

Self-Certification (Individual Account and/or Joint Account)
自行證明 (個人帳戶 及/或 聯名帳戶)

Name 姓名： _____ **Account No. 帳戶號碼：** _____

ID No. 身份證號碼： _____ **Country of Birth 出生國家：** _____

Account holder should visit (<http://www.irs.gov/>) for more information on FATCA.

帳戶持有人如要瞭解 FATCA 法案詳情，閣下可參閱美國國家稅務局網站 (<http://www.irs.gov/>) 資訊。

Certification of Account Status 帳戶狀況證明：

Please complete the following information for an individual and/or joint account. Please note that in the case of a joint account, each client is required to complete a separate self-certification form. 請填寫以下有關個人帳戶及/或聯名帳戶的資料，如屬聯名帳戶，每名客戶須分別填寫自行證明書。

Please tick either (1) or (2) or (3) and complete as appropriate: 請在下列其中一個方格內加上剔號：

1. ☐ I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green card holder or resident under the substantial presence test) and my U.S. Federal taxpayer identification number (U.S. TIN) is as follow: 本人確認，本人就課稅目的而言為美國公民及/或美國居民 (綠卡持有人或根據實質居留測試被定性為居民)，而本人的美國聯邦納稅人識別號碼 (美國納稅人識別號碼) 如下：
U.S. TIN 美國納稅人識別號碼： _____
2. ☐ I confirm that I was born in the U.S. (or U.S. Territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidence by the Certificate of Loss of Nationality of the United States. 本人確認，本人在美國 (或美國境內) 出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國『喪失原有國籍證明』為憑證。
3. ☐ I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes. 本人確認，本人就課稅目的而言並非美國公民或美國居民。

I hereby confirm the information provided above is true, accurate and complete. I undertake to notify Xin Hua Securities (Hong Kong) 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新華證券(香港)有限公司。

Client Signature 客戶簽署： _____ **Date 日期：** _____

FATCA 狀況	<input type="checkbox"/> U.S. Person 美國人士	<input type="checkbox"/> Non U.S. Person 非美國人士
	簽署核對	申請批准
職員簽署：		
日期：		