



RHB Securities Hong Kong Limited (“RHBS”)
興業金融證券有限公司(「興業金融證券」)

U.S. FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”) DECLARATION FORM
Authorized Person/Controlling Person of Entity
美國《海外帳戶稅收合規法案》申報表
法人的獲授權人/控權人

PART A. U.S. INDICIA QUESTIONNAIRE
第一部分持有有可能被視為美國帳戶的特徵問卷

Do you possess any of the following U.S. indicia? Please tick to answer all questions.
閣下是否持有以下可能被視為美國帳戶的特徵?請於適當空格內✓/回答所有問題。

- | | | |
|---|-------------------------------|--------------------------------|
| 1. U.S. citizen/tax resident? (U.S. passport/green card holder, U.S. taxpayer, etc.)
美國公民/美國稅務居民?(美國護照/綠卡持有人,美國納稅人等) | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |
| 2. U.S. place of birth?
出生地為美國? | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |
| 3. U.S. address (residence/mailling/post office box)?
美國地址(居住地址/通訊地址/郵政信箱地址)? | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |
| 4. U.S. telephone number?
美國電話號碼? | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |
| 5. Standing instructions to pay amounts from RHBS Account to an account maintained in the U.S.?
從興業金融證券帳戶支付款項至美國帳戶的常置指示? | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |
| 6. U.S. address of a person granted per currently effective power of attorney or with signatory authority?
根據生效授權書或獲授權簽字人士的美國地址? | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |
| 7. An "in-care-of" address that is the sole address for the Client?
「轉交郵件」地址是客户的唯一地址? | <input type="checkbox"/> No/否 | <input type="checkbox"/> Yes/是 |

PART B. FATCA STATUS SELF-DECLARATION
第二部分 美國《海外帳戶稅收合規法案》狀況自我聲明

I hereby confirm and undertake to RHBS that I have fully **read and understood** the latest *Supplemental Terms and Conditions to the RHB Securities Hong Kong Limited Terms and Conditions of Institutional Professional Investor Account In Relation To Foreign Account Tax Compliance Act* (hereinafter the “**FATCA T&C**”), available under RHBS corporate website. I hereby **confirm my review, understanding, acknowledgement and agreement to all terms of 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, I confirm that I have consulted independent legal and/or tax advice where necessary and acknowledge that RHBS cannot and will not provide any legal and/or tax advice in connection with FATCA requirements and this declaration form. I hereby declare that my FATCA status is as indicated by my selection [by ticking the appropriate box] under the table below:

本人向興業金融證券確定及承諾本人已完全閱讀及明白在興業金融證券網站內所載最新版本之Supplemental Terms and Conditions to the RHB Securities Hong Kong Limited Terms and Conditions of Institutional Professional Investor Account In Relation To Foreign Account Tax Compliance Act (「**海外帳戶稅收合規法案條款及條件**」)。本人謹此確定本人對**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，本人確定本人在必要時已經諮詢過獨立法律及/或稅務的意見，並確認興業金融證券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。本人謹在此通過在以下列表剔選合適的選項來聲明本人的美國《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	Document to be furnished to RHBS 需要提交予興業金融證券的文件
<input type="checkbox"/>	U.S. Individual 美國個人	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"/>	Non-U.S. Individual with U.S. Indicia (answered Yes to any question in part A above) 非美國公民但持有有可能被視為美國帳戶的特徵 (上述第一部分任何問題回答是)	Duly completed and signed Form W-8BEN - Certification of Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals) 已填妥、簽署及填寫日期之W-8BEN表格
<input type="checkbox"/>	Non-U.S. Individual with no U.S. indicia (answered No to all questions in part A above) 非美國公民及沒有有可能被視為美國帳戶的特徵 (上述第一部分全部問題回答否)	Nil 無

I acknowledge and understand RHBS, and the Relevant Entity (ies) (as defined under the FATCA T&C) under RHB Bank Group (as defined under the FATCA T&C) (RHBS 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. I 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 RHBS to the following parties, from time to time and on an ongoing basis during my/our account relationship with RHBS and following termination of my/our account relationship with RHBS, as required by the applicable laws and regulations governing me/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 RHBS, 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.

本人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）下興業金融證券及相關團體（已於海外帳戶稅收合規法案條款及條件之內定義）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。本人在此確認、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本人/吾等和興業金融的要求下，在本人/吾等與興業金融證券維持帳戶關係期間以及本人/吾等與興業金融證券終止帳戶關係後，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證券的個人資料（已於海外帳戶稅收合規法案條款及條件之內定義）予以下各方：

- 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) 興業金融證券的總部，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。



I 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 me/us, and to the extent permitted by applicable laws and regulations, including but not limited to RHBS exercising its right to suspend and/or terminate my/our Account, and/or classify my/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 my/our breach of any of these FATCA obligations stated under the FATCA T&C therein.

本人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本人/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證券行使其暫止或終止吾等帳戶的權利，及/或將本人/吾等的帳戶歸類為“非同意”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》上的責任而向本人/吾等追討損害賠償和費用。

I acknowledge and understand that RHB reserves the right to request and I 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 my/our 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, I hereby agree to notify and furnish RHBS with the relevant documentary evidence within 30 days of such change.

本人知悉及明白，興業金融保留向本人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本人/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，本人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證券。

I hereby provide my express written consent to RHBS 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) my/our account relationship(s) with RHBS.

本人謹此以書面形式明確表示同意興業金融證券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)本人/吾等與興業金融證券的帳戶關係。

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。



By ticking the box below, I signify my express consent for RHB to use my Personal Data (as defined under the FATCA T&C) on the terms of and for the purposes set out in this form and FATCA T&C.

I agree to RHB's use of my Personal Data for the purposes set out in this form and FATCA T&C.

透過剔選以下空格，本人表明同意興業金融按本申報表及/或海外帳戶稅收合規法案條款及條件列明的條款及目的使用本人的個人資料（已於海外帳戶稅收合規法案條款及條件之內定義）。

本人同意興業金融使用本人的個人資料於本申報表及海外帳戶稅收合規法案條款及條件所述目的。

Account Number 帳戶號碼:

Account Name 帳戶名稱:

Name of 姓名:

Authorized Signatory 獲授權人

Controlling Person 控權人

Signed by

簽名

Applicant

申報人

Date

日期

FOR OFFICE USE ONLY 公司專用

Sales	Back office	Inputted by	Checked by
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