





<input type="checkbox"/>		investments, dividends, interests, rents or royalties, and 貴公司超過 50%總收入（以上一個曆年計）來自被動收入，例如：投資、股息、利息、租金或 權利金，及 <input type="checkbox"/> You do not have substantial U.S. Owners who own at least 25% of your entity 貴公司並無屬於美國 的主要股東（擁有 貴公司最少 25%股權） <input type="checkbox"/> You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table 貴公司有屬於美國的主要股東（擁有 貴公司最少 25%股權），如此項適用請填妥以下表格	主要為被動收入的非金 融外國實體/  Passive Non-Financial Foreign Entity with US Controlling Persons 主要為被動收入的非金 融外國實體而擁有美國 股東
	Name 姓名	Address 地址	TIN 納稅人識別編號
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項，在此情況下請填寫及遞交適當之美國國稅局表格 W-8。		

**客戶聲明 Declaration by Client**

1. I/We hereby affirm that the information provided in this self-certification form is true, correct and accurate as of the moment of provision. I/We undertake to inform Haitong International Securities Company Limited or any company within Haitong International Securities Group Limited ( "HTISG" ) of any changes in the above-mentioned information, in any event by no later than the date falling 30 days from the date of change.  
 本人／吾等確認本自行證明書內提供的資料在提供當下仍為真確、正確和準確。如上述資料有任何變動，本人／吾等承諾無論如何於變更日起 30 日內知會海通國際證券有限公司或海通國際證券集團有限公司（「海通國際集團」）旗下的任何公司。

Company Client' s Signature and Business Chop 公司客戶簽署及公司蓋章

Date 日期

Company Name 公司名稱： \_\_\_\_\_

Authorized Signatory(ies) 獲授權簽字人姓名： \_\_\_\_\_

- i Participating FFI is an FFI that has agreed to comply with the terms of an FFI agreement. The term participating FFI also includes a qualified intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.  
 參與的外國金融機構指已同意遵守外國金融機構協議條款的外國金融機構。參與的外國金融機構一詞亦包括美國金融機構的合資格中介人分公司，但如該分公司屬以版本一申報的外國金融機構除外。
- ii A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets the requirements to be treated as a local FFI, non-reporting FI member of a PFFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, or sponsored investment entity or controlled foreign corporation (see Treas. Reg. §1.1471-5(f)(1)(i) for more information about these categories), (2) a Reporting FI under a Model 1 IGA and that is registering to obtain a GIIN, or (3) an FFI that is treated as a Non-reporting FI under a Model 1 or 2 IGA and that is registering pursuant to the applicable Model 1 or 2 IGA.  
 已註冊的視作合規外國金融機構指：(1)正進行註冊以確認其符合要求可被視為本地外國金融機構、參與的外國金融機構集團的非申報金融機構成員、合資格集體投資公司、受限制基金、合資格信用卡發行人或保薦投資實體或受控制外國公司（有關上述組別的更多資料請參閱美國財政部規例第 1.1471-5(f)(1)(i)條）；(2)版本一政府間協議下正進行註冊以獲取全球中介人識別號碼的申報金融機構；或(3)被視為版本一或版本二政府間協議下的非申報金融機構並正按照適用的版本一或版本二政府間協議進行註冊的外國金融機構。
- iii A Model 1 IGA means an agreement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs to such foreign government or agency thereof, followed by automatic exchange of the reported information with the IRS. An FFI in a Model 1 IGA jurisdiction that performs account reporting to the jurisdiction' s government is referred to as a Reporting Model 1 FFI.  
 版本一政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議，透過由外國金融機構向該外國政府或其代理機構作出申報後繼而與美國國稅局自動交換申報資料而實行 FATCA。版本一政府間協議司法管轄區內的外國金融機構如向該司法管轄區政府申報賬戶，即稱為以版本一申報的外國金融機構。
- iv A model 2 IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into an FFI agreement is a participating FFI, but may be referred to as a reporting Model 2 FFI.  
 版本二政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議或安排，透過由外國金融機構按照外國金融機構協議的規定直接向美國國稅局作出申報而實行 FATCA，並由該外國政府或其代理機構與美國國稅局交換資料而作出補充。版本二政府間協議司法管轄區內的外國金融機構如已訂立外國金融機構協議即屬參與外國金融機構，但可稱為以版本二申報的外國金融機構。