



U.S. Foreign Account Tax Compliance Act (“FATCA”) - Self-Certification Form (Corporate Client)
美國海外帳戶稅收合規法案(「FATCA」) - 客戶聲明書(公司/機構)

Kindly complete this Self-Certification Form in **ENGLISH** and fill in **BLOCK LETTERS**. If you have any question in relation to FATCA or about how to complete this form, you should consult independent tax, legal and/or other professional advisers.
請用英文正楷填寫此聲明書。如 貴公司/機構對 FATCA 或填寫此聲明書有任何問題，請諮詢獨立稅務、法律及/或其他專業顧問。

Account Name 帳戶名稱	Account Number 帳戶號碼
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U.S. Entities 美國實體			
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If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W-9.
如 貴公司/機構於美國註冊成立、建立、構成或組成，請填寫並遞交美國國家稅務局 W-9 表格。

Non-U.S. Entities (Please select ONLY ONE of the following from Category A or Category B) 非美國實體 (請從以下類別 A 或類別 B 中選取其中一項)			
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A. FINANCIAL INSTITUTION 金融機構
If you are a Foreign Financial Institution (“FFI”), please tick one of the following boxes and provide your Global Intermediary Identification Number (“GIIN”) if any.
如 貴公司/機構是海外金融機構，請在下列適當空格內加上「✓」號，並填上全球中介機構識別號碼(如有)。

- Participating FFI
參與合規的金融機構
- Reporting Model 1 FFI
以第一類跨政府協議申報的海外金融機構
- Reporting Model 2 FFI
以第二類跨政府協議申報的海外金融機構
- Owner-documented FFI with specified U.S. owner(s)
有特定美國人士之已提供所有人資訊的海外金融機構
- Non-participating FFI
不參與合規的金融機構
- Others (please provide the appropriate U.S. IRS Form W-8)
其他 (請提供適當的美國國家稅務局 W-8 表格)

Your GIIN 貴公司/機構的全球中介機構識別號碼:

B. NON-FINANCIAL INSTITUTION 非金融機構
If you are a Non-Financial Foreign Entity (“NFFE”), please tick one of the following boxes.
如 貴公司/機構是非金融海外實體，請在下列適當空格內加上「✓」號。

- Active NFFE
活躍非金融海外實體
- Passive NFFE
被動非金融海外實體
- You **DO NOT HAVE** substantial U.S. owner(s) whose percentage of ownership is more than 10%.
貴公司/機構並無持有 10% 以上股權的主要美國股東。
- You **HAVE** substantial U.S. owner(s) whose percentage of ownership is more than 10%.
(Please complete the following table of substantial U.S. owner)
貴公司/機構有持有 10% 以上股權的主要美國股東。
(請填寫下列主要美國股東表格)
- Direct Reporting NFFE
直接申報的非金融海外實體
- Others (Please provide the appropriate U.S. IRS Form W-8)
其他 (請提供適當的美國國家稅務局 W-8 表格)

Substantial U.S. Owner 主要美國股東
If you are a passive NFFE, please provide details of each substantial U.S. owner who owns more than 10% of your entity.
如 貴公司/機構是被動非金融海外實體，請提供每位持有 10% 以上股權的主要美國股東的個人資料。

Name 姓名	Address 地址	U.S. TIN 美國稅籍編號

Client's Declaration 客戶聲明

The entity hereby consents for Hao Tian International Securities Limited ("Hao Tian") to disclose, report or share the information of the entity with local and overseas regulators or tax authorities where necessary to establish its tax liability in any jurisdiction.

本公司/機構同意昊天國際證券有限公司(昊天)可向本地及海外監管機構或稅務機構披露、呈交或提供本公司/機構的資料以確立本公司/機構於任何司法管轄區的稅務責任。

The entity undertakes to promptly notify Hao Tian in writing within 30 days of any change with respect to the foregoing information, and to provide such further information as Hao Tian may require.

若此聲明書中的任何資料有所更改或昊天要求本公司/機構提供額外資料，本公司/機構同意於 30 日內提供及以書面通知昊天。

The entity declares that the information provided in this certification is, to the best of my/our knowledge and belief, accurate and complete.

本公司/機構確認此聲明書內提供的資料為本公司/機構認知的範圍內均屬正確和完整。

S.V.

Authorized Signature(s) and Company Chop (if applicable)

獲授權人士簽署及公司蓋章(如適用)

Date (dd/mm/yyyy)

日期(日/月/年)

Name of Authorized Person(s)

獲授權人士姓名

Title 職銜

For Internal Use Only

Submitted by:

Inputted by:

Approved by:

AE Code ()

Date:

Date:

Date:

The Chinese translation is for reference only. In case of any discrepancy between the English version and the Chinese version, the English version shall prevail.
中文譯本僅供參考，文義如與英文版本有歧義，概以英文版本為準。

Glossary

The glossary is for reference only. Hao Tian is not able to offer U.S. tax advice or any advice on FATCA or its impact on the entity. For a detailed definition of the terms in relation to FATCA, please refer to United States Internal Revenue Code and regulations.

Financial Institution

It means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.

Foreign Financial Institution (“FFI”)

FFI refers to a non-US financial institution. The FATCA legislation contains an extensive definition of FFI and includes entities such as banks, custodian institutions, investment funds and certain types of insurance companies.

Participating FFI

FFI that enters into an agreement with the IRS to undertake certain due diligence, withholding and reporting requirements for U.S. account holders.

Reporting Model 1 FFI

The term “Reporting Financial Institution in a Model 1 IGA Jurisdiction” means an FFI that is formed in a country that has signed a Model 1 Intergovernmental Agreement with the U.S

Reporting Model 2 FFI

The term “Reporting Financial Institution in a Model 2 IGA Jurisdiction” means an FFI that is formed in a country that has signed a Model 2 IGA with the U.S. Such FFI would also be required to be subject to the FFI agreement with the U.S. government and become a Participating FFI.

Owner-documented FFI with specified U.S. owner(s)

The entity is not required to register with the IRS, but is required to provide to any withholding agent all required documentation regarding its owners, to certify on IRS Form W-8 that it meets the requirements of its deemed-compliant category.

Non-Participating FFI

The term “Non-participating FFI” refers to FFI other than (i) a participating FFI, (ii) a deemed-compliant FFI, or (iii) an exempt beneficial owner under FATCA final regulations. It does not include a Hong Kong Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution treated as a Non-participating Financial Institution pursuant to the relevant Model 1 or Model 2 IGA or the corresponding provision in an agreement between the U.S. and a Partner Jurisdiction.

Non-Financial Foreign Entity (“NFFE”)

A foreign entity that is excluded from the definition of FFI.

Active NFFE

A Non-Financial Foreign Entity (“NFFE”) means any non-U.S. entity that is not a FFI, which meets certain requirements set out in Annex I (paragraph B of Section VI) in a Model 2 IGA. For example, if a customer is itself a manufacturing company, it is likely to be an Active NFFE. In general, it includes the following categories:

- i. The NFFE has less than 50% of its gross income for the last calendar year be passive income and less than 50% of its assets for the last calendar year be assets that produce passive income;
- ii. The NFFE or its affiliate is a regularly publicly traded entity meeting certain requirements;
- iii. The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;
- iv. The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an entity wholly owned by one or more of the foregoing;
- v. Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund;
- vi. The NFFE is a startup, liquidating or treasury company;
- vii. The NFFE was not a FI in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a FI
- viii. The NFFE primarily engages in financing and hedging transactions with, or for, related entities that are not FI, and does not provide financing or hedging services to any entity that is not a related entity, provided that the group of any such related entities is primarily engaged in a business other than that of a FI; or
- ix. The NFFE meets detailed requirements applicable to certain not-for-profit organizations

Passive NFFE

A “Passive NFFE” means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.

Direct Reporting NFFE

A direct reporting NFFE will mean an NFFE that elects to report on Form 8966 directly to the IRS certain information about its direct or indirect substantial U.S. owners, in lieu of providing such information to withholding agents or participating FFIs with which the NFFE holds a financial account. A direct reporting NFFE will be required to register with the IRS to obtain a GIIN.

Substantial U.S. Owners

U.S. person with more than 10% interest by vote or value in a foreign corporation, partnership or trust. For foreign investment vehicles, any percentage of ownership is reportable.

Specified U.S. Person

The term 'specified US person' means any US person other than:

- i. a corporation the stock of which is regularly traded on one or more established securities markets for a calendar year;
- ii. any corporation which is a member of the same expanded affiliated group as a corporation the stock of which is regularly traded on one or more established securities markets for the calendar year;
- iii. any organization exempt from taxation under US federal tax law or an individual retirement plan;
- iv. the United States or any wholly owned agency or instrumentality thereof;
- v. any state, the District of Columbia, any US territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- vi. any bank incorporated and doing business under the laws of the United States (including laws relating to the District of Columbia) or of any state thereof;
- vii. any real estate investment trust;
- viii. any regulated investment company, or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940;
- ix. any common trust fund;
- x. any trust that is exempt from tax or is deemed a charitable trust;
- xi. a dealer in securities, commodities, or derivative financial instruments that is registered as such under the laws of the United States or any state;
- xii. a broker;
- xiii. any tax exempt trust under a tax exempt or public school annuity plan or governmental plan.

U.S. IRS Forms

Withholding certificates, also referred to as W forms, are US Internal Revenue Service (IRS) tax forms. The W-9 form is a 'request for taxpayer identification number and certification'. This US tax form is provided by an account holder to confirm and certify their US status. The W-8 series forms are currently used by foreign persons (including corporations) to certify their non-US status. The forms establish that one is a non-resident alien or foreign corporation, to avoid or reduce tax withholding from US source income. These forms will permit a non-US customer to self-certify their status under FATCA.

Tax Identification Number ("TIN")

For an individual this would be their US social security number, for an entity their employer identification number.

Global Intermediary Identification Number ("GIIN")

A GIIN is issued by the Internal Revenue Service. The majority of GIINs will be issued to foreign financial institutions as part of their FATCA registration and compliance process. An FFI will use its GIIN to establish its chapter 4 status for withholding purposes and to identify itself for reporting purposes. All GIINs will appear on the IRS FFI list.