

遵循 FATCA 法案聲明暨同意書

FATCA Declaration and Reporting Consent

一、聲明暨申報同意書

1. Declaration and Reporting Consent

本人就遵循 FATCA (即外國帳戶稅收遵從法案) 事項, 對下列事項特為聲明, 且同意配合提供相關佐證資料, 並同意 貴公司向美國政府申報:

In compliance with Foreign Account Tax Compliance Act (hereinafter the "FATCA"), I hereby declare the following information and agree that any supporting information (if required) would be provided to Masterlink Securities (Hong Kong) Corporation Limited (hereinafter "Masterlink"); and give my consent for reporting purposes by Masterlink to U.S. government:

一、自然人 1. Individual	<input type="checkbox"/> 本人為美國納稅義務人 (提供 W-9 表) I am a U.S. Tax resident (Please provide W-9 form) <input type="checkbox"/> 本人非美國納稅義務人 (具美國指標者提供 W-8BEN 表) I am <u>not</u> a U.S. Tax resident (Please provide W-8BEN form if U.S. indicia(s) is found)
二、法人 2. Entity	<input type="checkbox"/> 本人為美國註冊之法人 (提供 W-9 表) I am a U.S. registered entity (Please provide W-9 form) <input type="checkbox"/> 本人非為美國註冊之法人 I am <u>not</u> a U.S. registered entity <input type="checkbox"/> 本人為金融機構 (FFI, 指金控、銀行、證券、保險、投信、期貨、租賃、票券、資產管理、證券金融公司、信用卡公司等) (原則提供 W-8BEN-E , 中間人則提供 W-8IMY , 若符合一定條件者可提供 W-8EXP 或 W-8ECI 。除中間人外, 若完整填寫以下內容, 則無須提供前開表格): I am a Financial Institution (FFI includes: Financial Holding companies, Banks, Securities companies, Insurance companies, Securities Investment Trust companies, Leasing company, Bills finance corporations, Asset management companies, Securities finance companies and Credit card companies, etc.) (Please provide W-8BEN-E form, and if an entity is an intermediary entity, please provide W-8IMY form. If certain criteria are satisfied, W-8EXP or W-8ECI is also acceptable. If the following fields can be completed, the previously mentioned forms are not required except for intermediary entity.) Legal Name of FI : _____ ; Country of FFI or Branch : _____ ; GIIN : _____ <input type="checkbox"/> 1. 有簽署協議的外國金融機構 Participating FFI <input type="checkbox"/> 2. 有模式一下應申報的外國金融機構 Reporting Model 1 FFI <input type="checkbox"/> 3. 有模式二下應申報的外國金融機構 Reporting Model 2 FFI <input type="checkbox"/> 4. 註冊視同合規的外國金融機構 Registered Deemed Compliant FFI <input type="checkbox"/> 5. 尚未取得 GIIN 之受贊助的外國金融機構 Sponsored FFI that has not obtained a GIIN <input type="checkbox"/> 本人非為金融機構 (NFFE) (原則提供 W-8BEN-E , 中間人則提供 W-8IMY , 若符合一定條件者可提供 W-8EXP 或 W-8ECI) I am a Non-Foreign Financial Entity (NFFE) (Please provide W-8BEN-E form, and if an entity is an intermediary entity, please provide W-8IMY form. If certain criteria are satisfied, W-8EXP or W-8ECI is also acceptable.)

本人保證於本同意書所提供之資料正確無誤, 絕無虛偽不實之情形, 並承諾如有變更, 應以書面於 **30** 日內主動告知 貴公司。如有違反, 造成爭議或損害或被視為不合作帳戶, 或成為未簽署協議之外國金融機構悉由本人負責。

I hereby acknowledge that the information provided on this form is accurate and agree that **Masterlink would be informed of any changes in written form upon 30 days of change occurrence.** If I breaches the terms and if any disputes or losses occur as a result, or it causes Masterlink to treat myself as an Recalcitrant account holder /Non-Participating Foreign Financial Institution(NPFFI), I would take full responsibilities accordingly.

本人同意如符合美國 FATCA 應申報者, 貴公司得將因業務往來而取得本人之資訊(如名稱、地址、美國稅籍編號等等), 及與 貴公司往來的帳戶相關資訊 (例如帳號、帳戶餘額/價值、股東姓名、地址等), 於美國政府要求之範圍內, 向美國稅務機關申報, 如本人經認定為不合作帳戶或不合規金融機構者, 貴公司得依 FATCA 之規定, 就本人之美國來源之所得執行扣繳。

I agree that if I satisfy the FATCA requirements for reporting, my personal information obtained by Masterlink from ordinary business courses (including full name, permanent residence address, U.S. taxpayer, etc.) and account related information maintained by Masterlink (including account number, account balance/value, shareholders' names and mailing addresses, etc.) may be reported to the U.S. Tax authority within the

元富證券(香港)有限公司 Masterlink Securities (HK) Corp. Ltd. (遵循 FATCA 法案使用 for FATCA compliance) requirements by U.S. government. In the event where I have been confirmed as an Recalcitrant account holder /NPFPI, Masterlink may, according to FATCA regulation, withhold U.S. sourced income where necessary.

二、個人資料告知書 2. Individual Personal Information Acknowledgement Form

本人(即立書人)已獲告知並同意 貴公司在合於下列事項範圍內,得蒐集、處理、國際傳輸及利用本人之個人資料:

I am informed and I agree that Masterlink may collect, process, report internationally and utilize of information relating to me in events described as follows:

自然人:為提供 台端本公司營業登記項目、章程所訂業務等服務,並符合 FATCA 規定之目的,於本公司遵循 FATCA 規定必要範圍所在地,除法令規定或另有約定者外,在本目的存續期間或 台端與本公司間契約期間屆滿後十五年內,本公司將對 台端依美國政府稅務機關 W-8BEN、W-8BEN-E、W-8EXP、W-8IMY、W-8ECI 或 W-9 表格內記載之個人資料類別為蒐集、處理、利用及國際傳輸,並提供予中華民國政府機關、美國政府機關暨處理 FATCA 相關事務之單位或機構。除有法令規定所不許外, 台端得依本公司之規定行使個人資料保護法第三條之權利:(1)查詢或請求閱覽。(2)請求製給複製本。(3)請求補充或更正。(4)請求停止蒐集、處理或利用。(5)請求刪除。 台端如不同意提供個人資料,本公司將無法為 台端提供服務。

Natural person: For the purposes of business services registration, company constitution stipulation and FATCA compliance, due to the location of Masterlink residing in a FATCA adhering country, except for those subject to certain legislations or contractual agreements, Masterlink will collect, process, report internationally and utilize of information found on forms including W-8BEN、W-8BEN-E、W-8EXP、W-8IMY、W-8ECI or W-9 within time period of this purpose, or within 15 years after the end of the contractual period between Masterlink and its clients, and I agree that such information may be provided to the government of Taiwan, U.S. government and units or institutions for FATCA related matters. Unless explicitly forbidden by the law, Masterlink may carry out the rights stated in the Personal Information Protection Act Article 3:(1) Any inquiry and request for a review of the personal information (2) Any request to make duplications of the personal information (3) Any request to supplement or correct the personal information (4) Any request to discontinue collection, processing or use of personal information; and (5) Any request to delete the personal information. Services can no longer be provided to persons who disagree on providing his/her personal information.

法人:如本人為法人,所提供之資料涉及個人資料者,如提供法人代表人或股東資料,前揭個人資料告知書之權利與應告知事項,本人承諾代 貴公司轉知並取得同意。

Entity: For entities, in events where information provided is related individual's personal information as though entity representatives or shareholders information; I declare to act on behalf of Masterlink; to pass on and obtain consent for matters previously stated in relation to Individual Personal Information Acknowledgement Form.

三、聲明書 3. Declaration

本人已詳閱「聲明暨申報同意書」與「個人資料告知書」,確實聲明並同意如上。本人知悉如拒絕聲明暨申報或拒絕提供相關佐證資料,將無法完成開戶作業。

I hereby declare that I have read the Declaration of Reporting Consent and Individual Personal Information Acknowledgement Form and verified the information provided. I am aware that, if I refuse to make the declaration and reporting or provide relevant information, the account opening procedure will not be completed.

此 致 To: 元富證券(香港)有限公司 Masterlink Securities (Hong Kong) Corporation Limited

客戶名稱 Client Name: _____

客戶簽署 Client' Signature: _____

法定代理人: _____ (with company chop and Signature(s))
Client's Agent
/authorized person(s)

日期 Date: _____