

IDENTITY DECLARATION FORM – Applicable to Foreign Account Tax Compliance Act (FATCA)
身份聲明表格 – 適用於《海外帳戶稅收合規法案》(FATCA)
Individual/Joint Account 個人/聯名帳戶

If this is a Joint Account, each of you must complete a separate Identity Declaration Form (FATCA).
 若為聯名帳戶，每位持有人都須分別填寫一份個人身份聲明表格(FATCA)。

Account No. 帳戶號碼:		Account Name 帳戶名稱:	
Title 稱謂	Mr / Mrs / Ms / Miss#	先生 / 太太 / 女士 / 小姐#	
English Name 英文姓名:			
Surname 姓氏	First Name 名字	Middle Name 中間名	
Chinese Name 中文姓名:		HKID / Passport No. 香港身份證/護照號碼	

US Indicia Questionnaire (Mandatory) 美國指標問卷 (必須作答)

This Section allows you to declare your identity under the Foreign Account Tax Compliance Act (“FATCA”) classification.
 本部分允許您根據《外國帳戶稅務合規法案》(「FATCA」)申報閣下的身份。

Do you possess any of the following U.S. indicia? 您是否擁有以下任何一項美國指標?

1	US citizenship/tax residency (e.g. US passport/Green Card Holder, U.S. taxpayer etc) 美國公民/繳納美國稅務的居民(如美國護照/綠卡持有者、美國納稅人等)	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
2	US Place of birth 美國出生地	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
3	US address (e.g. residential address, mailing address) 美國地址(如居住地址、郵寄地址)	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
4	US telephone number (e.g. home, work, mobile, fax numbers) 美國電話號碼(如住宅、工作、流動、傳真號碼)	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
5	Standing Instructions to transfer funds from Wintone to an account maintained in the US 從榮通向美國之銀行戶口發出重覆的款項轉帳指示	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
6	A current power of attorney or signatory authority granted to a person with U.S. address 帳戶的獲授權人為美國地址的人士	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
7	An U.S. “in care of” address or a “hold mail” address that is the sole address identified 郵件轉交或保留地址為單一並為美國地址	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否

FATCA Identity Declaration FATCA 身份聲明

		Please Select One Only 請選擇一項
A	Non-US Individual(s) with no US Indicia 非美國人士，及沒有美國指標	<input type="checkbox"/>
B	Non-US Individual(s) with US Indicia 非美國人士，但具美國指標	<input type="checkbox"/>
C	US Individuals 美國人士 Taxpayer Identification Number (TIN) _____	<input type="checkbox"/>

I hereby give consent to Wintone to report my personal information to US IRS or applicable local regulators or tax authorities in order to compile with the requirements of FATCA.
 本人同意榮通匯報本人的個人資料予美國稅務局及/或相關本地司法、稅務或其他監管機構，以遵從 FATCA 的合規法案的規定。

Yes 是 / No 否

If You have Identity of i) B and fail in providing the self-certification (which may be on an IRS Form W-8 or W-9, or a similar agreed form) and/or do not give the above consent to Wintone or ii) C and do not give the above consent to Wintone. The Account will be treated as a Non-Consenting U.S. Account. Wintone will report “aggregate information” of account balances, payment amounts and number of non-consenting US accounts to the US IRS

如閣下擁有 i) B 的身份，則必須提交個人身份文件證明(如美國稅務局的 W-8 或 W-9 表格或一致同意的相類同表格);若未能提供該文件證明及/或不給予榮通以上同意，或 ii) C 的身份及不給予榮通以上同意，此帳戶會被列為拒絕披露資料帳戶，榮通將會向美國稅務局匯報該等拒絕披露資料的相關美國帳戶結餘、收支總額及數量的「綜合資料」。

Notice and Agreement relating to Foreign Account Tax Compliance Act and other Applicable Laws
有關《外國帳戶稅務合規法》和其他適用法律的聲明和協定

Acknowledgement regarding compliance with Foreign Account Tax Compliance Act (“FATCA”) and other Applicable Laws
客戶確認符合《外國帳戶稅務合規法》（「FATCA」）和其他適用法律。

You acknowledge that Wintone Securities Limited (“Wintone”) may be obliged to comply with, observe or fulfill the requirements of the laws, regulations, orders, guidelines, codes, and requirement including the applicable requirements under FATCA or agreements with any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers within or outside Hong Kong, including without limitation, the Internal Revenue Service of the United States of America (the “Authorities” and each an “Authority”) in various jurisdictions as promulgated and amended from time to time (the “Applicable Requirements”). In this connection, you agree that Wintone may disclose your particulars to any Authority, or withhold payments otherwise payable to you, in ease case in circumstances as specified in this form, for the purpose of ensuring our compliance or adherence with the Applicable Requirements.

閣下承認榮通證券有限公司（「榮通」）須遵從、遵守或履行法律、法規、命令、指引、守則和包括 FATCA 適用規定的要求、或任何法律、監管、政府、稅務、執法或其他機關，或全融服務供應商的自律監管或行業組織或協會的要求，包括但不限於美國的稅務局（以下簡稱「監管機構」）在不同的司法管轄區（以下簡稱「適用規定」）不時頒布及修訂的協定。在這方面，閣下同意我們可以根據本表格列明的每種情況，向任何監管機構透露 閣下的個人資料或扣留任何支付給 閣下的款項，以確保我們遵從適用規定。

In this Notice and Agreement “Compliance Requirements” refer to obligations imposed on Wintone under or pursuant to:

- a) any laws binding or applying to it within or outside Hong Kong existing currently and in the future;
- b) any guidelines or codes given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers within or outside Hong Kong existing currently and in the future; and
- c) any present or future contractual or other commitments with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers that are assumed by or imposed on the Wintone by reason of its financial, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations.

在本聲明和協定中，「合規要求」指根據下列各項對榮通施加的義務：

- a) 不論於香港境內或境外及不論目前或將來存在的對其具法律約束力或適用的任何法律；
- b) 不論於香港境內或境外及不論目前或將來存在的任何法律、監管、政府、稅務、執法或其他機關，或全融服務供應商的自律監管或行業組織或協會作出或發出的任何指引或守則；
- c) 榮通因其位於或跟相關本地或外地法律、監管、政府、稅務、執法或其他機關，或全融服務供應商的自律監管或行業組織或協會承擔或被彼等施加的任何目前或將來的合約或其他承諾。

1. Disclosure of Information 資料披露

You consent to and authorize Wintone, its staff and any other person who by reason of their scope of work or capacity or office have access to Wintone’s records, registers or any correspondences or materials with regard to Your personal and account information (“Personal Information”) to disclose any of the Personal Information, where such disclosure is required under any applicable Compliance Requirements, to:

- a) any of the Wintone’s branches, holding company, representative offices, subsidiaries and affiliates, wherever situated and which may be within or outside of Hong Kong; and
- b) any local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers, including but not limited to any settlement and clearing agencies, all of which may be within or outside Hong Kong and may be existing currently and in the future.

You undertake and agree to obtain this consent and authorization from any person associated with You, including Your legal and equitable owners and payment recipients, in respect of which the disclosures may be required under any Compliance Requirements.

閣下同意並接受榮通、其職員及任何其他因工作、職責或職權範圍而可接觸到榮通內有關 閣下個人及帳戶資料的記錄、登記冊或任何通訊或材料（「個人資料」）的人士，根據任何適用的合規要求，向以下機構披露任何該等個人資料：

- a) 榮通任何分行、控股公司、代表辦事處、附屬公司或聯屬機構，不論是位於何處及在香港境內或境外；及
- b) 任何本地或外地的法律、監管、政府、稅務、執法或其他機關、或金融服務供應商的自律監管或行業組織或協會，包括但不限於不論目前或將來存在的任何結算及交收機構。

閣下承諾及同意，就按照任合規要求所須作出的披露，向 閣下任何相聯者（包括 閣下法律及衡平法上的擁有人 and 付款的收款人）索取此項同意及授權。

2. Cooperation with Enquiries 就查詢予以合作

You will cooperate fully in respect of any enquiries that Wintone may make for the purpose of compliance with any Compliance Requirements, including promptly providing all relevant information, details and/or documents as may be necessary to enable Wintone to comply with the same.

閣下將對榮通為遵守任何合規要求而作出的任何查詢予以充分合作，包括盡速提供所有必需的相關資料、詳情及／或文件，以便榮通遵從該等要求。

3 Notification on Change in Circumstances 情況變更通知

You will promptly notify Wintone in writing of any changes in:

- a) Your particular(s), circumstance(s), status, including any changes in citizenship, residence, tax residency, address(es) on record, telephone or facsimile number or email address; and
- b) (where applicable) Your constitution, shareholders, partners, directors or company secretary, or the nature of Your business.

閣下將盡速以書面通知榮通下述任何變更：

- a) 閣下的資料、狀況、身份，包括任何有關公民身份、居所、稅務上的常駐國家、記錄上的地址、電話、傳真號碼或電郵地址的變更；及
- b) (如適用) 閣下的組織章程、股東、合夥人、董事或公司秘書、或閣下業務的性質。

4. Withholding Payments 預扣付款

Any sum that may be payable by Wintone to You shall be subject to all applicable laws and regulations, including Compliance Requirements and rules prescribed by the relevant settlement and clearing agencies, any withholding tax requirements, foreign exchange restrictions or control. You agree and acknowledge that pursuant to the foregoing, Wintone may, without notice or liability to You, perform, or cause to be performed, withholding of any monies payable to You, deposit any such monies into a sundry or other account and/or retain such monies pending determination of the applicability of such withholding tax requirements, foreign exchange restrictions or control. Wintone shall not be liable for any losses that may be incurred by reason of such withholding, retention or deposit.

榮通應向閣下支付的任何款項須受所有適用法律和法規約束，包括合規要求及相關結算收交機構訂明的規則、任何預扣稅要求、外匯限制或管制。閣下同意及確認，榮通可依據上文履行或安排履行下述事宜：代扣任何應付予閣下的款項，將任何該等款項存入雜項或其他戶口及／或保留該等款項以待釐定上述預扣稅要求、外匯限制或管制的適用性，而無需通知閣下或對閣下負上任何責任。對於因上述代扣、保留或存入款項而可能導致的任何損失，榮通概不負責。

5. Account Termination 帳戶終止

You agree that Wintone has the right to block transactions, transfer arrangements or terminate all or any of Your accounts or the agreements or arrangements entered into between You and Wintone at any time without having to give any reason or notice if You fail to comply with any of the requirements under this Notice.

閣下同意，如閣下未能遵從本聲明和協定內任何要求，榮通有權隨時凍結任何交易、轉移任何安排，或終止閣下所有或任何帳戶或與榮通訂立的協議或安排，而無需給予任何理由或通知。

6. Terms Inconsistency 條款不一致

If there is any inconsistency between the terms herein and any other terms in the Client Agreement and/or arrangements that You entered into with Wintone, the terms herein shall prevail insofar as they relate to Wintone's compliance with the Compliance Requirements.

倘本文所列條款與閣下與榮通訂立的客戶協議及／或安排內任何其他條款不一致時，凡涉及榮通對合規要求的遵守，均須以本文所列條款為準。

Should there be any inconsistencies between the English and Chinese versions, the English version shall prevail
中英文版本如有任何歧義，概以英文版本為準。

Declaration by Client 客戶聲明

I hereby confirm the information provided by me/us is true, accurate and complete.
本人確認本人所提供的資料是真實、準確及完整的。

I/We agree and undertake to notify Wintone within 30 days if there is a change in any information which I have provided to Wintone.
本人同意並承諾，倘向榮通提供的資料有任何變更，本人會於30日內通知榮通。

I will indemnify and hold harmless Wintone from any loss, action, cost, expense (including but not limited to sums paid in settlement of claims, reasonable attorney's and consultant fees, and expert fees), claim, damages, or liability which arises or is incurred by Wintone in discharging its obligations under FATCA and/or as a result of disclosures to the US tax authorities.
本人將就榮通因履行 FATCA 義務及／或向美國稅務機構關於披露資料所引致或產生的任何損失、訴訟、成本、開支（包括但不限於理賠中支付的款項、合理的律師和顧問費、專家費用）、索償、損害或債務提供彌償，並保證榮通不致蒙受相關損害。

I hereby confirm and accept the Notice and Agreement relating to Foreign Account Tax Compliance Act and other Applicable Laws and understand that such Notice will form part of the Client Agreement and it is not able for Wintone to setup an account for me/us if the requested form(s) and/or information are not provided.
本人確認並接受稅務要求通知的規定，並明白此有關《外國帳戶稅務合規法》和其他適用法律的聲明和協定將為客戶協議之一部分，本人明白倘未能提供所需表格及／或資料，則榮通將無法為本人／吾等開立帳戶。

Client's Signature 客戶簽署:



Name of Client 客戶姓名:

Date 日期: