

客戶資料表格 (公司戶口) Customer Information Statement (Corporate Account)

1. 戶口種類 Account Information (請在適當空格加✓ Please tick appropriate box(es))

1.1 賬戶類別 Account Type(s):	<input checked="" type="checkbox"/> Securities Account (Cash) 證券賬戶 (現金) <input checked="" type="checkbox"/> Securities Account (Margin) 證券賬戶 (保證金) <input type="checkbox"/> Futures Account 期貨賬戶 <input type="checkbox"/> Global Trading Account 環球股票賬戶
1.2 客戶種類 Customer Type: (只選一項) (Please select either one)	<input checked="" type="checkbox"/> 公司/機構 Corporate/ Institution <input type="checkbox"/> 獨資/合夥 Sole Proprietorship/ Partnership <input type="checkbox"/> 有限責任公司 (只限海外公司) Limited Liability Company (LLC) (Overseas Company Only) <input type="checkbox"/> 有限責任合夥 (只限海外公司) Limited Liability Partnership (LLP) (Overseas Company Only) <input type="checkbox"/> *已於證監會註冊之持牌法團/註冊機構 中央編號 CE No.: _____ *Licensed Corporation/Registered Institution registered with SFC <input type="checkbox"/> 客戶戶口 Client Account <input type="checkbox"/> 公司戶口 House Account <input type="checkbox"/> *海外持牌券商 Foreign Regulated Broker-Dealer <input type="checkbox"/> 客戶戶口 Client Account <input type="checkbox"/> 公司戶口 House Account *如開設戶口為客戶賬戶, 則不用填寫第4,5,6 & 9 部分 *Sections 4,5,6 & 9 will not be applicable if the account type is a "Client Account".
1.3 僅供海外持牌券商填寫: For Foreign Regulated Broker-Dealer Only:	(i) 地區 Region: _____ 註冊編號 Entity No.: _____ Eg. USA, Japan 註冊編號類別 Type of Entity No.: _____ Eg. SEC No. _____ (ii) 閣下有否提供結算服務? Are you providing clearing service? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No (iii) 如為美國持牌券商, 閣下是否美國證券投資者保護公司成員? If you registered in USA, are you a member of SIPC? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

2. 公司資料 Corporate Information

公司名稱 Name of Company	(English) ABC Co. Limited
	(中文) ABC 有限公司
於註冊/成立國家之註冊地址 Registered Address in Country of Incorporation/ Establishment:	Room 5001, 50/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong/ 香港上環干諾道西3號億利商業大廈5001室
總辦事處/通訊地址 Principal Office/ Correspondence address:	Room 5001, 50/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong/ 香港上環干諾道西3號億利商業大廈5001室
聯絡電子郵件地址 E-mail address:	abclimited@com.hk
公司電話 Office Phone No.:	87654321
傳真號碼 Fax No.:	87654311
所有通訊及賬單請寄交至: (只選一項) All Correspondence and Statement to be sent to: (Please select either one)	
<input checked="" type="checkbox"/> E-statement 電子結單 (透過勝利網站自行查閱/下載日結單及月結單) (To check/download your daily/monthly statement in electronic format via "VSCL" website)	
<input type="checkbox"/> 郵寄往通訊地址 Mailing to Correspondence Address	
業務性質 Nature of Business:	Trading/貿易
註冊地點及日期 Place and Date of Incorporation:	1/1/2019
公司註冊號碼 Certificate of Incorporation No.:	
商業登記號碼 Business Registration No.:	1234567

3. 董事 Director				
董事姓名 Name of Director	香港身份證/護照號碼 HKID Card/ Passport No.	出生地點/國籍 Place of Birth/ Nationality	聯絡電話號碼 Contact No.	住宅地址 Residential Address
陳曉明/Chan Siu Ming	Z123456(7)	HK/CHN香港/中國	87651234	信德中心6801室/Room 6801, Shun Tak Centre
4. 財務及投資摘要 Financial and Investment Summary				
繳足股本 Paid-up Capital: HKD100,000				
最近經核數師作實之稅後盈/虧 Profit/Loss after tax based on the latest audited account(s)	<input type="checkbox"/> HK\$0-HK\$500,000	<input type="checkbox"/> HK\$500,001-HK\$3,000,000	<input checked="" type="checkbox"/> HK\$3,000,001-HK\$5,000,000	
	<input type="checkbox"/> HK\$5,000,001-HK\$30,000,000	<input type="checkbox"/> >HK\$30,000,000	<input type="checkbox"/> <HK\$0: _____	
最近經核數師作實之淨資產值 Net Asset based on the latest audited account(s)	<input type="checkbox"/> <HK\$1,000,000	<input type="checkbox"/> HK\$1,000,000-HK\$10,000,000	<input checked="" type="checkbox"/> HK\$10,000,001-HK\$50,000,000	
	<input type="checkbox"/> HK\$50,000,001-HK\$100,000,000	<input type="checkbox"/> >HK\$100,000,000		
資金來源地 Place of Origin of the Funding Source:				
<input checked="" type="checkbox"/> HKSAR中國香港特別行政區 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> U.S.美國 <input type="checkbox"/> Others 其他: _____				
資金來源 Source(s) of Funds:	<input checked="" type="checkbox"/> 公司擁有者 Business Owner		<input type="checkbox"/> 銷售款項 Sales Proceeds	<input type="checkbox"/> 投資獲利 Investment Income
	<input type="checkbox"/> 財務貸款 Financial Loan		<input type="checkbox"/> 其他 Others: _____	
投資經驗 Investment Experience:	<input type="checkbox"/> 沒有 Nil		<input checked="" type="checkbox"/> 股票 Stocks	<input type="checkbox"/> 期權 Options
			<input checked="" type="checkbox"/> 債券 Bonds	<input type="checkbox"/> 期貨 Futures
(可選多於一項) (Can select more than one option)			<input type="checkbox"/> 基金 Fund	<input type="checkbox"/> 其他衍生工具 Other Derivatives
投資目標 Investment Objective:	<input checked="" type="checkbox"/> 增長 Growth		<input checked="" type="checkbox"/> 收入 Income	<input type="checkbox"/> 對沖 Hedging
	<input type="checkbox"/> 投機 Speculation		<input type="checkbox"/> 均衡 Balanced	<input type="checkbox"/> 其他 Others: _____
(可選多於一項) (Can select more than one option)				
預期投資年期 Expected Investment Horizon:	<input type="checkbox"/> 短線 Short Term (1年內 Less than 1 year)		<input type="checkbox"/> 中線 Medium Term (1至3年 1-3 years)	
	<input checked="" type="checkbox"/> 長線 Long Term (3年以上 Over 3 years)			
5. 客戶投資概況及對衍生產品的認識 Client's Investment Profile and Knowledge of Structured and/or Derivative Products				
曾買賣產品及投資經驗 Investment Products and Investment Experience:				
<input checked="" type="checkbox"/> Stocks 股票	<input checked="" type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 >10 years
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 >10 years
<input type="checkbox"/> Warrants 認股權證 (窩輪)	<input type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 >10 years
<input type="checkbox"/> Futures 期貨	<input type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 >10 years
<input type="checkbox"/> Options 期權	<input type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 >10 years
<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 >10 years
6. 結構性及/或衍生工具產品的認識評估 Assessment on Knowledge of Structured and/or Derivative Products				
<input type="checkbox"/> 控制該戶口或負責投資決定的人員或職員 ("負責人") 於過去3年內已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)				
The person or the staff who is in control of the account or responsible for making the investment decision ("Responsible Person") underwent training or attended courses on structured and/or derivative products within the past three years that provide general knowledge of the nature and risk of derivatives (e.g. courses offered by academic or financial institutions)				
<input type="checkbox"/> 負責人現時或過去3年內擁有與衍生產品有關的工作經驗				
Responsible Person have current or previous work experience within the past three years related to structured and/or derivative products				
<input type="checkbox"/> 負責人於過去3年曾執行5次或以上有關衍生產品的交易				
Responsible Person have executed five or more transactions in structured and/or derivative products within the past three years				
如客戶沒有以上任何一項經驗及認識, 客戶將被視作對結構性及/或衍生工具產品沒有認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶需要留意結構性及/或衍生工具產品交易有關之風險。				
For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivative product(s). Before trading in structured and/or derivative product(s), the attention of client is drawn to the risks associated with structured and/or derivative product(s).				
結構性及/或衍生工具產品包括 (但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣基金、期貨及期權及股票期權等。				
Structured and/or derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Options, etc.				

有關結構性及/或衍生工具產品確認 Acknowledgement Relating to Structured and/or Derivative Products

客戶確認已細心閱讀及完全明白在「附加風險披露聲明書」所載的內容。如果客戶決定買賣該等結構性及/或衍生工具產品時，客戶同意承擔有關風險。客戶確認，在買賣衍生工具產品前，客戶將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。客戶明白，如客戶並沒有結構性及/或衍生工具產品的知識或經驗，勝利證券有限公司（「勝利證券」）並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

I/We acknowledge that I/we have carefully read and fully understand the content of "Additional Risk Disclosure statement". If I/we decide to trade the Structured and/or Derivative Product(s), I/we agree to bear the risks involved. I/We confirm that I/we shall make our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivative Product(s), and that I/we have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/or Derivative Product(s). I/We understand that Victory Securities Company Limited ("VSCL") does not encourage the clients to trade Structured and/or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/or Derivative Products.

7. 常設授權（發出支票及電話轉賬） Standing Authority (Issue of Cheque & Transfer of Fund by Phone)

款項將根據客戶的提款指示轉入以下銀行賬戶 Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

本人/吾等願意對本人/吾等所發出指示的絕對準確性負上全部責任，特別是有關本人/吾等之受款銀行賬戶名稱及號碼之詳細資料。

對於因輸入的資料不準確而導致款項錯誤存入或轉出，本人/吾等將不會為收回款項之延誤或追討賠償而向 貴公司作出要求、索償或訴訟，貴公司毋須為此負上任何責任。

本人/吾等確認及同意本常設授權（發出支票及電話轉賬）自即日起生效直至另行通知為止。

I/We accept full responsibility for the absolute correctness of my/our instruction, in particular, the absolute correctness of my/our account name and number, particulars of the payee bank as the case may be.

I/We will not demand, claim or prosecute against VSCL for recovery of damage and generally hold VSCL harmless in the event that the funds were wrongly deposited or paid out on delay due to mistakes in the entered particulars.

I/We acknowledge and agree that this Standing Authority (Issue of Cheque & Transfer of Fund by Phone) is effective from the date hereof until further notice.

Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	Account No. 賬戶號碼
HKD (1)	匯豐 HSBC	ABC Co. Limited	1234567890
HKD (2)			
USD (1)			
CNY (1)			
CNY (2)			

8. 資料披露 Disclosure of Information

8.1 相關身份披露 Disclosure of Identity

i. 貴公司之董事、合夥人或主要股東是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

Are your directors, partners or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

☒ 否 ☐ 是 (請詳述)
Yes (Please provide details): (貴公司) 該人士姓名 機構名稱
(Your company) Name of the person Name of the institution

貴公司及上列人士同意勝利證券可於提供任何服務予 貴公司前接觸上述人士並須得到該人士同意。Your company and the above person(s) agree that VSCL may approach the above person(s) to obtain its consent before providing any service to your company.

ii. 貴公司之董事、合夥人或主要股東有沒有親屬於勝利證券工作？

Do any of your directors, partners or substantial shareholders have relative(s) working in VSCL:

☒ 否 ☐ 是 (請詳述)
Yes (Please provide details): (貴公司) 該人士姓名 親屬名稱 關係
(Your company) Name of the person Name of the relative Relationship

8.2 最終受益於交易及承擔風險人士 Person Ultimately Benefiting from the Transactions and Bearing the Risks:

(如開設戶口為客戶賬戶，請在「其他」空格內加✓，然後只須在名稱上填寫「客戶」便可)

(If the account type is a "Client Account", please tick the "Others" box and fill in "Clients" in the Name column only.)

☒ 本公司(本公司不是 ☐ 其他 (請詳述/ 提供附件) 名稱 身份證/ 護照號碼
替第三者作為公司代理 Others (Please provide details/ Name: ID/ Passport No.:
人處理帳戶) supporting documents): 地址
The Company (we are not acting as nominee Address:
company for a third party) 電話 Phone No.: () -

8.3 最終負責發出指示的人士 Person Ultimately Responsible for Originating Instructions

(如開設戶口為客戶賬戶，請在"其他"空格內加✓，然後只須在名稱上填寫"客戶"便可)

(If the account type is a "Client Account", please tick the "Others" box and fill in "Clients" in the Name column only.)

<input checked="" type="checkbox"/> 本公司(本公司不是 替第三者作為公司代理 人處理帳戶) The Company (we are not acting as nominee company for a third party)	<input type="checkbox"/> 其他 (請詳述/ 提供附件) Others (Please provide details/ supporting documents):	名稱 Name: _____ 地址 Address: _____ 電話 Phone No.: () - _____	身份證/ 護照號碼 ID/ Passport No.: _____
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9. 不記名股票聲明 Bearer Share Declaration

9.1 貴公司有發行不記名股票嗎?
Has your company issued any bearer shares?
☐ 有 Yes (請跳至問題9.2 Please go to question 9.2)
☒ 沒有 No (請跳至問題9.3 Please go to question 9.3)

9.2 請問不記名股票是否保存於保管人?
Is the bearer share deposited under a custodian?
☐ 是 Yes (請跳至問題9.2(a) Please go to question 9.2(a))
☐ 否 No (請跳至問題9.2(b) Please go to question 9.2(b))

9.2(a) 請提供保管人的名稱。Please provide the name of the custodian. _____
(請保管人填寫不記名股票聲明書 Please ask your custodian to complete the Bearer Share Custodian Declaration Form)

9.2(b) 請提供不記名股票所佔的擁有權百分比及實益持有人名稱。
Please provide the percentage of bearer share ownership which constitute to the ownership of your company, and provide full name(s) of bearer share owner(s).

百分比 Percentage	實益持有人名稱 Beneficial Owner Full Name
_____	_____
_____	_____
_____	_____

9.3 請問貴公司是否能發行不記名股票? Is your company capable of issuing bearer shares?
☐ 是 Yes (如是，請在空格上加✓ 作出以下聲明。 If yes, please make the following declaration by ticking the box.)
聲明 Declaration:
☐ 如我/我們將來發行不記名股票，會盡快以書面通知勝利證券有限公司。
I/ We will promptly provide written notification to VSCL in case of the issuance of bearer shares.

☒ 否 No

10. 相關保證金融資賬戶 (僅適用於證券賬戶(保證金)) Related Margin Financing Account(s) (For Securities Account (Margin) only)

*勝利證券會於每年年底進行保證金戶口審閱，公司有權因應閣下的交易行為調整保證金信貸限額

*VSCL would conduct clients' margin review at the end of each year. VSCL reserves the right to adjust your margin credit limit accordingly based on your trading activities.

1. 貴公司是否與另一勝利證券的公司保證金客戶均屬同一公司集團成員?
Are your company and another corporate margin client of VSCL members of same group of companies?
☒ 否 No ☐ 是 Yes
戶口名稱 Name of Account _____ 戶口號碼 Account No. _____

2. 貴公司是否控制勝利證券其他保證金帳戶的35%或以上之表決權?
Is your company in control of 35% or more of the voting rights of another corporate margin client of VSCL?
☒ 否 No ☐ 是 Yes
戶口名稱 Name of Account _____ 百分比 Percentage (%) _____ 戶口號碼 Account No. _____

3. 另一勝利證券的保證金客戶或公司保證金客戶有否控制 貴公司35%或以上的表決權?
Does another margin client or corporate margin client of VSCL control 35% or more of the voting rights of your company?
☒ 否 No ☐ 是 Yes
戶口名稱 Name of Account _____ 百分比 Percentage (%) _____ 戶口號碼 Account No. _____

11. 環球股票交易系統申請 (僅適用於環球股票賬戶) Global Trading System Application (For Global Trading Account Only)

本人欲申請環球股票交易系統並選擇環球市場 I/We would like to apply for the Global Trading System and choose the following markets:

<input checked="" type="checkbox"/> 中華通 China Connect	<input type="checkbox"/> B 股 (上海/深圳 B 股) Shanghai/Shenzhen B share	<input type="checkbox"/> 日本股票 Japan Stocks	<input type="checkbox"/> 加拿大股票 CA Stocks
<input checked="" type="checkbox"/> 美股 US Stocks	<input type="checkbox"/> 英國股票 UK Stocks	<input type="checkbox"/> 澳洲股票 AUS Stocks	<input type="checkbox"/> 歐洲/歐元股票 EU Stocks
<input type="checkbox"/> 其他地方股票 (請註明) Others: _____			

本人已閱讀附帶的風險披露聲明，並明白及接受參與環球股票交易所涉及的風險。(文件編號AT0805的第21-24頁)

I/We have read and I/We understand the Risk Disclosure Statement of the Derivative Products provided to me by "VSCL". I/We fully understand the underlying risk(s) associated with/arising from global trading. (Document Number AT0805, P.21-24)

12. 董事局委任決議書(如適用) Board Resolution (if applicable)

公司名稱 Name of Company ABC Co. Limited

本公司董事會在 Minutes of a Meeting of the Board of directors of the Company held at

地址 Address Room 5001, 50/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong/香港上環干諾道西3號億利商業大廈5001室

並於 on (日期 Date 1/1/2019) 舉行的董事會會議紀錄。

出席人 (出席董事全名)

Present (Full name of Directors present): 陳曉明/Chan Siu Ming

會議主席 Chairman of the meeting: 陳曉明/Chan Siu Ming

通知書及法定人數 Notice and Quorum

有關通知已按要求發出，且與會人數符合會議法定人數的要求，主席宣佈會議有效。

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly constituted.

1. 授權簽署人 Signing Officer

茲決議本公司將於勝利證券有限公司開立證券交易/期貨交易帳號，並且授權下列人士為帳戶授權簽署人，即時生效。任何___位授權簽署人可代表本公司：(i)簽署、簽訂及交付與帳戶相關之所有協議或文件；及(ii)簽發指令從/向帳戶提取/轉帳任何資金、證券、抵押品或其他資產，及處理所有與帳戶結算相關事宜。

It was resolved that with immediate effect a securities trading/ futures trading account be opened with VSCL and that the following person(s) is/ are appointed as signing officer of the Company. Any ___ of the signing officers can act on behalf of the Company: (i) to sign, execute and deliver all agreements and documents in relation to the account; and (ii) to sign instruction to transfer/ withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account.

姓名 Name	身份證號碼/護照號碼 HKID Card/ Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.
<u>陳曉明/Chan Siu Ming</u>	<u>Z123456(7)</u>	<u>陳</u>	<u>87651234</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. 交易人 Trading Officer

茲決議下列人士被授權為本公司帳戶的交易人，並代表本公司進行買賣(包括透過以口頭、電子、書面或其他方式)，即時生效。

It was resolved that with immediate effect, the following person(s) is/ are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company:

姓名 Name	身份證號碼/護照號碼 HKID Card/ Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.
<u>陳曉明/Chan Siu Ming</u>	<u>Z123456(7)</u>	<u>陳</u>	<u>87651234</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

會議結束 End of Meeting

沒有進一步的討論，主席宣佈會議結束。

There being no further business, the Chairman declared the meeting closed.

商務私章式樣 (如適用)

Company Chop Specimen (if applicable)

陳
主席簽署 Signature of Chairman

13. E-trade Application 使用勝利網上交易申請 **(This part is not mandatory for account opening) (此部分為非必須要填寫)*

本人/吾等欲申請 貴公司提供之網上交易服務，並將有關資料提供如下。本人/吾等確認已閱讀風險披露聲明，完全明白及同意承擔網上交易所涉及之風險。
I/We would like to apply for e-trade service provided by your company and append hereunder relevant information for your consideration. I/we acknowledge that I/we have read the Risk Disclosure Statement of this application, fully understood and agreed to bear the risks involved in e-trade.

所需服務: ☒ 網上交易功能 E-trade function

Service Required:

客戶佣金及最低佣金: _____

Client Commission Rate and Minimum Commission:

結算方法:

Settlement Method:

☒ 自動結算 Autosettlement

☐ 銀行自動轉賬 Bank Autopay

(只適用於證券賬戶(保證金))

申請信貸限額 Applied Credit Limit: _____

(填寫此欄前請諮詢客戶主任) (Please consult your Account Executive before filling in this column)

Notes of E-statement 電子結單附註

* (i) 選擇收取「電子結單」之賬戶將不獲寄發相關結單的列印本。該等證券賬戶如日後申請補發結單的列印本，須按本公司當時之收費表相關項目繳付費用。
《綜合日結單》須於30個曆日內(如: 2018年1月1日之《綜合日結單》須於2018年1月31日或之前)下載;

(ii) 《月結單》則須於12個曆月內(如2018年1月份之《月結單》須於2018年12月31日或之前)下載。所有結單下載只適用「電子結單」服務生效日起計，過往結單均不能下載;

(iii) 客戶同意當「電子結單」備妥並開始供客戶下載時，將被視為已送達客戶，不論客戶其後有否審閱及/或儲存該等結單; 另客戶同意就有關結單所列交易資料或存在錯誤之查詢，客戶須於該結單備妥並開始供客戶下載首日起計之七天內向本公司提出。

(iv) 所有電子通訊，均在本公司記錄顯示已成功發送或已重發至客戶於本公司登記之電郵地址時視為已送達客戶。

(v) 申請成功後，本公司會向客戶所提供之電郵地址發送「確認」電郵。客戶若於呈交申請表五個工作天後仍未收到該「確認」電郵，請致電本公司熱線 2525 2437。

* (i) Those accounts opting for electronic statements shall not be entitled to hardcopy ones from the effective date. If account holders apply for a previous hardcopy statement on a future date, a fee shall be charged in accordance with the then enforceable Service Fee Table. Daily Combined Statements are available to be downloaded within 30 days after its initial issuance date. (For instance, your Daily Combined Statement as of 1 March 2018 can only be downloaded by 31 March 2018.)

(ii) Monthly Statements are available to be downloaded within 12 calendar months after its month of issuance. (For instance, your Monthly Statement as of January 2018 can only be downloaded by 31 December 2018.) Electronic statements as of the dates starting from the effective date of "electronic statement service" are open to downloading. Electronic statements as of the dates prior to the effective date are not open to downloading.

(iii) When electronic statements are available to be downloaded by clients, it is deemed to be successfully delivered regardless of whether the clients have reviewed or kept in record the statements themselves. Shall a client would like to raise enquiries about the correctness of the information shown on their statements, they should do so within 7 days after the date that the statement concerned is available to be downloaded.

(iv) All electronic communications to clients shall be deemed to be successfully delivered if our Company's own record shows that it has been already sent or resent to the email addresses registered by clients.

(v) A confirmation email will be sent to the email address provided by the client upon successful application. If a client has not received the confirmation email within 5 working days after submission of application, please dial our hotline number 2525 2437.

14. 使用個人資料作直銷用途 Use of Personal Data in direct marketing

本人承認和同意以下各項:

(1) 「勝利證券」有意使用客戶個人資料作直銷用途，而這是包含在按照《個人資料(私隱)條例》(第486章)及任何適用規則、規例及指引的基準下處理和處置客戶、實益擁有人及就賬戶作出指示的有關人士的任何個人資料。

(2) 「勝利證券」所持有客戶的名字、聯絡資料、產品及其他服務組合資料、交易模式和行為、財務背景及人口數據，可不時由「勝利證券」用作直銷用途，並須就此徵求客戶同意(包括客戶對此表示不反對)。

(3) 本人即明確表示同意「勝利證券」使用本人的個人資料作直銷用途，但本人明白倘本人不同意「勝利證券」使用本人的個人資料及倘接獲本人之書面或口頭要求，該使用將停止。本人亦明白如本人不欲將本人的個人資料用作上述直銷用途，本人應在下段的方格內加上“✓”號，以表示不同意。

☐ 本人不同意使用我的個人資料作直銷用途

☐ 本人不同意「勝利證券」轉交我的個人資料作直銷用途

(4) 除就上述服務、產品及項目進行銷售外，「勝利證券」亦有意向上文第3段所述的所有或任何人士提供上文第2段所述的個人資料，以供彼等在銷售服務、產品及項目時使用，並須就此徵求客戶的書面同意(包括客戶對此表示不反對)。

(5) 「勝利證券」或會因按上文第4段所述向其他人士提供個人資料而收取金錢或財物，而當「勝利證券」按第4段徵求客戶的同意或不反對表示時，「勝利證券」將通知客戶是否會因向其他人士提供個人資料而收取任何金錢或其他財物。

(6) 若客戶不願「勝利證券」使用或向其他人士提供客戶的個人資料作上述直銷用途，客戶可通知「勝利證券」以行使其選擇退出權，而「勝利證券」將應客戶的要求不再使用其個人資料作直銷用途而且不收取費用。

(7) 客戶同意向實益擁有人及有關人士(即「勝利證券」在向客戶提供服務過程中可能不時向其收集個人資料的人士)傳閱在證券賬戶協議內有關《個人資料(私隱)條例》的通知。

I acknowledge and agree to all the following

(1) "VSCL" intends to use the Customer's data in direct marketing on the basis that any personal data of the Customer, the Beneficial Owner(s) and the Relevant Person(s) for giving instructions for the Account(s) will be handled and dealt with in compliance with the Personal Data (Privacy) Ordinance (Cap.486) and any applicable rules, regulations and guidelines.

(2) The name, contact details, products and other service portfolio information, transaction pattern and behavior, financial background and demographic data of the Customer held by "VSCL" may from time to time be used by "VSCL" in direct marketing and "VSCL" requires the Customer's consent (which includes an indication of no objection) for that purpose.

(3) I expressly consent to the use of my personal data for the purpose of direct marketing by "VSCL"; but I understand that "VSCL" cannot make such use of my personal data without my consent and will cease upon my written or verbal request. I further understand that if I do not wish to consent to my personal data being used for the said direct marketing purpose, I should indicate that no consent is given, by ticking the boxes below.

☐ I do not wish "VSCL" to use my personal data for direct marketing

☐ I do not wish "VSCL" to transfer my personal data for direct marketing

(4) In addition to marketing the above services, products and subjects itself, "VSCL" also intends to provide the personal data described in paragraph 2 above to all or any of the persons described in paragraph 3 above for use by them in marketing those services, products and subjects, and "VSCL" requires the Customer's and "VSCL" requires the Customer's written consent (which includes an indication of no objection) for that purpose.

(5) "VSCL" may receive money or other property in return for providing the personal data to other persons as mentioned in paragraph 4 above and, when requesting the Customer's consent or no objection as described in such paragraph 4, "VSCL" will inform the Customer if it will receive any money or other property in return for providing the personal data to the other persons.

(6) If Customer does not wish "VSCL" to use or provide the Customer's personal data to other persons for use in direct marketing as described above, the Customer may exercise its opt-out right by notifying "VSCL" and "VSCL" will cease to use the Customer's personal data for direct marketing purposes without charge if the Customer requests so.

(7) Customer agrees to circulate the Notice relating to the Personal Data (Privacy) Ordinance in the Securities Account Agreement to the Beneficial Owner(s) and the Relevant Person(s) whom "VSCL" may need to collect their personal data from time to time in the course of "VSCL" provision of services to the Customer.

15. 關於風險披露聲明的確認 Acknowledgement regarding Risk Disclosure Statement

(1) 我/我們明白不能以第三者支票交收。

(2) 我/我們確認，我/我們是該賬戶的實益所有人，並且不會為任何第三者的利益或按任何第三者的指示而操作該賬戶。

(3) 我/我們明白此申請書所要求的資料是根據個人資料(私隱)條例的規定而提供的，及該條例容許 貴公司收集及紀錄客戶的資料為日後參考之用及達到履行 貴公司作為註冊交易商的責任的目的。

(4) 我/我們亦明白我/我們須隨時應 貴公司的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。

(5) 我/我們同意遵守聯交所、香港證券結算有限公司、新加坡股票交易所或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的股票的買賣作出並不時修訂的監管規則及規例。

(6) 我/我們授權 貴公司對我/我們進行信用查詢或查核，以確認我/我們的財務狀況及/或投資目的。

(7) 我/我們謹此授權 貴公司，在我/我們仍然在貴公司維持有賬戶的整段時間內，為批准此申請書或其他貴公司認為適合的目的，核實或與任何貴公司認為恰當的第三者交換此文件中所載的資料及其他關乎我/我們的詳細及銀行賬戶的資料。

(8) 貴公司有權為任何目的全面依賴上述之資料及聲明，直至貴公司收到以書面形式發出之更改通知為止。貴公司已獲授權隨時接觸任何人仕，包括我/我們的銀行，經紀或信貸機構，以達核證在本協議書上所載的資料的目的。

(9) 如本人選擇收取電子日結單，則 貴公司無須再寄付日結單列印本與本人。

(10) 假如貴公司向我們招攬銷售或建議任何金融產品，該金融產品必須是貴公司經考慮我/我們的財政狀況、投資經驗及投資目標後而認為合理地適合我/我們的。本協議的其他條文或任何其他貴公司可能要求我/我們簽署的文件及貴公司可能要求我/我們作出的聲明概不會減損本條款的效力。

(1) I am/We are aware that I/We shall not settle any trading transaction with third party cheques.

(2) I/We confirm that I/we are the beneficial owner(s) of the Account and will not operate the Account for the benefit of, or on the instructions of, a third party.

(3) I/We understand that the information requested in this application is supplied pursuant to the Personal Data (Privacy) Ordinance which permits you to collect and record clients' information for future reference, and for the purpose of discharging "VSCL"'s obligation as a registered dealer.

(4) I/We further understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by "VSCL".

(5) I/We agree to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, the Stock Exchange of Singapore or any regulatory bodies from time to time governing the purchase and sale of shares quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.

(6) I/We hereby authorise "VSCL" to conduct a credit enquiry or check on me/us for the purpose of ascertaining my/our financial situation and/or investment objectives.

(7) I/We hereby authorize "VSCL" to verify and exchange the information contained herein and such other information relating to my/our particulars and my/our bank accounts between "VSCL" and such other third parties as "VSCL" may deem appropriate for the purpose of approving this application and for such other purposes as "VSCL" may deem fit as long as I/we shall retain an account with "VSCL".

(8) "VSCL" are entitled to rely fully on such information and representations for all purposes unless "VSCL" receive notice in writing of any change. "VSCL" is authorised notice in writing of any change. "VSCL" is authorised at any time to contact anyone, including our banks, brokers or any credit agency, for purposes of verifying the information provided herein.

(9) If I/we choose to receive daily account statements by e-statement method, I/we agree that "VSCL" need not deliver the such original statements to me/us.

(10) If "VSCL" solicit the sale of or recommend any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this agreement or any other document "VSCL" may ask me/us to sign and no statement "VSCL" may ask me/us to make derogates from this clause.

由於通訊擠塞及其他原因，任何電子渠道和互聯網屬不可靠通訊媒體，而此不可靠本質並非 貴公司所能控制。本人確認由於有此不可靠本質，在傳送及接收指令及其他通訊時會存在保安風險及無法傳送及接收以及延誤風險，影響資料的完整性和私隱性，或導致無法或延誤執行指令及/或執行指令時之價位有別於指令發出時之價位。本人進一步確認及同意，在任何通訊中均存在指令遭人截取、誤解或出錯之風險，而此等風險須由本人全部承擔。本人確認及同意指令一經發出，通常不能撤銷。本人明白及同意承擔所有經電子方式進行買賣及交易之風險。

All electronic channel and internet is, due to unpredictable traffic congestion and other reason, an inherently unreliable medium of communication and that such unreliability is beyond the control of the company. I/We acknowledge that, as a result of such unreliability, there are security risks and risks of failure or delay in the transmission and receipt of instructions and other information and that this may result in influence on integrity and privacy of data, failure or delay in the execution of instructions and/or the execution of instructions at prices different from those prevailing at the time the instructions were given. I/We further acknowledge and agree that there are risks of interception of instructions as well as of misunderstanding or errors in any communication and that such risks shall be absolutely borne by me/us. I/We acknowledge and agree that it is not usually possible to cancel an instruction after it has been given. I/We understand and agree to bear all risks involved in trade and transaction entered through electronic means.

請參閱附帶的風險披露聲明。(文件編號AT0805的第12-18頁)

Please read the relevant Agreement Terms and Risk Disclosure Statement (Document Number AT0805, P.12-18)

16. 客戶聲明 Customer's Declaration

本人/吾等陳述及保證，客戶資料表內的資料均為真實、完整及準確，並明白勝利證券有限公司(「勝利證券」)將根據上述資料評估本人/吾等是否擁有對相關投資產品之知識及經驗，以符合《證券及期貨事務監察委員會持牌人或註冊人操作守則》之有關要求。本人/吾等已閱讀及明白「勝利證券」提供的有關交易衍生工具的風險披露文件。本人/吾等作出投資決定前已充分認識交易相關投資產品所附帶的風險，並願意承擔交易相關投資產品的所有風險。「勝利證券」有權完全依賴該等資料作一切用途，除非其收到關於任何變動的書面通知。「勝利證券」有權隨時聯絡任何人士(包括本人/吾等的銀行、經紀或任何信用調查機構)以核實本客戶資料表內的資料。

I/We represent and warrant that the information on this Customer Information Form is true, complete and accurate. In addition, I/We understand that "VSCL" will rely on the above stated information for assessment of my/our knowledge of and experience in the relevant derivative products in order to satisfy the corresponding requirements under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission as applicable from time to time. I/We have read and I/We understand the Risk Disclosure Statement of the Derivative Products provided to me by "VSCL". I/We fully understand the underlying risk(s) associated with/arising from trading the relevant derivative products before I/We make the decision to invest in the relevant derivative products, and I am/We are willing and able to assume all the risk associated with/arising from trading the relevant derivative products. "VSCL" is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. "VSCL" is authorised at any time to contact anyone, including my/our banks, brokers, or any credit agency, for the purpose of verifying the information provided on the Customer Information Form.

本人/吾等確認收到 貴公司的協議書條款及風險披露聲明書，並同意接納本協議書及聲明書之內容。(文件編號AT0805的第1-33頁)

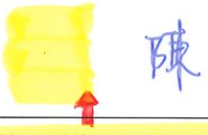
I/We hereby confirm that I/we have received this Agreement terms and Risk Disclosure Statement, and also confirm that I/we accept the content of this Agreement and Statement. (Document Number AT0805 P.1-33).

客戶確認已按照客戶選擇的語言(中文或英文)獲得風險披露聲明及已獲邀閱讀該風險披露聲明(包括保證金交易條款及條件、環球股票交易所涉及的風險以及期貨交易須知)、提出問題及徵求獨立的意見(如客戶有此意願)。

The customer acknowledges that the Risk Disclosure Statement was provided in a language of the customer's choice (Chinese or English) and the customer was invited to read the Risk Disclosure Statement (including Terms and Conditions for Margin Trading, Global Trading and Futures Trading) and to ask questions and take independent advice if the customer wishes.

*簽署式樣將被用作核證任何就戶口運作之書面指示

*Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).

	(公司專用 For Office Use Only)
客戶簽署並蓋章(並作為簽署式樣) Client Authorized Signature(s) with Company Chop (also as Specimen Signature)	見證人簽署 Signature of Witness
日期: Date: 01 JAN 2019	見證人姓名: Name of Witness:

由持牌代表填寫 To be completed by Licensed Representative

本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(中文或英文)提供客戶協議書、風險披露聲明及電子交易服務條款(如適用)之副本及邀請客戶閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立意見(如客戶有此意願)。I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable) in a language of the Client's choice (Chinese or English) and invited the client to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person: 持牌人士簽署:	CE No.: 中央編號:	Name of Licensed Person: 持牌人士姓名:	Date: 日期:
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For Office Use Only 公司專用			
合約文件核對表 Agreement Checklist			
		香港註冊 【必須】	海外註冊 【必須】
1. 賬戶開立表格 (包括 簽字頁及客戶資料表) Account Opening Form (including Signature Page & Client Information Statement)		<input type="checkbox"/>	<input type="checkbox"/>
2. 董事會議決驗證副本 Certified Copy of Resolutions		<input type="checkbox"/>	<input type="checkbox"/>
3. 下列人士身份證副本或護照副本及地址證明 (近三個月): 1) 董事 2) 獲授權人 3) 獲授權簽署人士 4) 最終主要實益持有人 (擁有百分之十或以上公司最終權益) Copies of ID/ Passport and address proof (within latest 3 months) of the followings: 1) Directors 2) Authorized Persons 3) Authorized Signatories 4) ultimate principal beneficial owners (holds 10% or more ultimate beneficial interest of the client)		<input type="checkbox"/>	<input type="checkbox"/>
4. 公司註冊證書及其後的公司更改名稱證書 (如適用) Certificate of Incorporation and subsequent Certificate of Change of Name (if applicable)		<input type="checkbox"/>	<input type="checkbox"/>
5. 公司章程或規則 Memorandum & Articles of Association		<input type="checkbox"/>	<input type="checkbox"/>
6. 公司地址證明 Address Proof		<input type="checkbox"/>	<input type="checkbox"/>
7. 董事記錄 Register of Director			<input type="checkbox"/>
8. 股東記錄 Register of Member			<input type="checkbox"/>
9. 董事在職證明書 (最近六個月之內發出) Certificate of Incumbency (issued within the past 6 months)			<input type="checkbox"/>
10. 最近之週年申報表, 所有其後的秘書及董事更改通知書(委任/離任) (表格 D2A/ND2A), 及股份分配申報表(表格 SC1/ NSC1) 及/或轉讓文書詳列現任股東的資料 (如適用) Latest Annual Return, and subsequent Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A/ND2A), Return of Allotments (Form SCI/NSC1) and/or Instrument of Transfer (if applicable)		<input type="checkbox"/>	
11. 有效的商業登記證 Valid Business Registration Certificate		<input type="checkbox"/>	
12. 指定香港銀行賬戶 Designated Hong Kong Bank Account		<input type="checkbox"/>	<input type="checkbox"/>
13. 共同匯報標準(CRS)及美國外國賬戶稅務合規法案(FATCA)文件: 適用的自行證明書及/ 或 IRS W 表格, 以確定貴公司在共同匯報標準及外國賬戶稅務合規法案(FATCA)下的稅務身份 Common Reporting Standard (CRS) and US FATCA Documents: Applicable Self-Certification Form and/ or IRS W form to establish the tax status under CRS and FATCA		<input type="checkbox"/>	<input type="checkbox"/>
		【可選】	【可選】
14. 保證金客戶授權書 Application & Standing Authority for Margin Account		<input type="checkbox"/>	<input type="checkbox"/>
15. 衍生產品交易合約 Derivatives product trading Agreement		<input type="checkbox"/>	<input type="checkbox"/>
16. 風險承受能力問卷-委託賬戶及資產管理賬戶 Risk Profile Questionnaire (Discretionary & AM Account)		<input type="checkbox"/>	<input type="checkbox"/>
17. 滾額戶口申請及客戶授權書 Application & Standing Authority for Rolling Balance Account		<input type="checkbox"/>	<input type="checkbox"/>
18. 期貨交易合約 Futures Account Agreement		<input type="checkbox"/>	<input type="checkbox"/>
19. 指明被聯合國委員會指定為恐怖分子或與恐怖分子有聯繫者的人士		是 <input type="checkbox"/>	否 <input type="checkbox"/>
20. 政治人物或其關連人士		是 <input type="checkbox"/>	否 <input type="checkbox"/>
21. 客戶風險評估	Assessor:	高 <input type="checkbox"/>	中 <input type="checkbox"/> 低 <input type="checkbox"/>

賬戶介紹人: Account introduced by:	經紀姓名及編號: Name and Code of AE:	
資料輸入 Inputted by	簽署 Signature:	日期 Date:
職員姓名 Name of the Staff:		
文件查核 Document checked by:	簽署 Signature:	日期 Date:
職員姓名 Name of the Staff:		
開戶批核 Account Opening Approval:	簽署 Signature:	日期 Date:
職員姓名 Name of the Staff:		
客戶佣金及最低佣金: Client Commission rate and Minimum Commission:	交易限額/信貸限額: Trading Limit / Credit Limit:	
只適用於證券賬戶(保證金) 批核信貸限額:	謹代表勝利證券有限公司接納 Accepted for and on behalf of Victory Securities Company Limited	
Credit Credit Limit: _____		
備註 Remarks:		

保證金客戶授權書 AUTHORIZATION LETTER FROM MARGIN CLIENTS

致 To: 勝利證券有限公司 Victory Securities Company Limited

常設授權書 STANDING AUTHORITY

本常設授權書是有關一切由貴公司代表本人/吾等購入或持有之證券。

This letter of standing authority covers all securities purchased or held by you on my/our behalf.

本常設授權書授權貴公司，根據《證券及期貨（客戶證券）規則》第7（2）條的規定：

Without notice to me/us, pursuant to Section 7(2) of the Securities and Future (Client Securities) rules, this letter authorize you to:-

- (1) 依據證券借貸協議運用任何有關客戶證券或證券抵押品；
apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
- (2) 將任何有關證券抵押品存放於認可財務機構，作為提供予該中介人的財務通融的抵押品；及/或
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and /or
- (3) 將任何有關證券抵押品存放於認可結算所；或另一或發牌或獲註冊進行證券交易的中介人，作為解除該中介人在交收上的義務和清償該中介人在交收上的法律責任的抵押品，而毋須通知本人/吾等。
deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities,

本人/吾等明白香港中央結算有限公司因貴公司在交收上的責任而對本人/吾等的證券設定第一固定押記。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligation and liabilities

本授權書並不涉及就貴公司借、貸或存放本人/吾等任何證券而須支付或收取的任何代價。任何代價均須由本人/吾等與貴公司另行簽約訂明。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any or my/our securities. Any consideration must be set in a separate agreement between us.

有關根據本協議書而借、貸或存放之證券，貴公司仍須向本人/吾等負責歸還。

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

本人/吾等明白本人/吾等的證券可能受制于第三者之權利，貴公司可於全數抵償該等權利後，方將本人/吾等的證券退回本人/吾等。
I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us

本常設授權書的有效期為十二個月，並於2019年1月1日至2019年12月31日期間生效。本人/吾等有權隨時以一星期事先書面通知貴公司撤銷此常設授權書。本授權書將被當作續期一或多次，每次不超過十二個月，假如:-

- (a) 貴公司於到期日前不少於十四天向本人/吾等發出到期及續期通知；及
- (b) 貴公司於到期日前並無收到本人/吾等書面反對續期；及
- (c) 貴公司於到期日後七天內以書面向本人/吾等確認此續期。

This authority is valid for period of 12 months from _____ and will expire on _____ or may be revoked at any time on giving 1 week prior written notice to you. It will be deemed to have been renewed for one or more periods each not exceeding 12 months if:-

- (a) you have served expiry and renewal notice on me/us at least 14 days prior to the expiry date; and
- (b) you have not received my/our objection in writing for such renewal before the expiry date; and
- (c) you confirm such deemed renewal in writing to me/us within 7 days after the expiry date.

本函件已全部向本人/吾等解釋清楚。本人/吾等明白本函件的內容。

This letter has been fully explained to me/us, and I/we understand the contents of this letter.

Yours faithfully,

簽署：

蓋章(Company chop) + 陳

(聯名戶口均需聯合簽署)(Joint Signatures are required for joint name account)

客戶號碼及姓名：

Client Account Number and Name: ABC Co. Limited

日期：

Date: 1/1/2019

致： 勝利證券有限公司

自我證明表格 – 實體

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。

第1部 實體帳戶持有人的身分識別資料

(對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

- (1) 實體或分支機構的法定名稱 * ABC 有限公司
- (2) 實體成立為法團或設立所在的稅務管轄區
- (3) 商業登記號碼
- (4) 現時營業地址
- 第1行(例如：室、樓層、大廈、街道、地區) 上環干諾道西3號億利商業大廈5001室
- 第2行(城市) * 香港
- 第3行(例如：省、州)
- 國家 * 中國
- 郵政編碼/郵遞區號碼
- (5) 通訊地址(如通訊地址與現時營業地址不同，填寫此欄)
- 第1行(例如：室、樓層、大廈、街道、地區)
- 第2行(城市)
- 第3行(例如：省、州)
- 國家
- 郵政編碼/郵遞區號碼

第2部 實體類別

在其中一個適當的方格內加上✓號，並提供有關資料。

財務機構	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理(例如：擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體
活躍非財務實體	<input type="checkbox"/> 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> 除上述以外的主動非財務實體 (請說明 _____)
不活躍非財務實體	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input checked="" type="checkbox"/> 不屬主動非財務實體的非財務實體

第 3 部 控權人(如實體帳戶持有人是不活躍非財務實體，填寫此部)

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份自我證明表格 – 控權人。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

第 4 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

請提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1) 香港	1234567		
(2)			
(3)			
(4)			
(5)			

第 5 部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第 4 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知勝利證券有限公司，並會在情況發生改變後 30 日內，向勝利證券有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署

姓名

身分

日期(日/月/年)

公司印+ 陳

陳曉明

董事 - 陳曉明

1/1/2019

（例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等）

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

Form **W-8BEN-E**

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

**Certificate of Status of Beneficial Owner for
United States Tax Withholding and Reporting (Entities)**

► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.
► Go to www.irs.gov/FormW8BENE for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for:

- U.S. entity or U.S. citizen or resident W-9
- A foreign individual W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) W-8IMY

Instead use Form:

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner ABC Co. Limited	2 Country of incorporation or organization CHN(HKG)															
3 Name of disregarded entity receiving the payment (if applicable, see instructions)																
4 Chapter 3 Status (entity type) (Must check one box only): <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Simple trust</td> <td><input type="checkbox"/> Grantor trust</td> <td><input type="checkbox"/> Corporation</td> <td><input type="checkbox"/> Disregarded entity</td> <td><input type="checkbox"/> Partnership</td> </tr> <tr> <td><input type="checkbox"/> Central Bank of Issue</td> <td><input type="checkbox"/> Tax-exempt organization</td> <td><input type="checkbox"/> Complex trust</td> <td><input type="checkbox"/> Estate</td> <td><input type="checkbox"/> Government</td> </tr> <tr> <td colspan="2"></td> <td><input type="checkbox"/> Private foundation</td> <td><input type="checkbox"/> International organization</td> <td></td> </tr> </table> If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III. <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government			<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization	
<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership												
<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government												
		<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization													
5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner). <input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions. <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI. </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input checked="" type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account. </td> </tr> </table>		<input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner). <input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions. <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. 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6 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address). Room 5001, 50/F, Yardley Commercial Building, 3 Connaught Road West, City or town, state or province. Include postal code where appropriate. Country Hong Kong CHN																
7 Mailing address (if different from above) City or town, state or province. Include postal code where appropriate. Country																
8 U.S. taxpayer identification number (TIN), if required	9a GIIN	b Foreign TIN														
10 Reference number(s) (see instructions)																

Note: Please complete remainder of the form including signing the form in Part XXX.

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 59689N

Form **W-8BEN-E** (Rev. 7-2017)

Part II Disregarded Entity or Branch Receiving Payment. (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

- 11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- ☐ Branch treated as nonparticipating FFI. ☐ Reporting Model 1 FFI. ☐ U.S. Branch.
- ☐ Participating FFI. ☐ Reporting Model 2 FFI.
- 12** Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

- 13** GIIN (if any)

Part III Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only.)

- 14** I certify that (check all that apply):
- a** ☐ The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
- b** ☐ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- ☐ Government ☐ Company that meets the ownership and base erosion test
- ☐ Tax exempt pension trust or pension fund ☐ Company that meets the derivative benefits test
- ☐ Other tax exempt organization ☐ Company with an item of income that meets active trade or business test
- ☐ Publicly traded corporation ☐ Favorable discretionary determination by the U.S. competent authority received
- ☐ Subsidiary of a publicly traded corporation ☐ Other (specify Article and paragraph): _____
- c** ☐ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15** **Special rates and conditions** (if applicable—see instructions):
- The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____
- Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

Part IV Sponsored FFI

- 16** Name of sponsoring entity: _____
- 17** **Check whichever box applies.**
- ☐ I certify that the entity identified in Part I:
- Is an investment entity;
 - Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; and
 - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- ☐ I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
 - Is not a QI, WP, or WT;
 - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; and
 - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

Part V Certified Deemed-Compliant Nonregistering Local Bank18 ☐ I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; and
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts19 ☐ I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); and
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

20 Name of sponsoring entity: _____

21 ☐ I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; and
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity22 ☐ I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; and
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

Part IX Certain Investment Entities that Do Not Maintain Financial Accounts23 ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), and
- Does not maintain financial accounts.

Part X Owner-Documented FFI

Note: This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a ☐ (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; and
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

Part X Owner-Documented FFI *(continued)*

Check box 24b or 24c, whichever applies.

- b ☐ I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
 - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
 - (ii) The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); and
 - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
 - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

Check box 24d if applicable (optional, see instructions).

- d ☐ I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

Part XI Restricted Distributor25a ☐ (All restricted distributors check here) I certify that the entity identified in Part I:

- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
- Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
- Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
- Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
- Does not solicit customers outside its country of incorporation or organization;
- Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
- Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; and
- Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Check box 25b or 25c, whichever applies.

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b ☐ Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c ☐ Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Part XII Nonreporting IGA FFI26 ☐ I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____ . The applicable IGA is a ☐ Model 1 IGA or a ☐ Model 2 IGA; and is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____ . The trustee is: ☐ U.S. ☐ Foreign

Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue27 ☐ I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).**Part XIV International Organization**

Check box 28a or 28b, whichever applies.

28a ☐ I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).b ☐ I certify that the entity identified in Part I:

- Is comprised primarily of foreign governments;
- Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
- The benefit of the entity's income does not inure to any private person; and
- Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

Part XV Exempt Retirement Plans

Check box 29a, b, c, d, e, or f, whichever applies.

29a ☐ I certify that the entity identified in Part I:

- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
- Is operated principally to administer or provide pension or retirement benefits; and
- Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.

b ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- No single beneficiary has a right to more than 5% of the FFI's assets;
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; and
 - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
 - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
 - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); or
 - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.

c ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- Has fewer than 50 participants;
- Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
- Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
- Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; and
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

Part XV Exempt Retirement Plans *(continued)*

- d ☐ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e ☐ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f ☐ I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); or
 - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XVI Entity Wholly Owned by Exempt Beneficial Owners

- 30 ☐ I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
 - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
 - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
 - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; and
 - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII Territory Financial Institution

- 31 ☐ I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

Part XVIII Excepted Nonfinancial Group Entity

- 32 ☐ I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
 - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
 - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); and
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XIX Excepted Nonfinancial Start-Up Company

- 33 ☐ I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);
 - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
 - Is investing capital into assets with the intent to operate a business other than that of a financial institution; and
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy

- 34 ☐ I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____;
 - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
 - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; and
 - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

Part XXI 501(c) Organization35 ☐ I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated _____; or
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

Part XXII Nonprofit Organization36 ☐ I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; and
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation

Check box 37a or 37b, whichever applies.

37a ☐ I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; and

- The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded).

b ☐ I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is _____; and
- The name of the securities market on which the stock is regularly traded is _____.

Part XXIV Excepted Territory NFFE38 ☐ I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
 - (i) Does not accept deposits in the ordinary course of a banking or similar business;
 - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; or
 - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; and
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

Part XXV Active NFFE39 ☐ I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; and
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI Passive NFFE40a ☒ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

b ☒ I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); orc ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

Part XXVII Excepted Inter-Affiliate FFI

41 ☐ I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII	Sponsored Direct Reporting NFFE (see instructions for when this is permitted)
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42 Name of sponsoring entity:

43 ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

Part XXIX Substantial U.S. Owners of Passive NFFE

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

[illegible]

Part XXX Certification

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:

- The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W;
- The entity identified on line 1 of this form is not a U.S. person;
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income; **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

Sign Here

Company chop + BFL
Signature of individual authorized to sign for beneficial owner

ABC Co. Limited

Print Name _____

1/1/2019

Date (MM-DD-YYYY)

☒ I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Form W-8BEN-E

(2017 年 7 月修訂)

財政部國稅局

(Rev. July 2017)
Department of the Treasury
Internal Revenue Service

最終受益人（法人）身分之美國稅款扣繳及申報聲明書

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

- 法人適用。個人應使用 W-8BEN 表► 表中所述條文為國稅局法令
► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.
► 有關 W-8BEN-E 表及其獨立說明，請參閱 www.irs.gov/formw8bene 說明。
► Information about Form W-8BEN-E and its separate instructions is at www.irs.gov/formw8bene.
► 請將本表提供給扣繳代理人或付款人。請勿送交國稅局。
► Give this form to the withholding agent or payer. Do not send to the IRS.
(中文部分僅供參考，凡有任何歧異以英文為主)

OMB No. 1545-1621

本表不適用下列納稅人：

Do NOT use this form for:

- 美國法人、美國公民或居住者 / U.S. entity or U.S. citizen or resident.....
- 外國個人 / A foreign individual.....
- 主張收入與於美國境內進行買賣或業務實質關聯之外國個人或法人（除非申請適用租稅協定） / A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits).....
- 外國合夥企業、外國簡單信託或外國讓與信託（除非申請適用租稅協定）（例外情況請參閱填寫說明） / A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions).....
- 收取實質關聯美國收入或主張適用第 115(2)、501(C)、892、895 或 1443(b) 條規定之外國政府、國際組織、發行貨幣的外國中央銀行、外國免稅組織、外國私人基金或美國屬地之政府（除非申請適用租稅協定）（其他例外情況請參閱填寫說明） / A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions).....
- 擔任中間機構之任何人士（包含合格之衍生性金融商品經銷商） / Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer).....

請使用下列申報表： Instead use Form:

W-9
W-8BEN(個人)或 8233 表

W-8ECI

W-8IMY

W-8ECI 或 W-8EXP

W-8IMY

Part I 最終受益人身分 / Identification of Beneficial Owner

Part I - 必須填寫

1 最終受益人之組織名稱 / Name of organization that is the beneficial owner	2 設立或組織所在國 / Country of incorporation or organization
3 收取款項之無行企業實體名稱(若有，請參閱填寫說明) / Name of disregarded entity receiving the payment (if applicable, see instructions)	
4 第 3 章狀態 (法人種類) (必須勾選一項) : / Chapter 3 Status (entity type) (Must check one box only): <input type="checkbox"/> 股份公司 / Corporation <input type="checkbox"/> 無行企業實體 / Disregarded entity <input type="checkbox"/> 合夥組織 / Partnership <input type="checkbox"/> 單純信託 / Simple Trust <input type="checkbox"/> 贈與人信託 / Grantor trust <input type="checkbox"/> 複雜信託 / Complex trust <input type="checkbox"/> 遺產 / Estate <input type="checkbox"/> 政府 / Government <input type="checkbox"/> 中央發行銀行 / Central Bank of Issue <input type="checkbox"/> 免稅組織 / Tax-exempt organization <input type="checkbox"/> 私人基金 / Private foundation <input type="checkbox"/> 國際組織 / International organization 若您勾選上述「無行企業實體」、「合夥企業」、「單純信託」或「贈與人信託」，則該法人是否提出適用租稅協定之申請？若是，請填寫第 III 部分 / If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III <input type="checkbox"/> 是 / Yes <input type="checkbox"/> 否 / No	
5 第 4 章狀態 (FATCA 狀態) (詳細內容請參閱填寫說明，並請就該法人適用規定之狀態，填寫下列證明) : / Chapter 4 Status (FATCA status). (See instructions for details and complete the certification below for the entity's applicable status.) 完成所選狀態之相對應部分 <input type="checkbox"/> 未簽署協議的外國金融機構 (包括 IGA 國家中與屬視同合規的外國金融機構、有簽署協議的外國金融機構或豁免受益所有人以外之應申報金融機構相關之外國金融機構) / Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI or exempt beneficial owner). <input type="checkbox"/> 有簽署協議的外國金融機構 / Participating FFI. <input type="checkbox"/> Model 1 協議國之需申報金融機構 / Reporting Model 1 FFI. <input type="checkbox"/> Model 2 協議國之需申報金融機構 / Reporting Model 2 FFI. <input type="checkbox"/> 註冊視同合規的外國金融機構 (其他非屬 Model 1 協議國之需申報金融機構、受贊助的外國金融機構者或 Part XII 所列之依跨國協議無須申報之外國金融機構) 請參閱填寫說明 / Registered deemed-compliant FFI (other than a reporting Model 1 FFI or sponsored FFI or nonreporting IGA FFI covered in Part XII). See instructions. <input type="checkbox"/> 受贊助的外國金融機構。請填寫第 IV 部分 / Sponsored FFI. Complete Part IV. <input type="checkbox"/> 公認視同合規的未註冊本地銀行。請填寫第 V 部分 / Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> 公認視同合規之僅具低價值帳戶的外國金融機構。請填寫第 VI 部分 / Certified deemed-	
<input type="checkbox"/> 依跨國協議無須申報之外國金融機構。請填寫第 XII 部分 / Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> 外國政府、美國政府屬地之政府或發行貨幣的外國中央銀行。請填寫第 XIII 部分 / Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> 國際組織。請填寫第 XIV 部分 / International organization. Complete Part XIV. <input type="checkbox"/> 免受扣繳之退休計畫 (退休基金)。請填寫第 XV 部分 / Exempt retirement plans. Complete Part XV. <input type="checkbox"/> 由免受扣繳的最終受益人完全持有之法人。請填寫第 XVI 部分 / Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> 美國屬地金融機構。請填寫第 XVII 部分 / Territory financial institution. Complete Part XVII. <input type="checkbox"/> 非金融集團法人。請填寫第 XVIII 部分 / Nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> 免受扣繳的非金融新創公司。請填寫第 XIX 部分 / Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> 免受扣繳的清算中或破產的非金融法人。請填寫第 XX 部分 / Excepted	

compliant FFI with only low-value accounts. Complete Part VI.

☐ 公認視同合規之受贊助且被緊密持有的投資工具。請填寫第 VII 部分 / Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.

☐ 公認視同合規之暫時性債權投資法人。請填寫第 VIII 部分 / Certified deemed-compliant limited life debt investment entity. Complete Part VIII.

☐ 無持有金融帳戶之特定投資實體。請填寫第 IX 部分 / Certain investment entities that do not maintain financial accounts. Complete Part IX

☐ 已提供所有人資訊的外國金融機構。請填寫第 X 部分 / Owner-documented FFI. Complete Part X.

☐ 受限制的通路商。請填寫第 XI 部分 / Restricted distributor. Complete Part XI.

nonfinancial entity in liquidation or bankruptcy. Complete Part XX.

☐ 符合 501(c) 節規範的組織。請填寫第 XXI 部分 / 501(c) organization. Complete Part XXI.

☐ 非營利組織。請填寫第 XXII 部分 / Nonprofit organization. Complete Part XXII.

☐ 股票在證券市場正常交易的公司或其關係企業。請填寫第 XXIII 部分 / Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.

☐ 免受扣繳的美國屬地非金融外國法人。請填寫第 XXIV 部分 / Excepted territory NFFE. Complete Part XXIV.

☐ 積極的非金融外國法人。請填寫第 XXV 部分 / Active NFFE. Complete Part XXV.

☐ 消極的非金融外國法人。請填寫第 XXVI 部分 / Passive NFFE. Complete Part XXVI.

☐ 僅從事集團內交易的免受扣繳之金融機構。請填寫第 XXVII 部分 / Excepted inter-affiliate FFI. Complete Part XXVII.

☐ 逕行申報之非金融外國法人 / Direct reporting NFFE

☐ 受贊助的逕行申報之非金融外國法人。請填寫第 XXVIII 部分 / Sponsored direct reporting NFFE. Complete Part XXVIII.

☐ 帳戶非金融帳戶 / Account that is not a financial account

6 永久居住地址（街道、公寓或套房編號或農村道路）。請勿使用郵政信箱或代收地址 / Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address).

城市或鄉鎮、州或省，若適當，亦請提供郵遞區號 / City or town, state or province, Include postal code where appropriate	國家 / Country
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7 通訊地址（若與上述地址不同） / Mailing address (if different from above)

城市或鄉鎮、州或省，若適當，亦請提供郵遞區號 / City or town, state or province, Include postal code where appropriate	國家 / Country
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8 必要時，請提供美國納稅人編號（TIN） / U.S. taxpayer identification number (TIN), if required	9a <input type="checkbox"/> 全球中間機構識別碼 / GHIN	b. <input type="checkbox"/> 外國稅籍編號 / Foreign TIN
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10 索引編號（請參閱填寫說明） / Reference number(s) (see instructions)

註：請填寫表格其餘部分，包括簽署第 XXX 表格 / Note: Please complete remainder of the form including signing the form in Part XXX

有關文書作業簡化法公告，請參閱獨立說明書 / For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 59689N

W-8BEN-E 表（2017 年 7 月修訂）

Form W-8BEN-E (Rev. 7-2017)

Part II	收取款項之無行企業實體或分支機構。 （僅適合取得全球中間機構識別碼之無行企業實體或位於外國金融機構設立登記國以外國家之外國金融機構填寫。請參閱填寫說明）/ Disregarded Entity or Branch Receiving Payment. (Complete only if disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions)
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- 11 第4章狀態（FATCA 狀態）收取款項之無行企業實體或分支機構/ Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
☐ 分行為未簽署協議的外國金融機構/ Branch treated as nonparticipating FFI. ☐ Model 1 協議國之需申報金融機構/ Reporting Model 1 FFI.
☐ 美國分行/ U.S. Branch. ☐ 有簽署協議的外國金融機構/ Participating FFI. ☐ Model 2 協議國之需申報金融機構/ Reporting Model 2 FFI.
- 12 無行企業實體或分支機構之地址（街道、公寓或套房編號或農村道路）請勿使用郵政信箱或代收地址 / Address of disregarded entity or branch (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address).

城市或鄉鎮、州或省。若適當，亦請提供郵遞區號 / City or town, state or province. Include postal code where appropriate.

國家 / Country

- 13 全球中間機構識別碼（若有）/ GIIN (if any)

Part III	申請適用租稅協定利益（若適用） （僅適用第3章）/ Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only)
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- 14 本人證明（勾選適用之項目）I certify that (check all that apply):
- a ☐ 最終受益人為美國與_____國租稅協定所規範之稅務居民/ The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
- b ☐ 最終受益人申請適用租稅協定利益之一項或多項所得稅項目，如適用規範利益上限之條款規定。下列為受利益上限條款之類型，類型可能適用相關之租稅協定（請只勾選其中一個；並請參閱填寫說明）/ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- ☐ 政府/ Government

☐ 免稅退休金信託或退休基金/ Tax exempt pension trust or pension fund

☐ 其他免稅組織/ Other tax exempt organization

☐ 股票在證券市場正常交易的公司/ Publicly traded corporation

☐ 股票在證券市場正常交易的子公司/ Subsidiary of a publicly traded corporation

☐ 公司符合所有權及稅基侵蝕之測試/ Company that meets the ownership and base erosion test

☐ 公司符合衍生效益之測試/ Company that meets the derivative benefits test

☐ 公司包含一項所得，該所得符合實質買賣或業務之測試/ Company with an item of income that meets active trade or business test

☐ 美國主管機關所取得之有利的自由決策/ Favorable discretionary determination by the U.S. competent authority received

☐ 其他_____ (特定章節及段落)/ Other (specify Article and paragraph): _____
- c ☐ 最終受益人聲明針對取得來自國外公司之美國來源所得股利或來自國外公司所從事之貿易或商業之利息之租稅協議及符合居住者測試（請參閱填寫說明）/ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

- 15 **特殊利率與條款（若適用—請參閱填寫說明）**：最終受益人係申請適用上述第14a所列租稅協定第_____條規定，就後列所得（請列明所得種類）：_____申請適用_____ %扣繳稅率/ **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____
- 請說明最終受益人符合租稅協定條款之理由：_____ / Explain the reasons the beneficial owner meets the terms of the treaty article: _____
- 請說明最終受益人適用扣繳稅率之條件：_____ / Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

Part IV	受贊助的外國金融機構/Sponsored FFI （若適用）- 對應 Part I - 5
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- 16 贊助法人名稱/ Name of sponsoring entity: _____
- 17 請勾選適用之項目/ Check whichever box applies.
- ☐ 本人證明，第I部分所列法人/ I certify that the entity identified in Part I:
- 屬投資法人/ Is an investment entity;
 - 非屬合格中間機構、外國扣繳合夥企業（非屬外國扣繳合夥企業協議所允許之範圍）或外國扣繳信託；且/ Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
 - 業已取得上列法人同意，擔任該法人之贊助法人/ Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the

sponsoring entity for this entity.

☐ 本人證明，第 I 部分所列法人 I certify that the entity identified in Part I:

- 為第 957(a) 條所定義之受控外國公司/Is a controlled foreign corporation as defined in section 957(a);
- 非屬合格中間機構、外國扣繳合夥企業 或 外國扣繳信託/Is not a QI, WP, or WT;
- 為上述同意擔任本表所列法人贊助法人之美國金融機構所直接或間接百分之百持有；且/Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; and
- 與贊助法人（如上所列）共同持有相同之電子帳戶系統，使贊助法人可辨識該法人之所有帳戶持有人與受款人，以及存取由該法人所持有所有帳戶與客戶資訊，包括但不限於，客戶辨識資訊、客戶文件、帳戶餘額，以及支付予帳戶持有人或受款人之所有款項/Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

Part V 公認視同合規的未註冊本地銀行/ Certified Deemed-Compliant Nonregistering Local Bank (若適用) - 對應 Part I - 5

18 ☐ 本人證明，第 I 部分所列外國金融機構/ I certify that the FFI identified in Part I:

- 於其設立或組織所在國以銀行或信用合作社之型態經營並取得核准(或類似無營利性質之信用合作社)/ Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- 主要從事向非關係的一般客戶放款及收取存款之業務。若是信用合作社性質，無人持有該信用合作社 5% 之利潤分配/ Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- 未招攬位於其組織所在國以外之帳戶持有人/ Does not solicit account holders outside its country of organization;
- 於其設立或組織所在國之外，並無固定營業場所（於此，固定營業場所不包括未向外界宣傳之地點，以及外國金融機構僅執行行政支援功能之地點）/ Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- 資產負債表上所載資產不超過 1.75 億美元，且若屬擴增附屬關係企業集團，則集團合併資產負債表之總資產不超過 5 億美元；且/ Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; and
- 其擴增附屬關係企業集團中並無任何外國金融機構，除非係於相同國家設立或組織第 I 部分所列銀行，且符合本部分之規定/Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part .

Part VI 公認視同合規之僅具低價值帳戶的外國金融機構/ Certified Deemed-Compliant FFI with Only Low-Value Accounts

19 ☐ 本人證明，第 I 部分所列外國金融機構/ I certify that the FFI identified in Part I:

(若適用) - 對應 Part I - 5

- 並非主要從事投資、再投資或交易證券、合夥利益、商品、名目本金合約、保險或年金合約或前述證券、合夥利益、商品、名目本金合約、保險或年金合約之任何利益（包括期貨或遠期合約或選擇權）/Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract ;
- 外國金融機構或其擴增附屬關係企業集團之任何成員公司所持有之任何金融帳戶（若有），其餘額或價值皆未超過 50,000 美元（依據相關帳戶累計規則規定計算）；且/ No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); and
- 無論外國金融機構或其擴增附屬關係企業集團整體（若有），於最近一期會計年度年底時之合併資產負債表所載資產，皆未超過 5,000 萬美元/Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part VII 公認視同合規之受贊助且被緊密持有的投資工具/ Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

20 委託之投資公司名稱 / Name of sponsoring entity:

(若適用) - 對應 Part I - 5

21 ☐ 本人證明，第 I 部分所列法人 / I certify that the entity identified in Part I:

- 係因第 1.1471-5(e)(4) 條所規範投資法人而屬外國金融機構 / Is an FFI solely because it is an investment entity described in Regulations section §1.1471-5(e)(4);
- 非屬合格中間機構、外國扣繳合夥企業或外國扣繳信託/ Is not a QI, WP, or WT;
- 所有之盡職調查、扣繳以及申報義務皆由第 20 項所列之委託公司完成（視為有簽署協議的外國金融機構）；且/ Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; and
- 本法人之所有債務與股權利益之人士不超過二十人/ 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100 % of the equity interests in the FFI and is itself a sponsored FFI).

Part VIII 公認視同合規之暫時性債權投資法人/ Certified Deemed-Compliant Limited Life Debt Investment Entity (若適用) - 對應 Part I - 5

22 ☐ 本人證明，第 I 部分所列法人 / I certify that the entity identified in Part I:

- 於 2013.1.17 前成立/ Was in existence as of January 17, 2013;
- 根據信託契約或類似協議內容，於 2013.1.17 後不得發放任何股權或債權；且/ Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; and

- 係因符合 1.1471-5(f)(2)(iv)之規範而屬公認視同合規之有限期限債券投資法人 / Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section § 1.1471-5(f)(2)(iv)).

Part IX 無持有金融帳戶之特定投資實體 / Certain Investment Entities that Do Not Maintain Financial Accounts (若適用) - 對應 Part I - 5

23 ☐ 本人證明，第 I 部分所列法人 / I certify that the entity identified in Part I:

- 係因第 1.1471-5(e)(4) 條所規範投資法人而屬外國金融機構；且 / Is a financial institution solely because it is an investment entity described in Regulations section § 1.1471-5(e)(4)(i)(A); and
- 無持有任何金融帳戶 / Does not maintain financial accounts.

Part X 已提供所有人資訊的外國金融機構 / Owner-Documented FFI (若適用) - 對應 Part I - 5

註 本狀態僅適用取得本表之美國金融機構、有簽署協議的外國金融機構或 Model 1 協議國之需申報金融機構已同意，將外國金融機構視為已提供所有人資訊的外國金融機構情況（合格規定請參閱填寫說明）。此外，外國金融機構須證明下列項目 / **Note.** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

- 24a ☐ (所有已提供所有人資訊的外國金融機構皆須勾選此項) 本人證明，第 I 部分所列外國金融機構 / (All owner-documented FFIs check here) I certify that the FFI identified in Part I:
- 並未擔任中間機構 / Does not act as an intermediary;
 - 並未於日常銀行業務或類似業務活動中收受存款 / Does not accept deposits in the ordinary course of a banking or similar business;
 - 並未代他人持有金額相當於其業務主要部分之金融資產 / Does not hold, as a substantial portion of its business, financial assets for the account of others;
 - 並非發行金融帳戶或有義務就該帳戶支付款項之保險公司（或保險公司之控股公司） / Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
 - 並非於日常銀行業務或類似業務活動中收受存款之法人、代他人持有金額相當於其業務主要部分金融資產之法人，或發行金融帳戶或有義務就該帳戶支付款項之保險公司（或保險公司之控股公司）之聯屬公司； / Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
 - 並未代任何未簽署協議的外國金融機構保管金融帳戶；以及 / Does not maintain a financial account for any nonparticipating FFI; and
 - 除已於外國金融機構所有人申報表確認之特定美國人外，外國金融機構無特定美國人持有股權或債權利益（不包含債權利益為非金融帳戶或其金額或價值不超過 50,000 美元） / Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

視情況勾選 24b 或 24c 等適用項目 / Check box 24b or 24c, whichever applies.

b ☐ 本人證明，第 I 部分所列外國金融機構 / I certify that the entity identified in Part I:

- 業已提供、或將提供包括下列內容之外國金融機構所有人申報表 / Has provided, or will provide, an FFI owner reporting statement that contains:
 - 直接或間接持有已提供所有人資訊的外國金融機構股權利益之每名個人與特定美國人之姓名、地址、稅籍編號（若有）、第 4 章狀態以及前述人員所提供之文件種類（除指定美國人以外，所有其他法人皆不須提供） / The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
 - 於已提供所有人資訊的外國金融機構擁有債務利益之每位個人與特定美國人之姓名、地址、稅籍編號（若有）、第 4 章身分狀態及所提供文件種類（包括任何間接債務利益，包括對直接或間接持有受款人股權之任何法人之債務利益、或對受款人債權人之任何直接或間接股權利益），且構成金額超過 50,000 美元之金融帳戶（不考慮有簽署協議的外國金融機構、註冊視同合規的外國金融機構、公認視同合規的外國金融機構、免受扣繳的非金融外國法人、免受扣繳的最終受益人、或非特定美國人之美國人士所擁有之所有債務利益）；及 / The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); and
 - 扣繳義務人要求之任何其他資訊，以履行其就該法人所應履行之義務 / Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
 - 依第 1.1471-3(d)(6)(iii)之規定，已提供或將提供外國金融機構所有人申報表中每一個人之有效證據。 / Has provided, or will provide, valid documentation meeting the requirements of Regulations section § 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.

c ☐ 本人證明，第 I 部分所列外國金融機構業已提供、或將提供一份由位於美國境內之獨立會計師事務所或法律代表人，於付款日起算四年內簽署之會計師報告，載明該會計師事務所或代表人業已審核外國金融機構與所有人，以及第 1.1471-3(d)(6)(iv)(A)(2) 條所列債務持有人之文件，且外國金融機構符合成為已提供所有人資訊之外國金融機構之所有規定。於第 I 部分所列外國金融機構亦已提供、或將提供外國金融機構所有人申報表（該報表列示其屬特定美國人之持有人）及 W-9 表格與適用的同意函。 / I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section § 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9,

with applicable waivers.

於適用時，勾選 24d (非必要勾選，請參閱填寫說明) / Check box 24d if applicable (optional, see instructions).

- d ☐ 本人證明，第1行所列法人係屬信託，且未擁有任何或有受益所有人或本表未列之指定受益人種類 / I certify that the entity identified in line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

Part XI 受限制的通路商 / Restricted Distributor (若適用) - 對應 Part I - 5

25a ☐ (所有受限制的通路商皆須勾選此項) 本人證明，第 I 部分所列法人 / (All restricted distributors check here) I certify that the entity identified in Part I:

- 就本表所列限制基金之債務或股權利益擔任通路商角色 / Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
- 對至少 30 名非關係人客戶提供投資服務，且所有客戶中屬關係人之客戶並未超過半數 / Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
- 依據其組織所在國 (屬遵循防制洗錢金融行動工作組的) 反洗錢法律規定，須執行洗錢防制審查流程 / Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
- 僅於其設立或組織所在國營運，於該國以外並無固定營業場所，且與附屬關係企業集團其他成員 (若有) 係位於相同設立或組織所在國 / Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
- 並未招攬位於其設立或組織所在國以外之客戶 / Does not solicit customers outside its country of incorporation or organization;
- 總管理資產未超過 1.75 億美元，且最近一個會計年度之損益表所載總營收未超過 7 百萬美元 / Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
- 並非總管理資產未超過 5 億美元，或最近一個會計年度之合併損益表所載總營收超過 2 千萬美元之擴增附屬關係企業集團成員；且 / Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; and
- 並未對特定美國人士、擁有一名以上重要美國股東之消極的非金融外國法人，或未簽署協議的外國金融機構銷售受限制基金之任何債券或證券 / Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

於適用時，勾選 25b 或 25c / Check box 25b or 25c, whichever applies.

本人進一步證明，於 2011 年 12 月 31 日後就本表所載受限制基金之債務或股權利益所有銷售事宜，第 I 部分所列法人 / I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b ☐ 過去已受內容包括禁止對美國法人與美國居住者銷售債券或證券規定之經銷合約所規範，且目前係受內容包括禁止對任何特定美國人士、擁有一名或多名重大美國股東之消極的非金融外國法人、或未簽署協議的外國金融機構銷售債券或證券規定之經銷合約所規範 / Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c ☐ 目前係受內容包括禁止對任何特定美國人士、擁有一名或多名重大美國股東之消極的非金融外國法人、或未簽署協議的外國金融機構銷售債券或證券規定之經銷合約所規範，且就其於經銷合約所列規範之適用時間前所進行之所有出售交易，其已依據適用既有帳戶之第 1.1471-1(c) 規定審核，並已返還或退還或委由受限制基金移轉已出售予特定美國人士、擁有一名或多名重大美國股東之消極的非金融外國法人或未簽署協議的外國金融機構之證券至屬簽署協議的外國金融機構或跨政府協議模式 1 外國金融機構證券之經銷商 / Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section §1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Part XII 依跨國協議無須申報之外國金融機構 / Nonreporting IGA FFI (若適用) - 對應 Part I - 5

26 ☐ 本人證明，第 I 部分所列法人 / I certify that the entity identified in Part I:

- 符合美國與 _____ 間適用相關協議簽署國中無需申報之金融機構之規定；適用之 IGA 是 ☐ 跨國協議 Model 1 或 ☐ 跨國協議 Model 2 且依據相關跨政府協議或財政部規定 (若有，請參閱填寫說明) 規定視為 _____ / Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and- _____; The applicable IGA is a ☐ Model 1 IGA or a ☐ Model 2 IGA; and is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable see instructions);
- 若您是已提供受託人資訊之信託或受贊助之公司，請提供受託人或贊助者之姓名或 _____ 受託人為 ☐ 美國人 ☐ 非美國人 / If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____ The trustee is: ☐ U.S. ☐ Foreign

Part XIII 外國政府、美國政府屬地之政府、或發行貨幣的外國中央銀行 / Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue (若適用) - 對應 Part I - 5

27 ☐ 本人證明，第 I 部分所列法人為款項之最終受益人，且並未從事保險公司、保管機構或存款機構所從事有關付款、帳戶或本表所列義務種類之商業金融活動 (除依據第 1.1471-6(h)(2) 所許可者外) / I certify that the entity identified in Part I is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to

the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section §1.1471-6(h)(2)).

Part XIV 國際組織/ International Organization (若適用) - 對應 Part I - 5

於適用時，勾選 28a 或 28b/ Check box 28a or 28b, whichever applies.

- 28a ☐ 本人證明，第 1 部分所列法人為第 7701(a)(18) 所述國際組織/ I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b ☐ 本人證明，第 1 部分所列法人/ I certify that the entity identified in Part I:
- 主要係由外國政府所組成/ Is comprised primarily of foreign governments;
 - 依據類似國際豁免組織法 (International Organizations Immunities Act) 之外國法律規定，係視為國際或超國際組織者或與外國政府具有實質營運總部之協議/ Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
 - 該法人收入之利益並未對任何個人有任何影響；及/ The benefit of the entity's income does not inure to any private person; and
 - 係屬款項之最終受益人，且並未從事保險公司、保管機構或存款機構所從事有關付款、帳戶或本表所列義務種類之商業金融活動 (除依據第 1.1471-6(h)(2) 所許可者外) / Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section §1.1471-6(h)(2)).

Part XV 免稅扣繳之退休計畫(退休基金)/ Exempt Retirement Plans (若適用) - 對應 Part I - 5

於適用時，勾選 29a、29b、29c、29d、29e 或 29f / Check box 29a, b, c, d, e, or f, whichever applies.

- 29a ☐ 本人證明，第 1 部分所列法人/ I certify that the entity identified in Part I:
- 係設立於與美國簽署有效稅務協定之國家；(若有稅務協定，詳見第 III 部分) / Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
 - 主要係經營退休金或退休金管理或服務提供之業務；且/ Is operated principally to administer or provide pension or retirement benefits; and;
 - 有權因身為其他國家稅務居民而就基金自美國來源所賺取收入申請適用稅利 (或若賺取任何此等收入時，有權申請適用所得稅利益)，且符合任何相關稅務協定上限規定/ Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b ☐ 本人證明，第 1 部分所列法人/ I certify that the entity identified in Part I:
- 係為針對一名或多名雇主因前任員工所提供服務而給予之退休、殘障或死亡給付 (或其合併發生) 等事宜提供服務之目的而設立/ Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - 任何單一受益人皆無權取得該外國金融機構之 5% 以上資產/ No single beneficiary has a right to more than 5% of the FFI's assets;
 - 需受政府規範，且需將其受益人之年度通報資訊提供給基金設立或經營所在國之相關稅捐主管機關；且/ Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; and
 - 一般而言，因其屬退休或退休金計畫之狀態，依據其設立或經營所在國法律規定，其不需就投資收入繳納所得稅/ Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
 - 總提撥資產中至少有 50% 係來自發起員工 (不考慮自本部分其他計畫或 IGA Model 1、Model 2 及第 1.1471-5(b)(2)(i)(A) 條所述帳戶移轉之資產) / Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section §1.1471-5(b)(2)(i)(A));
 - 並未許可或處罰於退休、殘障或死亡相關特定事件前發生之分配或提撥行為；或/ Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); or
 - 限制員工以其所賺取收入提撥款項或限制其每年不應超過 50,000 美元/ Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c ☐ 本人證明，第 1 部分所列法人/ I certify that the entity identified in Part I:
- 係為針對一名或多名雇主因前任員工所提供服務而給予之退休、殘障或死亡 (或其合併發生) 給付等事宜提供服務之目的而設立/ Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - 參與計畫之員工人數少於 50 人/ Has fewer than 50 participants;
 - 係由一名或多名非屬投資法人或消極的非金融外國法人之員工所提撥/ Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
 - 提撥至基金之員工及雇主 (不考慮自本部分其他計畫或 IGA Model 1、Model 2 及第 1.1471-5(b)(2)(i)(A) 條所述帳戶移轉之資產)，分別不得使用所賺取之收入及對員工之津貼提撥至資產/ Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section §1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
 - 計畫參與者非屬基金設立或營運所在國居住者支人，不得持有基金資產超過 20%；且/ Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20 percent of the fund's assets; and
 - 需受政府規範，且需將其受益人之年度通報資訊提供給基金設立或經營所在國之相關稅捐主管機關/ Is subject to government regulation and

provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

- d ☐ 本人證明，第 I 部分所列法人係依據機係符合第 401(a) 規定之退休金計畫而設立之法人，前述規定係與計畫以美國設立或組織之信託提供資金者不同/ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e ☐ 本人證明，第 I 部分所列法人係專為賺取本部分所述一個或多個退休基金或 IGA Model 1、Model 2 及第 1.1471-5(b)(2)(i)(A) 條所述退休金帳戶之收入之目的而設立/ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in Regulations section §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f ☐ 本人證明，第 I 部分所列法人/ I certify that the entity identified in Part I:
- 係由外國政府、國際組織、中央發行銀行或美國屬地之政府（定義如 1.1471-6），或是 IGA Model 1、Model 2 中所設立與資助，以提供退休、殘障或死亡給付予出資方現任或前任員工（或該員工指定之他人）之受益人或參與人；或/ Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); or
 - 係由外國政府、國際組織、中央發行銀行或美國屬地之政府（定義如 1.1471-6），或是 IGA Model 1、Model 2 中所設立與資助，以提供退休、殘障或死亡給付予非出資方現任或前任員工，但為出資方提供個人服務之受益人或參與人/ Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XVI 由免受扣繳的最終受益人完全持有之法人/ Entity Wholly Owned by Exempt Beneficial Owners

- 30 ☐ 本人證明，第 I 部分所列法人/ I certify that the entity identified in Part I:
- 係因第 1.1471-5(e)(4) 條所規範投資法人而屬外國金融機構/ Is an FFI solely because it is an investment entity;
 - 該投資實體之股權係由 §1.1471-6 免受扣繳的最終受益所有人所持有，或適用於跨國協議 Model 1 及 Model 2 協議中之機構/ Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section §1.1471-6 or in an applicable Model 1 or Model 2 IGA;
 - 該投資實體之債權非由存款機構或 §1.1471-6 免受扣繳的最終受益所有人及適用於跨國協議 Model 1 及 Model 2 協議中之機構/ Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section §1.1471-6 or an applicable Model 1 or Model 2 IGA.
 - 業已提供所有人通報聲明，內容包括擁有構成該法人個體金融帳戶或直接股權利益之債務利益各人之姓名、地址、稅籍編號（若有）、第 4 章狀態以及前述人員提供予扣繳義務人之文件種類；及/ Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; and
 - 業已就該法人之各所有人提供相關文件，以證明該法人之各所有人係屬第 1.1471-6(b)、(c)、(d)、(e)、(f) 及 (g) 所述法人個體，不考慮該等所有人是否為最終受益人/ Has provided documentation establishing that every owner of the entity is an entity described in Regulations section §1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII 美國屬地金融機構/ Territory Financial Institution (若適用) - 對應 Part I - 5

- 31 ☐ 本人證明，第 I 部分所列法人係屬依據美國屬地法律規定所設立或組織（非投資法人）/ I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

Part XVIII 免受扣繳的非金融集團法人/ Excepted Nonfinancial Group Entity (若適用) - 對應 Part I - 5

- 32 ☐ 本人證明，第 I 部分所列法人/ I certify that the entity identified in Part I:
- 係控股公司、資金調度中心、或金融控股公司，且該法人個體之大部分活動係屬第 1.1471-5(e)(5)(i)(C) 至 (E) 條所述之功能/ Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section §1.1471-5(e)(5)(i)(C) through (E);
 - 係第 1.1471-5(e)(5)(i)(B) 所述非金融集團之成員公司/ Is a member of a nonfinancial group described in Regulations section §1.1471-5(e)(5)(i)(B);
 - 非屬存款或保管機構（非該法人之擴增附屬關係企業集團）；且/ Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); and
 - 未擔任（或自稱為）投資基金，譬如私募基金、創投基金、融資收購基金或投資策略為併購或溢資公司並以資本資產或投資目的持有該等公司利益之投資工具/ Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XIX 免受扣繳的非金融新創公司/ Excepted Nonfinancial Start-Up Company (若適用) - 對應 Part I - 5

- 33 ☐ 本人證明，第 I 部分所列法人/ I certify that the entity identified in Part I:
- 係於 _____ 成立（或若屬新產品線，則為核准新產品線之董事決議日期）（日期必須早於付款日前 24 個月）/ Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);
 - 尚未經營業務，且過去並未有營運歷史或投資資本於資產以經營金融機構或消極的非金融外國法人之記錄/ Is not yet operating a business

and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;

- 係投資資本於資產，以經營非金融機構之業務；及/ Is investing capital into assets with the intent to operate a business other than that of a financial institution; and
- 並未擔任（或自稱為）投資基金，譬如私募基金、創投基金、融資收購基金或投資策略為併購或溢資公司並以資本資產或投資目的持有該等公司利益之投資工具/Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XX **免受扣繳的清算中或破產的非金融法人/ Excepted Nonfinancial Entity in Liquidation or Bankruptcy (若適用) - 對應 Part I - 5**

34 ☐ 本人證明，第 I 部分所列法人/ I certify that the entity identified in Part I:

- 已於 _____ 提出清算計畫、提出重整計畫或提出聲請破產/ Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____ ;
- 於過去 5 年內，並未從事金融機構業務或擔任消極的非金融外國法人/ During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE; ;
- 目前並未在進行清算或提出重整或破產聲請，以持續或重新開始經營非金融法人業務；及/ Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; and
- 目前已提供未來將提供破產申請之文件證據或其他公開文件，以佐證其是否仍在破產或清算程序並已超過三年/ Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

Part XXI **符合 501(c) 節規範的組織/ 501(c) Organization (若適用) - 對應 Part I - 5**

35 ☐ 本人證明，第 I 部分所列法人為一符合 501(c) 節規範的組織/ I certify that the entity identified in Part I is a 501(C) organization that:

- 已取得國稅局所發給、目前尚有效力且日期為 _____ 之決定書，確認受款人為第 501(c) 條規定之機構；或/ Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated _____ ; or
- 已提供一份美國律師之意見書，證明受款人為第 501(c) 條規定之機構（不考慮受款人是否為外國私人基金）/ Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

Part XXII **非營利組織/ Non-Profit Organization (若適用) - 對應 Part I - 5**

36 ☐ 本人證明，第 I 部分所列法人並非營利機構，且符合下列規定/ I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements:

- 該法人係專為宗教、慈善、科學、藝術、文化或教育目的而於其所在國設立與營運/ The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- 該法人於其所在國為免納所得稅之法人/ The entity is exempt from income tax in its country of residence;
- 該法人並無擁有該法人所得或資產專屬利益或受益人利益之股東或成員/ The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- 無論該法人所在國相關法律或該法人之設立文件，皆不允許該法人之任何收入或資產，為進行該法人之慈善活動、或就所收取服務支付合理對價、或就所購買資產支付代表公平市價之價金以外之目的，而分配予任何私人或非慈善法人；以及/ Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; and
- 該法人所在國相關法律或該法人之設立文件規定，於該法人清算或解散時，其所有資產皆應分配予屬外國政府、外國政府不可或缺一部份、外國政府之受控法人、或本部分所述其他機構，或歸還該法人所在國之政府或政府之任何政治分部/ The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this Part or escheats to the government of the entity's country of residence or any political subdivision thereof.

Part XXIII **股票在證券市場正常交易的公司或其關係企業/ Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

於適用時，勾選 37a 或 37b / Check box 37a or 37b, whichever applies. (若適用) - 對應 Part I - 5

37a ☐ 本人證明/ I certify that:

- 第 I 部分所列法人係一非金融機構之外國股份公司；且/ The entity identified in Part I is a foreign corporation that is not a financial institution; and
- 上述股份公司之股份係固定於一個或多個擁有正式規範之證券市場進行交易，包括 _____ （列出股票固定交易之證券交易市場）/ The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded).

b ☐ 本人證明/ I certify that:

- 第 I 部分所列法人係一非金融機構之外國股份公司/ The entity identified in Part I is a foreign corporation that is not a financial institution;
- 第 I 部分所列法人係與一股份固定於一個擁有正式規範之證券市場進行交易之法人屬同一擴增關係企業集團/ The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- 股票固定於一擁有正式規範之證券市場進行交易之關係企業名稱為 _____ ；且/ The name of the entity, the stock of which is regularly traded on an established securities market, is _____ ; and

• 股票固定交易之證券市場名稱為

/ The name of the securities market on which the stock is regularly traded is

Part XXIV 免稅扣繳的美國屬地非金融外國法人/ Excepted Territory NFFE (若適用) - 對應 Part I - 5

38 ☐ 本人證明/ I certify that:

- 第 I 部分所列法人係一設立於美國屬地之法人 The entity identified in Part I is an entity that is organized in a possession of the United States; ;
- 第 I 部分所列法人/The entity identified in Part I:
 - 並未於其正常銀行事務或類似事務過程中接受存款/ Does not accept deposits in the ordinary course of a banking or similar business,
 - 並未代他人持有金額等於其營運主要部分之金融資產；或/ Does not hold, as a substantial portion of its business, financial assets for the account of others, **or**
 - 並非發行金融帳戶或有義務就帳戶支付款項之保險公司(或保險公司之控股公司)；及/Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
 - 第 I 部分之法人之所有所有人皆為非外國金融法人所組織或設立所在美國屬地之真實居住者/ All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

Part XXV 積極的非金融外國法人/ Active NFFE (若適用) - 對應 Part I - 5

39 ☐ 本人證明/ I certify that:

- 第 I 部分所列法人係非屬金融機構之外國法人/ The entity identified in Part I is a foreign entity that is not a financial institution;
- 該等法人前一會計年度總收入中屬於消極收入之百分比少於 50%；及/ Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- 該等法人所持有資產中，產生或持有以產生消極收入之百分比低於 50% (每季計算之加權平均消極性資產百分比)(消極性收入之定義請參閱填寫說明)/ Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI 消極的非金融外國法人/ Passive NFFE (若適用) - 對應 Part I - 5

40a 本人證明，第 I 部分所列法人係非屬金融機構之外國法人（非設立於美國屬地之投資法人），且未驗證其狀態為股票在證券市場正常交易的公司（或其聯屬公司）、免稅扣繳的美國屬地非金融外國法人、積極的非金融外國法人、運行申報之非金融外國法人或受贊助的運行申報之非金融外國法人/I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

於適用時，勾選 40b 或 40c / Check box 40b or 40c, whichever applies.

- b ☐ 本人證明，第 I 部分所列法人並無重要實質美國持有人(或非控制美國人)或/ I further certify that the entity identified in Part I has no substantial U.S. owners(or, if applicable, no controlling U.S. persons), **or**
- c ☐ 本人證明，第 I 部分所列法人，業已提供第 XXX 部分非屬金融機構外國法人之各重要實質美國持有人(或控制美國人)之姓名、地址與稅籍編號/ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXX.

Part XXVII 僅從事集團內交易的免稅扣繳之金融機構/ Excepted Inter-Affiliate FFI (若適用) - 對應 Part I - 5

41 ☐ 本人證明，第 I 部分所列法人/ I certify that the entity identified in Part I:

- 係一聯屬集團中之成員/ Is a member of an expanded affiliated group;
- 該機構未持有任何除集團成員外之金融帳戶/ Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- 該機構除與其集團成員外，未給付應扣繳款項予其他人/ Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- 並未持有除集團成員外任何帳戶或收取由扣繳代理人給付之款項；及/ Does not hold an account (other than depository account in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- 該機構並未同意申報§1.1471-4(d)(2)(ii)(C)之項目，或受委託代其他金融機構申報或執行 FATCA 相關義務，包含聯屬集團成員/ Has not agreed to report under Regulations section §1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII 受贊助的運行申報之非金融外國法人(請參閱填寫說明)/ Sponsored Direct Reporting NFFE (see instructions for when this is permitted)

42 受贊助之法人名稱為/ Name of sponsoring entity: _____ (若適用) - 對應 Part I - 5

43 ☐ 本人證明，第 I 部分所列的受贊助的運行申報之非金融外國法人，受贊助之法人為第 42 行所述之名稱/ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified in line 42.

Part XXIX 消極的非金融外國法人之重要實質美國持有人/Substantial U.S. Owners of Passive NFFE (若適用) - 對應 Part XXVI

依據第 XXVI 部分規定，提供非外國金融法人之各重要美國所有人之姓名、地址與稅籍編號。重要實質美國持有人之定義請參閱填寫說明。若消極的非金融外國法人欲提供此表格予視同遵循 Model 1 或 Model 2 協議國之需申報金融機構時，可利用此部分申報控制美國人，以符合 IGA 之規定/ As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see instructions for definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this Part for reporting its controlling U.S. persons under an applicable IGA.

姓名/Name	地址/ Address	稅籍編號/TIN

Part XXX 證明/ Certification Part XXX - 必須簽署

於同意受偽證罪規定規範之情況下，本人聲明，本人業已檢查本表所載資訊，且於本人所知範圍內，本人相信該等資訊系屬真、正確與完整。本人另同意於受偽證罪規定規範之情況下，證明下列/ 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:

1. 本表第 1 行所列法人，為本表相關所有收入之最終受益人，或為第四章目的運用本表聲明其狀態、或身為依據第 6050 W 條規定申報本表之商人/ The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W,
2. 本表第 1 行所列法人並非美國人/ The entity identified on line 1 of this form is not a U.S. person,
3. 本表所載相關收入：(a) 並非與於美國經營買賣或業務實質相關；(b) 係屬實質相關，但依據租稅協議規定不需繳納所得稅；或(c)合夥人所持有合夥企業之股份係與該等收入實質相關；且/ The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, **and**
4. 就中介商交易或以物易物交易而言，最終受益人為本表填寫名所定義之免適用扣繳規定之外國個人/ For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

另外，本人授權將本表提供給控管、收取或保管第 1 行所列法人為最終受益人之收入之扣繳義務人、或可分配或支付第 1 行所列法人係屬最終受益人之收入之任何扣繳義務人/ Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

本人同意，本人將於本表所載任何證明資訊成為不正確之日起算 30 日內申報新申請表/ I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

**在此簽署
Sign Here**



經授權為最終受益人簽署之個人簽署
Signature of individual authorized to sign for beneficial owner

大寫姓名/ Print Name

日期 (月一日—西元)
Date (MM-DD-YYYY)

☐ **本人證明，本人有權為本表第 1 行所列法人簽署/ I certify that I have the capacity to sign for the entity identified on line 1 of this form**

致： 勝利證券有限公司

自我證明表格 – 個人

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

第 1 部 個人帳戶持有人的身分識別資料

（對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

(1) 帳戶持有人的姓名

稱謂（例如：先生、太太、女士、小姐）

姓氏 *

陳

名字 *

曉明

中間名

(2) 香港身份證或護照號碼

Z123456(7)

(3) 現時住址

第 1 行（例如：室、樓層、大廈、街道、地區）

上環干諾道西3號億利商業大廈30樓D室

第 2 行（城市）*

香港

第 3 行（例如：省、州）

國家 *

中國

郵政編碼/郵遞區號碼

(4) 通訊地址（如通訊地址與現時住址不同，填寫此欄）

第 1 行（例如：室、樓層、大廈、街道、地區）

第 2 行（城市）

第 3 行（例如：省、州）

國家

郵政編碼/郵遞區號碼

(5) 出生日期 *（日/月/年）

1/1/1989

(6) 出生地點（可不填寫）

鎮/城市

省/州

國家

第 2 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1) 香港	Z123456(7)		
(2)			
(3)			
(4)			
(5)			

第 3 部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格[#]。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知勝利證券有限公司，並會在情況發生改變後 30 日內，向勝利證券有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署

姓名

身分

日期（日/月/年）

陳

陳曉明

本人

1/1/2019

（如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。）

[#] 刪去不適用者

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

樣本

Form **W-8BEN**

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

- ▶ For use by individuals. Entities must use Form W-8BEN-E.
- ▶ Go to www.irs.gov/FormW8BEN for instructions and the latest information.
- ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Instead, use Form:

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner <div style="text-align: center;">CHAN SIU MING</div>	2 Country of citizenship <div style="text-align: center;">HONG KONG</div>
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <div style="display: flex; justify-content: space-between;"> <div style="width: 70%;"> City or town, state or province. Include postal code where appropriate. Room D, 30/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong </div> <div style="width: 30%;"> Country CHINA </div> </div>	
4 Mailing address (if different from above) <div style="display: flex; justify-content: space-between;"> <div style="width: 70%;"> City or town, state or province. Include postal code where appropriate. </div> <div style="width: 30%;"> Country </div> </div>	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	6 Foreign tax identifying number (see instructions)
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions) <div style="text-align: center;">1/1/1989</div>

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
 - The person named on line 1 of this form is not a U.S. person,
 - The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
 - The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
 - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here



Signature of beneficial owner (or individual authorized to sign for beneficial owner)

1/1/2019

Date (MM-DD-YYYY)

CHAN SIU MING

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 7-2017)

W-8BEN — 美國預扣稅及申報實益擁有人之外籍身分證明(個人)



如為聯名戶口，每位戶口持有人必須分別填寫一份表格。

W-8BEN表格必須準確填寫，不得塗改。

如果填寫有誤，請用新表格重新填寫。

請勿使用塗改液或其他塗改工具。

所有W表格均必須以英文填寫。

Form **W-8BEN** **Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

(Rev. February 2014)

Department of the Treasury
Internal Revenue Service

OMB No. 1545-1621

► For use by individuals. Entities must use Form W-8BEN-E.
► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form if:

- You are NOT an individual
- You are a U.S. citizen or other U.S. person, including a resident alien individual
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services)
- You are a beneficial owner who is receiving compensation for personal services performed in the United States
- A person acting as an intermediary

Instead, use Form:

- W-8BEN-E
- W-9
- W-8ECI
- 8233 or W-4
- W-8IMY

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner
David Wieslaw Tadeusz

2 Country of citizenship
Malaysia

3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.
168 Jalan Garden
City or town, state or province. Include postal code where appropriate.
12873 AS 20, Selangor, Malaysia

4 Mailing address (if different from above)
City or town, state or province. Include postal code where appropriate.
Country
Malaysia

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Certification

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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
(a) not effectively connected with the conduct of a trade or business in the United States,
(b) effectively connected but is not subject to tax under an applicable income tax treaty, or
(c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here

1 Signature of beneficial owner (or individual authorized to sign for beneficial owner)

2 Date (MM-DD-YYYY)

3 Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 25047Z Form **W-8BEN** (Rev. 2-2014)

A. 請詳閱本節和相關指引，以確保使用正確的W表格。

B. 第一部分 (實益擁有人身分)

第1欄 全名 (姓名)

第2欄 國籍

第3欄 在第一行填寫完整的街道地址，在第二行填寫城市或城鎮、州或省，包括郵政編碼。

請勿使用：

郵政信箱或代收地址

第三方姓名

金融機構的地址

美國地址

第4欄 如果您的郵寄地址與永久居住地址不同，請填寫郵寄地址。

注意：如果填寫美國郵寄地址，必須書面說明使用美國郵寄地址的原因。如果填寫的國家與永久居住地所在國家不同，也必須書面說明原因。

第5欄 填寫您的美國納稅人識別號碼(TIN)。該號碼為您的社會保障號碼(SSN)或個人納稅人識別號碼(ITIN)。有效的納稅人識別號碼應由9個數字組成。

納稅人識別號碼不會：

(1) 含有數字以外的內容，

(2) 少於或超過9個數字，

(3) 含有9個相同的數字，或

(4) 含有9個順序排列的數字（無論升序還是降序）。

第6欄 填寫您在美國以外的稅務識別號碼。如果沒有外國稅務識別號碼，請轉至

第8欄 並填寫您的出生日期（月/ 日/ 年/ 年/ 年/ 年）

第7欄 請勿填寫戶口號碼，否則表格將僅限於所列戶口使用，您可能須為您的其他戶口另外填寫表格。

注意：有關誰是實益擁有人的進一步說明，請參閱W-8BEN指引。

C. 第二部分 (申請稅務協定利益)

第9欄和第10欄 僅當您是協定國居民並有權申請稅務協定利益，即您收到源自美國的固定或可確定年度或定期(FDAP)收入（例如股息）時，才需填寫本節內容。如果對您是否有資格申請稅務協定利益存有疑問，我們建議您尋求獨立稅務意見。

D. 第三部分 (證明)

1. 請在表格上簽名，並在簽名下方的橫線上以正楷工整書寫姓名。

2. 請以月/ 日/ 年/ 年/ 年/ 年的格式填寫日期。

3. 如果您代表第1欄所述的人士簽名，請填寫行事代表人這一欄。

注意：除非授權書特別注明代理人/ 律師可以簽署稅務文件或稅務表格（並提供或持有相關副本），或者提供國稅局2848表格，否則本表格不得通過授權書授權簽署。

* 勝利證券不能提供任何稅務建議。如需有關建議，請諮詢獨立稅務顧問。

W-8BEN – Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

For Joint Accounts, each account holder must complete a separate form.
A form W-8BEN must be completed correctly without any alterations.
If you make a mistake, please start over using a new form.
Do not use liquid paper or any other correctional tool.

All W Forms must be completed in English.

Form **W-8BEN**
(Rev. February 2014)
Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)
► For use by individuals. Entities must use Form W-8BEN-E.
► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual
- You are a U.S. citizen or other U.S. person, including a resident alien individual
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services)
- You are a beneficial owner who is receiving compensation for personal services performed in the United States
- A person acting as an intermediary

Instead, use Form:

- W-8BEN-E
- W-9
- W-8ECI
- 8233 or W-4
- W-8IMY

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner
David Wieslaw Tadeusz

2 Country of citizenship
Malaysia

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**
168 Jalan Garden
City or town, state or province. Include postal code where appropriate.
12873 AS 20, Selangor, Malaysia

Country
Malaysia

4 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Certification
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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ►

1
Signature of beneficial owner (or individual authorized to sign for beneficial owner)

2
Date (MM-DD-YYYY)

3
Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2014)

A. Please read this section and the associated instructions to ensure you are completing the correct W form.

B. PART I (Identification of Beneficial Owner)

Line 1 Full Name (First Name and Last Name).

Line 2 Country of Citizenship

Line 3 Insert full street address on the first line, and the City or town, state or province including post code on the 2nd line.

DO NOT USE:

PO Box or C/O address

Name of a third party

Address at a Financial Institution

US address

Line 4 Insert a mailing address only if it is different from your Permanent residence address.

Note: If a US mailing address is entered, a written explanation/reason for the US mailing address will be required. If the country differs to the country in the permanent residence address then a written explanation will be required.

Line 5 Insert your US Taxpayer Identification Number (TIN). It will either be a Social Security Number (SSN) or an Individual Taxpayer Identification Number (ITIN). A valid TIN will always be made up of 9 digits.

A TIN should not:

(1) contain something other than numbers,

(2) contain fewer than or more than nine digits,

(3) consist of nine of the same number, or

(4) consist of nine sequential numbers (whether ascending or descending order).

Line 6 Insert your non-US tax identifying number. If you do not have one, go to

Line 8 and write down your date of birth (MM/DD/YYYY).

Line 7 DO NOT LIST ACCOUNT NUMBERS as this could limit the form to the accounts listed and you may have to provide another form for your other accounts.

Note: Please refer to the W-8BEN instructions for further guidance on who is the beneficial owner.

C. PART II (Claim of Tax Treaty Benefits)

Lines 9 and 10 Only complete this section if you are resident in a treaty country and entitled to claim tax treaty benefits, ie if you are receiving fixed or determinable, annual or periodical (FDAP) income, for example dividend payments, and the payment is from sources within the US. If you have any queries regarding your eligibility to claim tax treaty benefits, we suggest that you seek independent tax advice.

D. PART III (Certification)

1. Please sign the form and print your name on the line below your signature.

2. Please date the form using the MM/DD/YYYY format.

3. If you are signing on behalf of the person stated on **Line 1**, please complete the capacity field.

Note: This form cannot be signed under a Power of Attorney (POA) unless the POA document specifically mentions that the agent/attorney is able to sign on tax matters or on tax forms (and a copy is provided, or held), or alternatively if an IRS Form 2848 is provided.

* Victory Securities are unable to provide any Tax advice. If you require any advice please refer to an independent tax advisor.