

## FATCA and CRS Self-Certification (for Individual)

### FATCA 及 CRS 身分聲明書(個人版)

#### Important Notes: 重要提示:

Regulations based on Foreign Account Tax Compliance Act ("FATCA") and Organization for Economic Cooperation and Development Common Reporting Standard ("CRS") require financial institution to collect and report certain required information based on an account holder's tax residence.

在外國賬戶稅收遵從法("FATCA")及經濟合作與發展組織共同申報準則("CRS")要求下,財務機構需收集並根據賬戶持有人的稅籍作申報。

This is a self-certification form provided by an account holder to Sinostar Securities Limited ("SINOSTAR") for the purpose of automatic exchange of financial account information and compliance of the Foreign Account Tax Compliance Act of the United States.

這是由賬戶持有人向華星證券有限公司(「華星」)提供的自我證明表格,以作自動交換財務賬戶資料及美國外國賬戶稅收遵從法申報用途。

All parts of the form must be completed (unless not applicable). If space provided is insufficient, continue on additional sheet(s).

除不適用,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。

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

本申報表編成中英文版本,兩種文本之間如有歧義,以英文版為準。

#### 1) Client Account Holder Identification 客戶賬戶持有人資料

Account No 帳戶號碼 : \_\_\_\_\_ ID or Passport No 身份證或護照號碼 : \_\_\_\_\_

Chinese Name 中文姓名 : \_\_\_\_\_ English Name 英文姓名 : \_\_\_\_\_

Current Residence Address 現時居住地址:

Suite, Floor, Building 室、樓層、大廈 Street, District, City 街道、地區、城市 Country 國家 Post Code/ZIP Code 郵政編碼/郵遞區號碼

Mailing Address (If different to the current residence address) 通訊地址 (如與現時住址不同):

Suite, Floor, Building 室、樓層、大廈 Street, District, City 街道、地區、城市 Country 國家 Post Code/ZIP Code 郵政編碼/郵遞區號碼

Date of Birth 出生日期 : \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Place of Birth 出生地點 : \_\_\_\_\_

#### 2) Tax Residences(s) 稅籍

The Account Holder is only a Hong Kong resident  
帳戶持有人僅為香港稅務居民

The Account Holder is not or not only a Hong Kong tax resident. (Please indicate the country(ies) of tax residence below)  
帳戶持有人不為或是不僅為香港稅務居民。(請於下方註明帳戶持有人之所有稅籍)

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號,填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 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)			
(2)			
(3)			

The TIN for a tax resident of Hong Kong is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:  
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
Reason B – The account holder is unable to obtain a TIN.  
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
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。  
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。

### 3) FATCA Identification FATCA 身分聲明書

U.S. Indicia Questionnaire: 持有有可能被視為美國帳戶的特徵問卷：

<input type="checkbox"/> U.S. citizen/tax resident? (U.S. passport / green card holder, U.S. taxpayer, etc.) <input type="checkbox"/> 美國公民/ 美國稅務居民? (美國護照 / 綠卡持有人, 美國納稅人等)	<input type="checkbox"/> No/否 <input type="checkbox"/> Yes/是
<input type="checkbox"/> U.S. place of birth? <input type="checkbox"/> 出生地為美國?	<input type="checkbox"/> No/否 <input type="checkbox"/> Yes/是
<input type="checkbox"/> U.S. address (residence / mailing / P.O. Box) U.S. telephone number? <input type="checkbox"/> 美國地址 (居住地址/ 通訊地址 / 郵政信箱地址) 美國電話號碼?	<input type="checkbox"/> No/否 <input type="checkbox"/> Yes/是

#### DECLARATION 聲明

I have been briefed and I hereby confirm I understand the FATCA requirements. I hereby declare that I am  
本人已被告知及確認明白 FATCA 的要求。本人在此聲明我是

Please tick one box only 請於其中一個空格內✓

(i) Non-U.S. Individual with no U.S. indicia / 非美國公民及沒有持有有可能被視為美國帳戶的特徵	<input type="checkbox"/>
(ii) Non-U.S. Individual with U.S. Indicia / Non-U.S. Legal Entity (provide Form W-8BEN) / 非美國公民但持有有可能被視為美國帳戶的特徵 / 非美國公司 / 法人 (請附上 W-8BEN 表格)	<input type="checkbox"/>
(iii) U.S. Individual / U.S. Legal Entity (provide Form W-9) / 美國公民 / 美國公司 / 法人 (請附上 W-9 表格)	<input type="checkbox"/>

### 4) Declarations and Signature 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by SINOSTAR for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by SINOSTAR to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，華星可根據《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稅務當局。

I consent to and authorize (if applicable) SINOSTAR to (a) withhold any applicable tax payments in the account and (b) report or disclose all relevant information relating to or arising from the account.

本人同意並授權 (如適用) 華星 (a) 保留應繳稅項及 (b) 報告或披露所有與戶口有關的資料。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. I should report all changes in my tax residency status to SINOSTAR as soon as practicable and within 30 days of such changes.

本人聲明就本人所知所信，表格內填報的所有資料和聲明均屬真實、正確和完備。如本人的稅務居民身分有所改變，本人會盡快並確保在發生改變後的 30 日內通知華星。

Client Signature

客戶簽署

Date 日期