

Account Opening Form – FATCA Supplementary form for Corporate Account
開戶表格 - 公司戶口 FATCA的補充文件

This form must be completed by any entity, claiming to be a passive non financial foreign entity (“NFFE”), that wishes to open an account.

本表格必須由打算開立戶口的任何自稱是被動的非金融外國機構(“NFFE”)來填寫。

Certification of beneficial ownership
實益擁有權的證明

Please complete in BLOCK LETTERS

請以正楷填寫

Company name: _____

公司名稱：_____

Check one of the boxes below, whichever applies

請選擇以下方格

I/we hereby certify that the entity does not have any substantial U.S. owners

本人/吾等特此機構確認沒有任何美國實質擁有者

I/we hereby certify that the entity identified above has provided the name, address, and TIN of

each substantial U.S. owner of the entity as listed below

本人/吾等特此確認上述識別機構已提供以下每個美國實質擁有者的姓名、地址、以及納稅識別號碼

Note: 注意：

(i) With respect to any non U.S. corporation, any specified U.S. person that owns, directly or indirectly, more than 10 percent of the stock of such corporation vote or value

(i) 對於任何非美國公司，任何特定美國人直接或間接地擁有該公司超過 10% 投票權或價值

1. Name姓名: _____

Address地址: _____

Tax Identification Number納稅識別號碼: _____

Ownership %所有權百分比: _____

2. Name姓名: _____

Address地址: _____

Tax Identification Number納稅識別號碼: _____

Ownership %所有權百分比: _____

3. Name姓名: _____

Address地址: _____

Tax Identification Number納稅識別號碼: _____

Ownership %所有權百分比: _____

I/We represent and declare that the information provided above is true, accurate and complete. I understand that the term "U.S. person" means any citizen or resident of the United States.

本人/吾等表示並聲明以上提供的資料是真實、準確及完整。本人明白所謂“美國人”是指任何美國公民或居民。

I/We hereby consent for Kim Eng Securities (Hong Kong) Limited, Kim Eng Futures (Hong Kong) Limited or any of their affiliates (collectively “KEHK”) to report my information to regulatory authorities in accordance with the requirements of Foreign Account Tax Compliance Act as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

本人/吾等同意金英証券（香港）有限公司、金英期貨（香港）有限公司或其任何聯屬公司（統稱「金英香港」）可根據《海外帳戶稅收合規法案》或依其制定的法律、法規、協議或監管指引或指示規定的要求報告本人/吾等的資料予監管機構。

I/We hereby consent that KEHK may withhold from my account(s) such amounts in accordance with the requirements of Foreign Account Tax Compliance Act as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives. 本人/吾等同意金英香港可根據《海外帳戶稅收合規法案》或依其制定的法律、法規、協議或監管指引或指示規定從本人/吾等的帳戶預扣付款。

I/We hereby consent that KEHK may classify me as a recalcitrant account holder or non-participating foreign financial institution ("NPFFI") and/or suspend, recall or terminate my account(s) and/or facilities granted to me, in the event I fail to provide accurate and complete information and/or documentation as KEHK may require. 如本人/吾等未能準確及完整地提供KEHK所需要的資料和/或文件，本人/吾等特此同意KEHK可把本人分類為不合作的帳戶持有人或非參與金融機構 ("NPFFI")，並暫停、罷免或終止本人的帳戶以及本人所得的服務。

I/We undertake to notify KEHK in writing within 30 calendar days if there is a change in any information which I have provided to KEHK.

如有任何資料更改，本人/吾等承諾在在30個公曆日內以書面形式通知金英香港。

Signature: _____
簽名：_____

Signature: _____
簽名：_____

Designation: _____
稱謂：_____

Designation: _____
稱謂：_____

Date: _____
日期：_____

Date: _____
日期：_____

Definitions applicable 適用詞彙定義

The term U.S. owners means any US persons other than certain corporations, organisations, agencies, banks, trusts, dealers or brokers that are exempted under Section 1.1473-1(c) of FATCA regulations.

美國擁有者是指任何不能根據FATCA規定第1.1473-1(c)獲豁免的企業、組織、機構、銀行、信託、經銷商或經紀的美國人。

The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code:

The term "United States person" means—

- (A) a citizen or resident of the United States,
- (B) a United States partnership,
- (C) a United States corporation,
- (D) any estate (other than an estate the income of which, from sources without the United States which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under the Internal Revenue Code), and
- (E) any trust if—
 - (i) a court within the United States is able to exercise primary supervision over the administration of the trust, and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.

美國人指美國稅務法 第7701(a)(30)所指的人：

詞彙“美國人”指—

- (A) 美國的公民或居民，
- (B) 美國合夥人，
- (C) 美國企業，
- (D) 任何產業（除該產業收入來源並非與美國貿易或在美國境內開展業務有關，該產業的總收入是不會納入美國稅務法項目），以及
- (E) 任何信託如—
 - (i) 美國法院能夠行使信託管理的主要監督，及
 - (ii) 一個或以上的美國人有權控制對該信託重大決策。

If there is any inconsistency or ambiguity between the English version and the Chinese version, the English version shall prevail. 如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。