



中國信託綜合證券(香港)有限公司

CTBC Asia Limited

香港中環金融街 8 號國際金融中心二期 28 樓  
28/F., Two International Finance Centre,  
8 Finance Street, Central, Hong Kong.  
電話 Tel : (852)2916 1784  
傳真 Fax : (852)3101 0278

## FATCA and CRS Self-Certification (for Individual) FATCA及CRS身分聲明書(個人版)

Note: Please fill in this self-certification in English.

註：請以英文填寫此份聲明書。

### 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. Each jurisdiction has its own rules for defining tax residence. In general, individual tax residence is defined as the jurisdiction where the person’s physical presence or stay in a place. If the tax residence of the account holder is located out of Hong Kong, under CRS, we may legally be obliged to pass on the information with respect to your financial account to the tax authorities in the country where you tax residence locate; and under FATCA, to the Internal Revenue Service of the United State.

在外國帳戶稅收遵從法(以下簡稱「FATCA」)及經濟合作與發展組織《通用報告標準》要求下，

財務機構需收集並根據帳戶持有人的稅籍作申報。一般來說，個人的稅籍乃指個人在稅籍所在地實際存在或停留。在《通用報告標準》下，如帳戶持有人的稅籍在香港以外，財務機構在法定上需向帳戶持有人稅籍所在地申報帳戶資料。及在 FATCA 要求下，向美國國稅局申報帳戶資料。

● This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information (“AEOI”) and compliance of the Foreign Account Tax Compliance Act (“FATCA”) of the United States.

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及美國外國帳戶稅收遵從法申報用途。

● An account holder should report all changes in his/her tax residency status to the reporting financial institutions within 30 days after the change happened.

如帳戶持有人的稅務居民身分有所改變，應在發生變更後30日內通知申報財務機構。

● 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，否則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。



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## Part I: Account Holder Identification

第一部分：帳戶持有人基本資料

### A. Name of Account Holder 立約人姓名:

Family Name or Surname(s) 姓: \_\_\_\_\_

First or Given Name 名: \_\_\_\_\_

Middle Name(s) 中間名: \_\_\_\_\_

### B. Current Residence Address 居住地址:

<u>(House/Apt/Suite Name, Number, Street</u>	<u>Town/City/Province/County/State</u>	<u>Country</u>	<u>Postal Code/ZIP Code)</u>
( 室、樓層、大廈、街道、地區	城鎮/城市/省/州	國家	郵政編碼/郵遞區號)

### C. Mailing Address 通訊地址:

(complete only if different to the address shown in Section B above 若通訊地址與居住地址不同時請填寫此欄)

<u>(House/Apt/Suite Name, Number, Street</u>	<u>Town/City/Province/County/State</u>	<u>Country</u>	<u>Postal Code/ZIP Code)</u>
( 室、樓層、大廈、街道、地區	城鎮/城市/省/州	國家	郵政編碼/郵遞區號)

### D. Birth Information 出生資訊:

Date of Birth 出生日: \_\_\_\_\_(YYYY/MM/DD)

Place of Birth 出生地: \_\_\_\_\_



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## Part II: Tax Residence(s)

### 第二部分：稅籍

1. ☐ The Account Holder is only a Hong Kong resident and does not have any U.S indicia described in point 2 of Part III (go to Declarations and Undertakings).

立約人僅為香港稅務居民且確認並無第三部分第 3 選項所列之美國跡象(前往聲明及了解部分)。

2. ☐ The Account Holder is not or not only a Hong Kong tax resident.

立約人不為或是不僅為香港當地稅務居民。

Please indicate the country(ies) of tax residence below.

請於下方註明立約人之所有稅籍。

If a TIN is unavailable please provide the reason A, B or C where appropriate:

無法提供 TIN 者，請選填原因 A、B 或 C。

Reason A – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.

原因 A-立約人所屬的稅務管轄區並無發給稅籍編號予其居民。

Reason B – The Account Holder is unable to obtain a TIN or equivalent number

(Please explain why the Account Holder is unable to obtain a TIN in the below table if this reason is selected.)

原因 B-立約人無法取得稅籍編號或類似編號(若選填此項者，請說明解釋無法取得稅籍編號之原因)。

Reason C – No TIN is required. Only select this reason if the domestic law of the relevant jurisdiction does not require disclosure of the TIN issued by such jurisdiction.

原因 C – 無需提供稅籍編號 (居留之稅籍管轄區無需揭露稅籍編號時，才能選填此項)。

**Tax residence (Jurisdiction)**

**Tax Identification Number**

稅籍(管轄區)

稅籍編號

If no TIN available, please enter Reason A, B or C, and the reason why choosing B  
無法提供 TIN 者，請選填原因 A、B 或 C，並提供選填 B 之原因




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### Part III: FATCA Identification

#### 第三部分：FATCA 身分別

1. ☐ The Account Holder is a U.S. resident for tax purposes (fulfilling the following definition of U.S. resident for tax purposes), and hereby submits Form W-9 to demonstrate (01- W-9 - U.S. Person (Individual or Entity)).
1. ☐ 立約人為美國稅務居民(即符合下列之定義)·且願意提供美國 W-9 稅務表格以茲證明立約人之美國外國帳戶稅收法遵從(以下簡稱 FATCA)身分 (01- W-9 - U.S. Person (Individual or Entity)) 。

#### **Definition of U.S. resident for tax purposes**

##### 美國稅務居民定義

A U.S. resident for tax purposes (applying to one of the following two conditions):

符合以下任一條件即為美國稅務居民：

1. A U.S. citizen or an individual lawfully admitted for permanent residence in the U.S. (including without limitation, a green card holder) and thus a U.S. resident for tax purposes pursuant to all applicable U.S. tax laws.

美國公民、或具美國永久居留權 ( 包含但不限於綠卡持有人 ) 因此，就稅務目的而言適用美國居民的美國稅法。

2. Have or had been present in the U.S. (including the U.S. territories and territorial waters) without type F, J, M or Q visa and the number of the days of presence in the U.S. aggregates to at least:

未持有美國 F、J、M、Q 等任一類型簽證，且停留於美國境內(含本土、海外領土及領海，以下同)天數合計不少於：

- (1) 31 days or above during this calendar year, in which this certification is dated and

今年停留於美國境內天數累計 31 天(含)以上；且

- (2) 183 days or above, by summing up the number of:

- i. The days of presence in the U.S. during current calendar year (e.g., 2014), and
- ii. One-third of the days of presence in the U.S. during the first preceding calendar year (e.g., 2013), and
- iii. One-sixth of the days of presence in the U.S. during the second preceding calendar year (e.g., 2012).

「今年停留美國境內天數全數」加計「去年停留美國境內天數之三分之一」再加計「前年停留美國境內天數之六分之一」後，合計天數達 183 天(含)以上。



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☐ 2. I am not a U.S. resident for tax purposes as:

☐ 2. 本人非屬美國稅務居民。

I. I am not a U.S. citizen or an individual lawfully admitted for permanent residence in the U.S. (including without limitation, a green card holder) and thus not a U.S. resident for tax purposes pursuant to all applicable U.S. tax laws; or

本人非屬美國公民、不具美國永久居留權（包含但不限於綠卡持有人）、因此，就稅務目的而言不適用美國居民的美國稅法；或

II. I do not hold type F, J, M or Q visa and the number of days of my presence in the U.S. did not reach: 本人未持有美國 F、J、M、Q 等任一類型簽證，停留於美國境內未達：

(1) 31 days or above during the current calendar year, in which this certification is dated, and 本聲明書日期的年度內累計天數達 31 天(含)以上；且

(2) 183 days or above, by summing up the number of:

以下(i)至(iii)之項目合計天數達 183 天(含)以上：

- i. The days of my presence in the U.S. during the current calendar year, and 今年停留美國境內天數全數；及
- ii. One-third of the days of my presence in the U.S. during the first preceding calendar year, and 去年停留美國境內天數之三分之一；及
- iii. One-sixth of the days of my presence in the U.S. during the second preceding calendar year. 前年停留美國境內天數之六分之一；及

☐ 3. I am not a U.S. resident for tax purposes BUT I have one of the following U.S. indicia on file, and hereby submit substitute Form W-8BEN to demonstrate

☐ 3. 本人非屬美國稅務居民，但因本人與貴公司往來所提供及留存資料中具以下任一美國人跡象，因此同意另簽署美國 W-8BEN 替代文件稅務表格：

- i. Designation of the account holder as a U.S. citizen or resident; (※please provide a certificate of Loss of Nationality of the United States)  
曾經具有美國公民身分或永久居留權；(※請提供美國國籍喪失證明)
- ii. A U.S. place of birth (※please provide a certificate of Loss of Nationality of the United States);  
出生地為美國(※請提供美國國籍喪失證明)；
- iii. A current U.S. residence address or U.S. mailing address (including a U.S. post office box);  
於美國境內設有居住地址或通訊地址（包含美國郵政信箱）；
- iv. A current U.S. telephone number;  
美國境內之電話號碼；
- v. Standing instructions to pay amounts from the account to an account maintained in the United States;



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定期自動為匯款至某一美國境內帳戶之常行指示;

- vi. A current power of attorney or signatory authority granted to a person with a U.S. address; or  
以代理方式向本公司申請開戶之被授權人或所提供授權相關文件(Power of Attorney)中  
列載之有權簽署人之資料具有美國境內地址;
- vii. An “in-care-of” address or a “hold mail” address that is the sole address the FFI has  
identified for the account holder.  
該帳戶持有人之檔案資料內僅有轉交郵件地址(In-Care-Of)或代存郵件地址  
(Hold Mail)。



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## Declarations and Undertakings

### 聲明及了解

I hereby declare that I have read the Notice of the Foreign Account Tax Compliance Act (FATCA), CAL Notice – the Purpose to Use Personal Information (Appendix 3) for FATCA compliance and Notice to customers relating to the Personal Data (Privacy) Ordinance (the “Ordinance”) (for individual account holder). I acknowledged and agreed to the terms and requirements therein.

立約人茲聲明已詳閱美國外國帳戶稅收遵從法條款、個人資料運用告知事項(附錄三)及個人資料(私隱)條例(“該條例”)致帳戶持有人通知(個人帳戶持有人)，立約人並同意有關條款。

I agree that any personal information collected from me under this form may be used, transferred and retained in the manner and for the purposes set out in the Notice to Customers relating to the Personal Data (Privacy) Ordinance (the “Ordinance”) (for individual account holder).

立約人同意根據此表格收集的任何個人資料可根據個人資料運用告知事項及個人資料(私隱)條例(“該條例”)致帳戶持有人通知(個人帳戶持有人)加以使用，轉讓和保留。

Please check the appropriate box 請勾選適用的項目：

☐ I acknowledge and agree that CTBC Asia Ltd (hereinafter “CAL”) may collect, process, and use my personal information and that CAL may, pursuant to the relevant provisions of FATCA (including but not limited to Internal Revenue Service and other supervisory authority report my account(s) details as a U.S. tax person and produce the relevant identification document to the tax withholding agent and may request supplementary information from me to verify this self-certification and report my status as a U.S. resident or non-U.S. resident for tax purposes to the Internal Revenue Service (hereinafter “the IRS”).

☐ 本人確認並同意，中國信託綜合證券(香港)有限公司(以下簡稱“公司”)可收集，處理和使用本人的個人資料並得依美國外國帳戶稅收遵從法條款相關約定(包括但不限於，向美國國稅局等依法有權機關與監理機關申報立約人之美國稅務居民海外帳戶資料，及代理立約人向美國稅法扣繳義務人出示本人FATCA身分別相關文件)辦理。公司可能會要求本人補充資料，以驗證本聲明書和向美國國稅局(以下簡稱“國稅局”)報告就稅務目的而言本人的身份為美國居民或為非美國居民。





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☐ I do not agree that the CAL may deal with my personal information as referenced above. If I do not agree, I understand that pursuant to the FATCA, the CAL will treat my account(s) as “Recalcitrant Account” in which any U.S. sourced income (including but not limited to dividend, interest, royalty, rent, payment under financial product of specified account(s) or other withhold able payments) paid or credited to the recalcitrant account is subject to 30% FATCA withholding tax and early terminate the services that are subject to the confines of FATCA, including but not limited to financial transaction(s), account(s), business relationship and the services thereto. My right may be thereby be affected.

☐ 本人不同意公司前述告知事項所載特定目的處理本人的個人資料。如勾選不同意，本人明白公司必須依法將本人設於公司的帳戶列為不合作帳戶(Recalcitrant Account)，就不合作帳戶進出的特定美國來源所得(包含但不限於，取自美國來源的股利、利息、權利金、租金、所規範金融商品特定帳戶之款項或其他確知名目之美國來源款項等，悉依美國外國帳戶稅收遵從法的規定)，貴行依法將於美國國稅局所規定的起扣日開始予以扣繳 30%之美國稅款，及對該公司提前終止所有屬美國外國帳戶稅收遵從法規範金融商品之契約、帳戶、往來業務關係及提供之相關服務，而可能影響本人權益。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

立約人知悉本聲明書所載的資料及任何應申報帳戶的資料可能會根據關於與帳戶所在稅務管轄區交換財務帳戶資訊之政府間協議申報予立約人所在稅務管轄區的稅務機關，並與另一個稅務管轄區或若干國家司法管轄區稅務機關交換。

I certify that I am the Account Holder (or am authorized to sign for the Account Holder) of all the account(s) to which this form relates.

立約人證明，就與本聲明書所有相關的帳戶，立約人為帳戶持有人或帳戶持有人授權簽署本表格。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

立約人聲明就立約人所知所信，本聲明書內所填報的所有資料和聲明均屬真實、正確和完備。

I undertake to advise the CAL and provide an update declaration within 30 days of the occurrence of any change in circumstance which cause any of the information contained in this form to be incorrect or incomplete.

立約人承諾，如情況有所改變，導致本聲明書所載的資料不正確，立約人會通知公司，並會在情況發生改變後 30 日內，向公司提交一份已適當更新的聲明書。





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To : CTBC Asia Ltd

此致:中國信託綜合證券(香港)有限公司

Signature 簽章: \_\_\_\_\_

Print name 姓名: \_\_\_\_\_

Date 簽署日期: \_\_\_\_\_(YYYY 年/MM 月/DD 日)

Note: If you are not the Account Holder, please indicate the capacity in which you are signing the form. If you are signing under a power of attorney, please also attach a certified copy of the power of attorney.

如簽署人並非立約人，請簡述簽署人之身分。若您係以受權人身分簽署這份聲明書，請檢附該授權書之認證副本。

Capacity 簽署人身分: \_\_\_\_\_

**CRS WARNING:** It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, 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).

**CRS 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。



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## 【Appendix I】Instruction

### 【附錄一】填表說明

Regulations based on the Foreign Account Tax Compliance Act (“FATCA”) and OECD Common Reporting Standard (“CRS”)” require CTBC Asia Ltd to collect and report certain information about an account holder’s tax residence. Each jurisdiction has its own rules for defining tax residence. In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). If you are a U.S. citizen or tax resident under U.S. law, you should indicate that you are a U.S. tax resident on this form and you may also need to fill in an IRS W-9 form. For more information on tax residence, please consult your tax adviser or the information for FATCA and CRS at

**FATCA:** <https://www.irs.gov/>

**CRS:** <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

根據外國帳戶稅務遵從法(FATCA)及經濟合作與發展組織( OECD經合組織 )共同申報準則 ( CRS ) 的法規，要求中國信託綜合證券(香港)有限公司按照帳戶持有人的納稅居住地收集及匯報若干所需資料。每個稅務管轄區均按其本身的規則釐定稅籍的定義。一般來說，個人稅籍係為個人居住的國家/稅務管轄區。若干特別情況可能會導致個人成為其他地方的居民，或同時成為超過一個國家的居民（多重居住地）。若個人為美國公民或具有美國稅籍居民身分，亦需將美國稅籍身分於此聲明書中列示，並另行提供W-9表單。相關稅籍詳情，請諮詢您的稅務顧問，或瀏覽下列有關FATCA或CRS網頁的資料：

**FATCA:** <https://www.irs.gov/>

**CRS:** <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside Hong Kong, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to Hong Kong tax authority and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

若帳戶持有人的稅籍地位於香港之外，中國信託綜合證券(香港)有限公司在法律上可能有責任把此聲明書內的資料及與帳戶持有人的金融帳戶有關的其他金融資料，轉交予香港之稅務機關，且香港稅務機關可能會將該資訊交換予與香港簽訂跨國協定之其他稅務管轄區。

You can find summaries of defined terms such as an account holder, and other terms, in the Appendix II. 相關名詞解釋請詳附件二。



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This form will remain valid unless there is a change in circumstances relating to information, such as the account holder's tax status or other mandatory field information that makes this form incorrect or incomplete. In that case you must notify us within 30 days and provide an updated self-certification.

此聲明書屬永久有效，直至帳戶持有人之稅籍出現變動為止。若具有任何導致此聲明書所提供的資料不實或不完整的變動，請於30日內通知我們，並提交最新的聲明書。

This form is intended to collect information and comply with local law requirements.

此自我聲明僅為收集資料之用，且乎合當地法規要求。

Please fill in this form if you are an individual account holder, sole trader or sole proprietor; for joint or multiple account holders, use a separate form for each individual person.

若您為個人帳戶持有人、獨立貿易商或自營業主，請填寫此份個人聲明書；若為聯名帳戶持有人，請每位聯名帳戶持有人分別填寫一張聲明書。

For corporate customer, please fill in the "FATCA and CRS Self-Certification (for Entity)."

若為法人客戶，請填寫「FATCA及CRS身分聲明書(法人版)」。

If you are filling in this form on behalf of someone else, please state under. What capacity you are signing in Declarations and Undertakings. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.

A legal guardian should complete the form on behalf of an account holder who is a minor.

若您代表帳戶持有人填寫聲明書，請於聲明及了解部份註明您之身分，例如您為保管帳戶代理人、立約人授權下或根據授權書填寫聲明書若帳戶持有人為未達法定年齡之未成年人，需由法定代理人完成此聲明書。

**As a financial institution, we are not allowed to give tax advice.**

作為一家金融機構，我們不得提供稅務或法律意見。

Please consult your tax adviser if you have any question regarding this form or your tax residency. Your domestic tax authority can provide guidance regarding how to determine your tax status.

若對此聲明書之內容或您的稅籍定義具有疑問，請聯絡您的稅務顧問或當地稅務機關發布之相關資訊。

Please refer to paragraph 13 of the Hong Kong Addendum for the Notice to Customers relating to the Personal Data (Privacy) Ordinance (the "Ordinance") (for individual account holder).

關於個人資料(私隱)條例(“該條例”)致帳戶持有人通知(個人帳戶持有人)內容請參閱Hong Kong Addendum 第13節。



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## 【Appendix II】 Summary Descriptions of Select Defined Terms 【附錄二】 名詞解釋

**Note: The following selected definitions are provided to assist you with the completion of this form. If you have any questions about these definitions or require further detail, please contact your tax adviser.**

注意：以下名詞解釋旨在協助您填寫此聲明書。若您對於下述名詞定義上有疑問，請與您的稅務顧問聯繫。

### 1. Account Holder 帳戶持有人

The person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

「帳戶持有人」指被維持該金融帳戶的金融機構列明為或辨識為帳戶的持有人的人士。除金融機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有金融帳戶，他不會被視為帳戶持有人。在這種情況下，帳戶持有人應為該其他人士。以家長與子女開立的帳戶為例，如帳戶以家長為子女的合法監護人名義開立，子女會被視為帳戶持有人。聯名帳戶內的每個持有人都被視為帳戶持有人。

### 2. Financial Account 金融帳戶

A Financial Account is an account maintained by a Financial Institution and includes depository account; custodial accounts; equity and debt interest in certain investment entities; cash value insurance contracts and annuity contracts.

「金融帳戶」指由金融機構維持的存款帳戶、保管帳戶、股權及債權及具現金價值之保險合約及年金合約。

### 3. Reportable Account 應申報帳戶

The term “Reportable Account” means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

「應申報帳戶」指被一個或一個以上之應申報對象，或具一個以上屬於應申報對象之控制人的非實質營運之非金融機構法人持有之帳戶。



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#### 4. Reportable Jurisdiction 應申報稅務管轄區

A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

「應申報稅務管轄區」係指依規定需提供與該地區相關之金融帳戶資訊之稅務管轄區，且名列於公開清單中。

#### 5. Reportable Person 應申報對象

A Reportable Person is defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

「應申報對象」指屬某應申報稅務管轄區的個人稅務居民。具雙重稅籍者可根據破除僵局原則(若適用)確認其稅籍。

#### 6. TIN (including “functional equivalent”) 稅籍編號(包括具有同等功能的辨識編號) -

The Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

「稅務編號」一詞指納稅人的辨識編號或具有同等功能的辨識編號(如無納稅人的辨識編號)。稅務編號是稅務管轄區向個人或法人分配獨有的字母與數字組合，用於識別個人或法人的身分，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站。某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同辨識功能的其他完整號碼(「具有等同功能的辨識號碼」)。此類號碼的例子包括，就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。



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### 【Appendix 3】CAL Notice – the Purpose to Use Personal Information

#### 【附錄三】個人資料運用告知事項

(一) 基於臺端與中國信託綜合證券(香港)有限公司(「公司」)共同遵循美國外國帳戶稅收遵從法(Foreign Account Tax Compliance Act, 簡稱 FATCA)之必要, 公司擬蒐集臺端之個人資料。因涉及臺端的隱私權益, 公司依據中華民國個人資料保護法(以下簡稱個人資料保護法)第八條第一項及第九條之規定, 應明確告知臺端下列事項: (一) 公務機關名稱或非公務機關名稱 (二) 蒐集之目的 (三) 個人資料之類別 (四) 個人資料利用之期間、地區、對象及方式 (五) 當事人依個人資料法第三條規定得行使之權利及方式 (六) 當事人得自由選擇提供個人資料時, 不提供將對其權益之影響 (七) 公司間接蒐集臺端個人資料之來源。

For the common purpose for CTBC Asia Ltd. (hereinafter “CAL”) and you, our precious client, to comply with the Foreign Account Tax Compliance Act of the United States (hereinafter “FATCA”), CAL may collect your personal information. To ensure your privacy, CAL hereby notifies you about the following items in accordance with Article 8, Paragraph 1, and Article 9 of the Personal Information Protection Act, a law of the Republic of China (hereinafter the “Personal Information Protection Act”): 1. The name of the government agency or the non-government agency; 2. purpose of collection; 3. classification of the personal information; 4. time period, area, target and way of the use of personal information; 5. your rights and ways to exercise them as prescribed in Article 3 of the Personal Information Protection Act; 6. the influence on your rights and interests while you choose not to provide your personal information; 7. the source of your personal information provided that CAL did not collect from you.

(二) 公司蒐集臺端個人資料之目的、類別及利用之期間、地區、對象及方式、以及間接蒐集個人資料之來源等告知事項, 請臺端詳閱如後附表。

The name of the collecting agency is CTBC Asia Ltd. Please refer to the attached table for the detailed collection purpose, classification, time period, area, target and way of the use of personal information by CAL.

(三) 依據個人資料保護法第三條規定, 臺端就公司保有臺端之個人資料得行使下列權利:

According to Article 3 of the Personal Information Protection Act, you may exercise the following rights regarding your personal information collected by CAL:

1. 除有個人資料保護法第十條所規定之情形外, 臺端得向公司查詢、請求閱覽或請求製給複製本。臺端向公司查詢、請求閱覽或請求製給複製本時, 公司依個人資料保護法第十四條之規定將酌收必要成本费用。





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the right to make an inquiry regarding, or make a request for a review or a copy of your personal information, except where one of the conditions set forth in Article 10 of the Personal Information Protection Act occurs; a fee will be payable by you to our CAL for your inquiry, requests for access or request for review in accordance with Article 14 of the Personal Data Protection Act.

2. 得向公司請求補充或更正，惟依個人資料保護法施行細則第十九條規定，臺端須向公司說明請求補充或更正之原因及事實，並提出相關證明。

The right to request for your personal information to be supplemented or corrected, provided that you have made an appropriate explanation about the causes and the facts regarding supplementation or collection and presented proof in accordance with Article 19 of the Enforcement Rules of the Personal Information Protection Act;

3. 公司如有違反個人資料保護法規定蒐集、處理或利用臺端之個人資料，臺端依個人資料保護法第十一條第四項規定，得請求公司停止相關行為。

The right to request to discontinue collection, processing or use of your personal information pursuant to Article 11, Paragraph 4 of the Personal Information Protection Act, provided that you find that such collection, processing or use are not in accordance with the Personal Information Protection Act;

4. 依個人資料保護法第十一條第二項規定，個人資料正確性有爭議者，臺端得向公司請求停止處理或利用臺端之個人資料；惟公司因執行業務所必須並註明其爭議，或經臺端書面同意繼續處理或利用者，不在此限。

the right to request to discontinue the processing or use of your personal information pursuant to Article 11, Paragraph 2 of the Personal Information Protection Act, provided that you find your personal information is inaccurate, except where CAL must not make such discontinuance to fulfill its legal duties and has either recorded the inaccuracy or such inaccuracies have been approved by you in writing, and

5. 依個人資料保護法第十一條第三項規定，個人資料蒐集之特定目的消失或期限屆滿時，得向公司請求刪除、停止處理或利用臺端之個人資料；惟公司因執行業務所必須或經臺端書面同意者，不在此限。

the right to request to delete your personal information or discontinue the processing or use of your personal information pursuant to Article 11, Paragraph 3 of the Personal Information Protection Act, when the specific purpose for collecting, processing or using your personal information no longer exists or any relevant time period expires, except where CAL must not make such deletions or discontinuance to fulfil its legal duties and has either recorded any inaccuracies or been such inaccuracies have been approved by you in writing.





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(四) 臺端如欲行使上述個人資料保護法第三條規定之各項權利，有關如何行使之方式，得向公司  
客服 ((852) 2916 1784 ) 詢問。

If you wish to exercise the above rights of Article 3 of the Personal Information Protection Act, please dial  
our customer service number ((852) 2916 1784) for detailed information regarding the relevant procedures.

(五) 臺端得自由選擇是否提供相關個人資料，惟關於公司遵循 FATCA 條款之特定目的需蒐集、處理及  
利用臺端之個人資料，如臺端不同意提供或提供資料不足，公司必須依 FATCA 規定將臺端帳戶列為  
FATCA 「不合作帳戶」 (Recalcitrant Account) 而得自存入臺端名下屬 FATCA 法案所規範金融商品特  
定帳戶之款項中扣繳百分之三十(30%)之美國稅款，及對臺端提前終止所有屬 FATCA 法案規範金融  
商品之契約、帳戶、往來業務關係及提供之相關服務，而可能影響臺端投資權益，謹提請臺端注意。

You may at your own discretion choose whether you will provide your personal information. However, for  
our purpose to collect, process and use your personal information pursuant to the terms for the Foreign  
Account Tax Compliance Act of the United States, provided that you decline to provide personal  
information or you provide insufficient personal information, CAL must classify your account as  
“Recalcitrant Account”, subject to 30% withholding tax and account closure. Your investment rights may  
be affected. Your understanding is appreciated.