

Account Opening Form – FATCA Supplementary form for individuals 開戶表格 - FATCA個人戶口補充文件

This form must be completed by any individual who wishes to open an account.
本表格必須由有意要開戶的人士填寫。

Please complete in BLOCK LETTERS
請用正楷填寫

Name名稱: _____

Were you born in the U.S. : Yes / No
你出生在美國: 是/否

Address of authorized person <if applicable> 被授權人地址<如適用>

Please choose Yes or No for each of the following questions:

以下每個問題，請選擇是或否:

1. Are you a U.S. Citizen? Yes / No

1. 你是否美國公民? 是/否

2. Do you hold a U.S. Permanent Resident Card (Green Card)? Yes / No

2. 你是否持有美國永久居民卡(綠卡)? 是/否

3. Are you a U.S. Resident? Yes / No

3. 你是美國居民? 是/否

4. If you have responded “No” to the questions above, then please tick the box below.

4. 如果以上的問題你都回答“否”，請選下面的方格確認。

Non-U.S. person 非美國人

Declaration

聲明

I 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.

本人表示並聲明以上提供的資料均是真實、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 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.

本人同意金英證券(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的資料予監管機構。

I 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的帳戶預扣付款。

I hereby consent that KEHK may classify me as a recalcitrant account holder 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. 如本人未能準確及完整地提供金英香港所需要的資料和/或文件，本人同意金英香港可把本人分類為不合作的帳戶持有人，並暫停、取消或終止本人的帳戶及/或本人授予融資額度。

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

如有任何資料更改，本人承諾在在30個公曆日內以書面形式通知金英香港。

Signature 簽名: _____

Date日期: _____

Definitions applicable

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,

適用詞彙定義

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，

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。

For Office Use

Section A

To be filled by Account Executive. Questions below to be considered in conjunction with **all** documents & forms collected from customers (including this form).

U.S. Indicia Status	Yes/No	Action required if "Yes" (FATCA Documentation Checklist)
1. Have the account holder(s) provided any indication that the account holder(s) are U.S. citizen or resident?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>and</u> Form W-8BEN
2. Have the account holder(s) provided a U.S. place of birth?		To obtain either : (i) Form W-9, or (ii) Certificate of Loss of Nationality, <u>and</u> (iii) Appropriate documentation* <u>and</u> Form W-8BEN
3. Have the account holder(s) provided a U.S. U.S. address (including P.O. Box)?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>and</u> Form W-8BEN
4. Have the account holder(s) provided <u>only</u> a U.S. telephone number?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>and</u> Form W-8BEN
5. Have the account holder(s) provided any standing instructions to transfer funds to an account maintained in the U.S.?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>and</u> Form W-8BEN
6. Have the account holder(s) provided a U.S. telephone number <u>and</u> a non U.S. telephone number?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>or</u> form W-8BEN
7. Have the account holder(s) granted Power of Attorney to an Attorney with a U.S. address?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>or</u> form W-8BEN
8. Have the account holder(s) provided <u>only</u> a "hold mail" or "in care of" address, that is the sole address for this account?		To obtain either : (i) Form W-9, or (ii) Appropriate documentation* <u>or</u> form W-8BEN

- Where all questions above are answered as no, "appropriate documentation" as below should still be obtained.
- **"Appropriate documentation" refers to documentation to establish the person(s)' foreign status. The documentation must contain a permanent residence address outside of the U.S.
- If the permanent address listed on the "appropriate documentation" obtained differs from the address provided in the application form, ensure that the "appropriate documentation" indicates the country in which the account holder(s) is a citizen or resident.
- In the absence of such documentation, Account Executive / Customer Service Officer should obtain form W-8 BEN from account holder(s).
- W-8BEN form should not contain a permanent residence address in the U.S. to conclude a customer's status as "Non U.S."

Section B

KEHK's assessment of customer(s)' FATCA classification: Customer is: U.S. Non U.S. Recalcitrant.

Name of Account Executive :

Account Executive signature:

Date: