

## Self-Certification Form (Individual) 個人自我證明表格

To: Riches Depot Securities Co., Limited

致: 聚富證券有限公司

Account Number 戶口號碼: \_\_\_\_\_

(If you are a Joint account holder, each joint account holder must submit a separate Self-Certification Form)

(如 貴戶為聯名戶口持有人, 每位聯名人士必須遞交個別自我證明表格)

### Particulars of Account Holder 戶口持有人資料

Full Name in Chinese 中文全名: \_\_\_\_\_ I.D. Card / Passport No. 身份證/證件號碼: \_\_\_\_\_

Full Name in English 英文全名: \_\_\_\_\_

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

Current Residence Address 現時住址: \_\_\_\_\_

Mailing Address 通訊住址 (Complete if different to the current residence address 如與現時住址不同, 請填此欄): \_\_\_\_\_

### Certification of Account Status (For Individual Account Holder only) 身份認證(只限個人戶口持有人)

- |   | Yes 是                    | No 否                     |
|---|--------------------------|--------------------------|
| a) I certify that I am a citizen of the United States of America. 本人聲明及保證本人為美國公民。   | <input type="checkbox"/> | <input type="checkbox"/> |
| b) I certify that I am a resident of the United States of America for US federal income tax purposes. Resident of the United States of America includes without limitation any individual who (i) holds a US Permanent Resident Card (a green card) or (ii) meets a US "substantial presence" test under the US federal income tax law. | <input type="checkbox"/> | <input type="checkbox"/> |

本人聲明及保證本人為美國聯邦稅法定義下的美國居民。美國居民包括(i)美國永久居民卡(“綠卡”)持有者或(ii)通過美國聯邦稅法所規定“居住測試”的人士。

If yes in either a) or b), please provide the US Taxpayer Identification Number (i.e., US Social Security Number):

如您在問題 a)到 b)任何一處勾選“是”, 請在下方提供您的美國納稅人識別號碼(美國社會保險號碼):

			-			-				
--	--	--	---	--	--	---	--	--	--	--

- c) I certify that I am a resident for tax purposes in the jurisdiction(s) as indicated in the table below and I hereby provide my Taxpayer Identification Number or the functional equivalent thereof ( "TIN" ) for each jurisdiction indicated.

本人聲明及保證本人為下方列表列出居留司法管轄區之稅務居民並特此提供每個所列居留司法管轄區的稅務編號或具有等同功能的識別編號(“稅務編號”)。

Notes to completing the table below:

填寫下方列表時注意:

Please indicate **all** jurisdictions of residence for tax purposes (including the Hong Kong Special Administrative Region of the People's Republic of China ( "Hong Kong" ) where applicable). The United States of America need not be listed in the table below. If space provided below is insufficient, continue on additional sheet(s).

請提供所有閣下作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區(“香港”)如適用)。美國無需在下方列表列出。如下方空位不夠應用, 可在額外的表格填寫。

If you are a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).

如閣下為香港的稅務居民, 稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。

Please note that Hong Kong, the Macau Special Administrative Region of the People's Republic of China, the People's Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.

請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區

If you have any questions about your jurisdiction(s) of residence for tax purposes or how to complete the table below, please contact your tax advisor.

如閣下有關於 貴作為稅務居民的居留司法管轄區, 或如何填寫下方列表的疑問, 請向 貴稅務顧問諮詢。

If a TIN is not provided, please select one of the reasons below:

Reason A – The jurisdiction does not issue TINs to its residents.

Reason B – You are unable to obtain a TIN. Please provide explanation in the table below.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.

如沒有提供稅務編號, 請選擇以下一個理由:

理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 閣下不能取得稅務編號。請在下方列表提供解釋。

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

Jurisdiction(s) of Residence for Tax Purposes 稅務居民的居留司法管轄區	TIN 稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B，解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

Residence Address for Tax Purposes: 稅務用途住址 (Please include address, city/town and country) (填寫時請包括地址，城市與國家)

### SIGNATURE, DECLARATIONS AND CONSENT FOR DISCLOSURE 簽署，聲明及同意披露

I acknowledge and agree that the information on this Self-Certification Form is collected and may be kept by Riches Depot Securities Co., Limited for the purposes of Automatic Exchange of Financial Account Information ( "AEOI" ), including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and the US Foreign Account Tax Compliance Act ( "FATCA" ), and such information (including my personal data provided herein (the "Personal Information" )) may be reported by Riches Depot Securities Co., Limited to (i) the Hong Kong Inland Revenue Department (the "IRD" ) for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the "Relevant Authorities" ) in which I am a resident for tax purposes, and/or (ii) the US Internal Revenue Service (the "IRS" ) or otherwise in connection with FATCA.

本人知悉及同意，本表格所載資料由聚富證券有限公司收集並可備存作自動交換財務帳戶資料《AEOI》(包括香港法例第 112 章《稅務條例》第 50B(3)條)和美國海外帳戶稅收合規法案《FATCA》用途，及可被聚富證券有限公司把該等資料(包括本人在此提供的個人資料(“個人資料”)) (i)向香港稅務局(“稅務局”)申報，從而把資料轉交到本人作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關(“相關當局”)，和/或(ii)向美國稅務局申報或其它 FATCA 相關的申報。

I hereby expressly give my consent to the disclosure, use and making available by Riches Depot Securities Co., Limited for information (including the Personal Information) on this Self-Certification Form as well as those relating to or derived from my account maintained with Riches Depot Securities Co., Limited in my capacity as an account holder, to the IRD, the Relevant Authorities and/or the IRS from time to time for the purposes of, or in connection with, AEOI, FATCA.

本人明確表示同意聚富證券有限公司因或有關 AEOI、FATCA 的其它課題不時向稅務局、相關當局和/或美國稅務局披露，使用和提供本表格所載資料(包括個人資料)和/或與本人以戶口持有身份持有的戶口有關或從中所獲得的資料。

I understand that my Personal Information will continue to be made available to the IRD, the Relevant Authorities and/or the IRS until such time as Riches Depot Securities Co., Limited have received my written notification of revocation of my consent. I further understand that following withdrawal of my consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD, the Relevant Authorities and/or the IRS to which it was previously disclosed for the purposes of, or in connection with, AEOI, FATCA and/or any other Tax Information Exchange Framework matters.

本人明白本人的個人資料將可能被提供予稅務局、相關當局和/或美國稅務局，直至本人以書面形式通知聚富證券有限公司撤銷有關同意。本人進一步明白，在撤銷有關同意前已因或有關 AEOI、FATCA 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局、相關當局和/或美國稅務局繼續查閱。

I certify that I am the account holder (within the meaning of each of AEOI and FATCA) of the account(s) to which this Self-Certification Form relates.

本人聲明及保證，就與本表格所有相關的帳戶，本人是按 AEOI 和 FATCA 定義下的帳戶持有人。

I agree that I will advise Riches Depot Securities Co., Limited of any change in circumstances which (i) affects my jurisdiction(s) of residence for tax purposes and/or my US or non-US status or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete, and I will submit a new Self-Certification Form to Riches Depot Securities Co., Limited within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格的(i)本人作為稅務居民的居留司法管轄區和/或本人的美國或非美國身份，或(ii)引致本表格所載的資料不正確或不完整，本人會通知聚富證券有限公司，並會在情況發生改變後 30 日內，向聚富證券有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements in this Self-Certification Form are, to the best of my knowledge and belief it is true, correct and complete.

本人在此聲明本人已閱讀明白此自我證明表格內所有之內容。同時聲明盡本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature of Account Holder 戶口持有人簽署

Date 日期

Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong) if any person, in making a self-certification relating to AEOI, makes a statement that is misleading, false or incorrect in a material particular and knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e., \$10,000).

警告:根據香港法例第112章《稅務條例》第80(2E)條，如任何人在自我證明表格作出關於AEOI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。

This Self-Certification Form is written in English with a translation in Chinese. In case of inconsistency, the English version shall prevail.

此自我證明表格的中英文本內容如有歧異，當以英文本為準。