。

We hereby provide our express written consent to RHBHK and authorize RHB to perform any of the following actions for the purpose of compliance of the requirements under FATCA and other related laws, regulations, codes and rules, if applicable:

1. Withhold any applicable payments in the Account;
2. Report or disclose all relevant information relating to or arising from the Account to the competent regulatory or Government Authority in the relevant jurisdiction(s) including but not limited to US IRS, and/or US Federal Government Agencies, and/or applicable agencies, regulators or authorities in Hong Kong (including but not limited HK IRD and the SFC), and/or any other applicable regulators governing RHB from time to time and after the termination of the account relationship with RHB;
3. Suspend or terminate (with prior notice) our account relationship(s) with RHBHK.

吾等謹此以書面形式明確表示同意興業金融香港並授權興業金融執行以下行動，以符合美國《海外帳戶稅收合規法案》和其他相關法律，法規，規範和規則的要求，如適用：

1. 保留應繳款項；
2. 不時地及與興業金融終止帳戶關係後向相關司法管轄區內的合資格監管或政府當局，包括但不限於美國稅務局及/或美國聯邦政府機構及/或香港適用的機構，監管機構或當局（包括但不限於香港稅務局及證監會）及/或任何規管 興業金融的 其他適用的監管機構報告或披露所有與帳戶有關的資料；
3. 暫止或終止(提前通知) 吾等與興業金融香港的帳戶關係。

This declaration form is prepared in both English and Chinese versions, in the event of discrepancy between the versions, the English version shall prevail.

本申報表編成中、英文版本，兩種文本之間如有歧義，以英文版為準。

<p>Account Name:</p>  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p>Account Number:</p>  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>	<hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p style="text-align: center;">Applicant/ Authorized Signatory</p> <p style="text-align: center;">申請人/獲授權人簽名</p> <p style="text-align: center;">Date日期</p>	<div style="border: 1px solid black; height: 100px; margin: 5px 0;"></div> <p style="text-align: center;">Company Stamp/ Company Seal</p> <p style="text-align: center;">公司印章</p>
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FOR OFFICE USE ONLY 公司專用				
Sales/AE	Customer Service	Back office	Inputted by	Checked by