

Individual FATCA Self-Certification
個人《海外帳戶稅收合規法案》自行認證

To : Guotai Junan Securities (Hong Kong) Limited
 Guotai Junan Futures (Hong Kong) Limited
 Guotai Junan FX Limited

致 : 國泰君安證券(香港)有限公司
 國泰君安期貨(香港)有限公司
 國泰君安外匯有限公司

Please **TICK** appropriate box below. 請在以下合適的格內劃上**剔號**。

- | | Yes 是 | No 否 |
|---|--------------------------|--------------------------|
| 1. Are you a “U.S. Resident”?
閣下是否“美國居民”?
If yes, please specify TIN 如是，請提供稅務身份號碼: _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Are you a “U.S. Citizen”?
閣下是否“美國公民”?
If yes, please specify TIN 如是，請提供稅務身份號碼: _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Do you hold a “U.S. Permanent Resident Card (Green Card)”?
閣下是否持有“美國永久居民身份證(綠卡)”?
If yes, please specify TIN 如是，請提供稅務身份號碼: _____ | <input type="checkbox"/> | <input type="checkbox"/> |

I hereby confirm the information provided above is true, accurate and complete. I undertake to notify Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited within 30 calendar days if there is a change in any information which I have provided. 本人確認以上所提供的資料是真實、準確以及完整。本人保證本人提供的任何資料如有變更，本人會於三十日內通知國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司 及/或 國泰君安外匯有限公司。

I acknowledge that the information contained in this form and information regarding the account holder may be reported to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People’s Republic of China and the U.S. Internal Revenue Service, and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Agreement between the Government of the United States of America and the Government of the Hong Kong Special Administrative Region of the People’s Republic of China for Cooperation to Facilitate the Implementation of FATCA (“US-HK IGA”)) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited so that it can comply with obligations, commitments,

arrangement or market practices in relation to providing services to me. 本人明白既承認此聲明書及有關本人及須申報帳戶的任何資料可被提供向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局);以及就適用法例、法規、慣例或指引(包括但不限於香港與美國簽署協議以利便香港金融機構處理美國《海外帳戶稅收合規法案》)所規定或指示或國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司及/或國泰君安外匯有限公司認為必要向任何其他本地或海外人士或單位提供;及可由國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司及/或國泰君安外匯有限公司存儲、使用及披露,以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

Client Signature 客戶簽署

Date 日期

ID Card No 身份證號碼

Country of Birth 出生國家

Name of Client 客戶名稱

Client Code 客戶編號