

永豐金證券股份有限公司 / 永豐期貨股份有限公司
SinoPac Securities Corporation / SinoPac Futures Corporation
FATCA 聲明書暨 CRS 自我證明文件【個人】
Self-Certification Form for FATCA and CRS【Individual】

壹、稅務居民身分聲明 Part I : Tax Residency

註：如果客戶具有二個或更多國家或地區之稅務居民身分，應勾選所有該等國家或地區（選項 B、C 可以複選）。
 Note: If the Client has tax residency of two or more countries or jurisdictions, all such countries or jurisdictions shall be selected (Boxes B and C may be ticked simultaneously).

- A. 客戶僅具中華民國（台灣）稅務居民身分【若勾選此項，請以中文填寫此份自我證明文件】
 The Client has tax residency only of the Republic of China (Taiwan). 【If this box is ticked, please complete this Self-Certification Form in **Chinese**.】
- B. 客戶具有美國稅務居民身分（含同時具有中華民國稅務居民身分者）【若勾選此項，請填寫 W-9 文件，並以英文填寫下表及此份自我證明文件】
 The Client has tax residency of the United States of America (Note: this includes the client who also has tax residency of the Republic of China). 【If this box is ticked, please complete the Form W-9 and complete the Form below and other parts of this Self-Certification Form in **English**.】
- C. 客戶具有中華民國（台灣）及美國以外之其他國家或地區稅務居民身分【若勾選此項，請以英文填寫下表，並請以英文填寫此份自我證明文件之其他部分，若客戶具有其稅務居民身分之國家或地區超過三個，請增列於另一張自我證明文件】
 The Client has tax residency of one or more countries or jurisdictions other than the Republic of China (Taiwan) and the United States of America. 【If this box is ticked, please complete the form below in **English**, and complete other parts of this Self-Certification Form in **English**. If there are more than three of such countries or jurisdictions, please use additional Self-Certification Form(s).】

若勾選前述選項 B 或 C，則必須填寫下表。

If Box B or C is ticked, the table below must be completed.

稅務居住者之國家或地區 (除台灣以外) Country/jurisdiction of tax residence (Except for Taiwan)	請提供稅務識別碼 Please provide the TIN	若無法提供稅務識別碼，請選填理由 A、B 或 C【若勾選理由 B，請說明無法提供稅務識別碼的原因】 Enter reason A, B or C if the TIN is not available【If reason B is selected, please explain why the TIN is not available】	
1		<input type="checkbox"/> A <input type="checkbox"/> C	<input type="checkbox"/> B : _____
2		<input type="checkbox"/> A <input type="checkbox"/> C	<input type="checkbox"/> B : _____
3		<input type="checkbox"/> A <input type="checkbox"/> C	<input type="checkbox"/> B : _____

理由 A - 客戶居住國家或地區未核發稅務識別碼予其居住者

Reason A- The country/jurisdiction where the Client is a tax resident does not issue TINs to its residents

理由 B - 客戶無法取得稅務識別碼或具類似功能的編號(若選取此理由，請解釋無法取得稅務識別碼的原因)

Reason B- The Client is unable to obtain a TIN or equivalent number (Note: Explain why the Client is unable to obtain a TIN if this reason is chosen)

理由 C - 無須蒐集稅務識別碼(註: 選取此理由限其國內法未要求蒐集稅務識別碼資訊)

Reason C- TIN is not required (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN)

貳、客戶基本資訊 Part II : Basic Information of the Client

標有星號 (*) 欄位為必填資訊

Information in fields marked with an asterisk (*) is mandatory

1	客戶 (帳戶持有人) 姓名* Name of the Client (Account Holder)*	姓氏* Family name or Surname (s) *	
		名字* First or Given Name*	
		中間名 (如適用) Middle Name (s) (if applicable) *	
2	身分證字號/統一證號* ID Card / Uniform ID Number*		
3	現行居住地址* Current residential address*	地址* Address	
		國家* Country*	郵遞區號(如有) Postcode (if any)
4	通訊地址 Mailing address	<input type="checkbox"/> 與現行居住地址相同 Same as Current residential address	
		地址 Address	
		國家 Country	郵遞區號(如有) Postcode (if any)
5	出生日期* Date of birth* (西元年月日) (YYYY/MM/DD)		
6	出生地* Place of birth*	國家或地區* Country/Jurisdiction*	城市* City*

參、聲明及簽署 Part III : Declarations and Signature :

客戶業已知悉貴公司個人資料保護法告知書內容，了解貴公司為遵循FATCA與CRS相關規範之必要，必須蒐集、處理及利用客戶個人資料，包含但不限於客戶之姓名、國籍、護照號碼、出生年月日、通訊方式、美國納稅人識別碼（一般即為美國社會安全碼SSN）或其他國家地區稅務識別碼等。有關對客戶個人資料利用之期間、地區、對象及方式；客戶依個人資料保護法第三條規定得行使之權利及方式；客戶如不提供對客戶權益之影響；以及間接蒐集個人資料之來源等法定告知事項，客戶已受充分告知。客戶同意貴公司蒐集、處理及利用客戶的個人資料。

The Client has received the Personal Information Protection Notification of SinoPac Securities Corporation/SinoPac Futures Corporation (hereinafter "SinoPac"), and acknowledges that in order to comply with FATCA and CRS rules, it is necessary for SinoPac to collect, process and use the Client's personal information, including but not limited to name, nationality, passport number, date of birth, contact information, and U.S. taxpayer identification number (U.S. Social Security Number) or TIN of other countries or jurisdictions. The Client has been fully informed of: the time period, territory, recipients, and methods of which the personal information is used; the Client's right under Article 3 of the Personal Data Protection Act and the methods for exercising such rights; the Client's rights and interests that will be affected if the Client elects not to provide such personal data. The Client agrees that SinoPac may collect, process and use the Client's personal information.

客戶了解並同意貴公司為證實於此份自我證明文件所填載內容，得於必要時向客戶索取相關證明文件，以及得代理客戶向依美國法律負有扣繳義務之人出示FATCA聲明書暨CRS自我證明文件/W8BEN/W9及/或交付其複本，以協助客戶聲明是否為美國稅務居民。客戶並已詳細閱讀【附錄一】美國海外帳戶稅收遵循法暨金融機構執行共同申報及盡職審查作業辦法遵循同意書，了解並同意其規定與要求。

The Client acknowledges and agrees that to verify the information given in this Self-Certification Form and assist the Client to declare whether the Client is a U.S. tax resident or not, SinoPac can request the Client for related certification materials and can act on the Client's behalf to provide this Self-Certification Form / W8BEN / W9 and provide a copy of those certification materials to a U.S. withholding agent. The Client has thoroughly read, understood, and agreed to the rules and requirements of the Foreign Account Tax Compliance Act & Common Reporting Standard. 【Appendix 1】.

客戶知悉本 FATCA 聲明書暨 CRS 自我證明文件所含資訊、相關帳戶持有人（即客戶）及任何應申報帳戶資訊，將可能申報予中華民國稅捐稽徵機關，經由政府間協定進行稅務目的金融帳戶資訊交換，提供予帳戶持有人（即客戶）為稅務居住者之國家/地區的稅捐稽徵機關。

The Client acknowledges that the information given in this Self-Certification Form and information regarding the Account Holder (the Client) and any Reportable Account(s) may be provided to the tax authorities of the Republic of China (Taiwan) and transmitted to tax authorities of country(ies)/jurisdiction(s) in which the Account Holder (the Client) may be a tax resident pursuant to intergovernmental agreements to exchange financial account information for tax purposes.

客戶茲聲明，就客戶於此份自我證明文件所為之陳述均為真實、正確且完整，如有不真實、不正確或不完整，由客戶自負相關法律責任。

The Client hereby represents that all information given in this Self-Certification Form is true, correct and complete and the Client shall bear all legal consequences resulting from any information being untrue, incorrect or incomplete.

客戶承諾，如因客戶之稅務居民身分變動或其他因素，致此份自我證明文件填載之內容有嗣後不真實、不正確或不完整之情形，客戶應立即通知貴公司，並在上開變動後30日內提供貴公司一份經適當更新之FATCA聲明書暨CRS自我證明文件。客戶了解並同意貴公司有權認定此份自我證明文件填載內容之真偽或變更情形而對客戶帳戶權利為必要的處置行為，包含但不限於辦理美國稅扣繳或終止、暫停帳戶服務。如客戶未履行上開義務，客戶同意賠償貴公司因未遵守相關稅務法令（包含但不限於台灣）而遭受/支付之任何支出、損失、罰款、其他類似款項及貴公司為處理相關程序所支出之律師服務費、稅務服務費或其他專業服務費。

The Client undertakes that, if any of the information given in this Self-Certification Form becomes untrue, incorrect or incomplete due to the change of the Client's tax residency or any other reasons, the Client shall notify SinoPac immediately and shall provide SinoPac with a properly updated Self-Certification Form for FATCA and CRS within 30 days after such change. The Client acknowledges and agrees that SinoPac has the right to determine the truthness and correctness of the information given in this Self-Certification Form or any change thereof, and has the right to take necessary actions with regard to the Client's account, including, but not limited to, processing U.S. tax payment or terminating / suspending the account service. The Client agrees to fully indemnify SinoPac for any damages, loss, penalty and other payments of similar nature against SinoPac for any violation of

relevant tax regulations (including but not limited to Taiwan tax regulations) resulting from the Client's failure to fulfill the abovementioned obligations, and to fully indemnify SinoPac for all and any legal service fees, tax service fees or other professional service fees paid by SinoPac in order to handle relevant proceedings.

簽署人茲對永豐金證券股份有限公司／永豐期貨股份有限公司聲明並保證：（1）簽署人係客戶本人或有權代理客戶為意思表示之人；且（2）於此份文件上所提供之全部資訊皆為真實、正確且完整，如有任何不真實、不正確或不完整，簽署人（及客戶）須自負一切法律後果。

The Signatory hereby represents and warrants to SinoPac Securities Corporation/SinoPac Futures Corporation that: (1) the Signatory is the Client or an individual authorized to act on behalf of the Client; and that (2) all information given in this Self-Certification Form is true, accurate and complete, and if any information hereof is untrue, inaccurate or incomplete, the Signatory (and the Client) shall bear all legal consequences.

簽署人簽名 Signature：

註：簽署人若非客戶本人，請於左欄註明簽署人的身分，並請依其情形附上授權書、戶籍謄本或其他足資證明簽署人有權簽署之文件影本。

簽署人身分 Capacity：

Note: If the Signatory is not the Client, please indicate the capacity in which the Signatory is signing this document, and please attach a copy of the power of attorney, household registration transcript or other proof of such signatory authority, as the case may be.

蓋章 Chop：

(同開戶原留印鑑)

日期 Date：

(西元年月日)

(YYYY/MM/DD)

永豐金證券/永豐期貨內部填寫區 (FOR INTERNAL USE ONLY)	文件取得	業務人員：
驗印(經辦)：		員編：