

## Corporate FATCA Self-Certification

### 公司《海外帳戶稅收合規法案》自行認證

<p>To :</p> <p><input type="checkbox"/> Guotai Junan Securities (Hong Kong) Limited</p> <p><input type="checkbox"/> Guotai Junan Futures (Hong Kong) Limited</p> <p><input type="checkbox"/> Guotai Junan FX Limited</p>	<p>致 :</p> <p><input type="checkbox"/> 國泰君安證券(香港)有限公司</p> <p><input type="checkbox"/> 國泰君安期貨(香港)有限公司</p> <p><input type="checkbox"/> 國泰君安外匯有限公司</p>
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Please **TICK** appropriate box below. 請在以下合適的格內劃上剔號。

- |  | Yes 是  | No 否  |  |  |
|--|--|---|--|--|
| <p>1. Is your corporate a “Specified U.S. Person<sup>1</sup>”?<br/>貴公司是否“指定美國人士<sup>1</sup>”?</p> <p>If yes, please specify TIN 如是，請提供稅務身份號碼: _____</p>  | <input type="checkbox"/>   | <input type="checkbox"/>  |  |  |
| <p>2. Is your corporate a “Foreign Financial Institution (FFI)”?<br/>貴公司是否“海外金融機構”?</p>  | <input type="checkbox"/>   | <input type="checkbox"/>  |  |  |
| <p>3. If 2 is “Yes”, please tick in the box: 如 2 “是”，請在格內劃上剔號:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><input type="checkbox"/> <b>Participating FFI</b><br/>參與法案的海外金融機構</p> <p><input type="checkbox"/> <b>Reporting Model 1 FFI</b><br/>以版本一申報的海外金融機構</p> <p><input type="checkbox"/> <b>Certified Deemed Compliant FFI</b><br/>經認證被視作合規的海外金融機構</p> <p><input type="checkbox"/> <b>Sponsored FFI that has not obtained a GIIN</b><br/>不具 GIIN 之受贊助的海外金融機構</p> <p><input type="checkbox"/> <b>Exempt Beneficial Owner</b><br/>豁免實益擁有人</p> </td> <td style="width: 50%; vertical-align: top;"> <p><input type="checkbox"/> <b>Registered Deemed Compliant FFI</b><br/>已註冊被視作合規的海外金融機構</p> <p><input type="checkbox"/> <b>Reporting Model 2 FFI</b><br/>以版本二申報的海外金融機構</p> <p><input type="checkbox"/> <b>Owner-Documented FFI</b><br/>已提供所有人資訊的海外金融機構</p> <p><input type="checkbox"/> <b>Non-Participating FFI</b><br/>不參與法案的海外金融機構</p> <p><input type="checkbox"/> <b>Other:</b> _____<br/>其他: _____</p> </td> </tr> </table> | <p><input type="checkbox"/> <b>Participating FFI</b><br/>參與法案的海外金融機構</p> <p><input type="checkbox"/> <b>Reporting Model 1 FFI</b><br/>以版本一申報的海外金融機構</p> <p><input type="checkbox"/> <b>Certified Deemed Compliant FFI</b><br/>經認證被視作合規的海外金融機構</p> <p><input type="checkbox"/> <b>Sponsored FFI that has not obtained a GIIN</b><br/>不具 GIIN 之受贊助的海外金融機構</p> <p><input type="checkbox"/> <b>Exempt Beneficial Owner</b><br/>豁免實益擁有人</p> | <p><input type="checkbox"/> <b>Registered Deemed Compliant FFI</b><br/>已註冊被視作合規的海外金融機構</p> <p><input type="checkbox"/> <b>Reporting Model 2 FFI</b><br/>以版本二申報的海外金融機構</p> <p><input type="checkbox"/> <b>Owner-Documented FFI</b><br/>已提供所有人資訊的海外金融機構</p> <p><input type="checkbox"/> <b>Non-Participating FFI</b><br/>不參與法案的海外金融機構</p> <p><input type="checkbox"/> <b>Other:</b> _____<br/>其他: _____</p> |  |  |
| <p><input type="checkbox"/> <b>Participating FFI</b><br/>參與法案的海外金融機構</p> <p><input type="checkbox"/> <b>Reporting Model 1 FFI</b><br/>以版本一申報的海外金融機構</p> <p><input type="checkbox"/> <b>Certified Deemed Compliant FFI</b><br/>經認證被視作合規的海外金融機構</p> <p><input type="checkbox"/> <b>Sponsored FFI that has not obtained a GIIN</b><br/>不具 GIIN 之受贊助的海外金融機構</p> <p><input type="checkbox"/> <b>Exempt Beneficial Owner</b><br/>豁免實益擁有人</p>   | <p><input type="checkbox"/> <b>Registered Deemed Compliant FFI</b><br/>已註冊被視作合規的海外金融機構</p> <p><input type="checkbox"/> <b>Reporting Model 2 FFI</b><br/>以版本二申報的海外金融機構</p> <p><input type="checkbox"/> <b>Owner-Documented FFI</b><br/>已提供所有人資訊的海外金融機構</p> <p><input type="checkbox"/> <b>Non-Participating FFI</b><br/>不參與法案的海外金融機構</p> <p><input type="checkbox"/> <b>Other:</b> _____<br/>其他: _____</p>                              |   |  |  |
| <p>4. If you are a “Participating FFI”, “Registered Deemed Compliant FFI”, “Reporting Model 1 FFI” or “Reporting Model 2 FFI”, please provide GIIN: _____<br/>如貴公司屬於“參與法案的海外金融機構”、“已註冊被視作合規的海外金融機構”、“以版本一申報的海外金融機構”或“以版本二申報的海外金融機構”，請提供全球中介人身份號碼: _____</p>  |  |   |  |  |
| <p>5. If 2 is “No”, please TICK: 如 2 “否”，請在格內劃上剔號:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><input type="checkbox"/> <b>Active Non-Financial Foreign Entity</b><br/>實質營運的非金融海外實體</p> </td> <td style="width: 50%; vertical-align: top;"> <p><input type="checkbox"/> <b>Passive Non-Financial Foreign Entity</b><br/>非實質營運的非金融海外實體</p> </td> </tr> </table>  | <p><input type="checkbox"/> <b>Active Non-Financial Foreign Entity</b><br/>實質營運的非金融海外實體</p>  | <p><input type="checkbox"/> <b>Passive Non-Financial Foreign Entity</b><br/>非實質營運的非金融海外實體</p>   |  |  |
| <p><input type="checkbox"/> <b>Active Non-Financial Foreign Entity</b><br/>實質營運的非金融海外實體</p>  | <p><input type="checkbox"/> <b>Passive Non-Financial Foreign Entity</b><br/>非實質營運的非金融海外實體</p>  |   |  |  |

- |  |   |
|--|---|
| <input type="checkbox"/> <b>Foreign government, government of a U.S. possession, or foreign central bank of issue</b><br>外國政府、美國屬地政府或外國發行之中央銀行 | <input type="checkbox"/> <b>Publicly traded NFFE or NFFE affiliate of a publicly traded corporation</b><br>公開上市的外國非金融機構及其相關企業 |
| <input type="checkbox"/> <b>Nonprofit organization</b><br>非營利機構  | <input type="checkbox"/> <b>International organization</b><br>國際組織  |

Yes 是    No 否

6. Does your corporate, being a “Passive Non-Financial Foreign Entity”, have controlling person that is a US citizen or resident?

貴公司，屬於“非實質營運的非金融海外實體”，是否存在美國公民或居民控制人？

7. If 6 is “Yes”, please provide the following details of the US controlling person:-

如 6 “是”，請提供以下該美國控制人的詳情:-

Name	Address	Taxpayer Identification No.
姓名	地址	稅務身份號碼

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**We hereby confirm the information provided above is true, accurate and complete. We undertake to notify Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited within 30 calendar days if there is a change in any information which we have provided.** 吾等確認以上所提供的資料是真實、準確以及完整。吾等保證吾等提供的任何資料如有變更，吾等會於三十日內通知國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司 及/或 國泰君安外匯有限公司。

**We acknowledge that the information contained in this form and information regarding the account holder may be reported to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People’s Republic of China and the U.S. Internal Revenue Service, and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Agreement between the Government of the United States of America and the Government of the Hong Kong Special Administrative Region of the People’s Republic of China for Cooperation to Facilitate the Implementation of FATCA (“US-HK IGA”)) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to us.** 吾等明白既承認此聲明書及有關本人及須申報帳戶的任何資料可被提供向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局); 以及就適用法例、法規、慣例或指引(包括但不限於香港與美國簽署協議以便利香港金融機構處理美國《海外帳戶稅收合規法案》)所規定或指示或國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司及/或國泰君安外匯有限公司認為必要向任何其他本地或海外人士或單位提供; 及可由國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司及/或國泰君安外匯有限公司存儲、使用及披露，以便其遵從有關向吾等提供服務的義務、承諾、安排或市場慣例。

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**Authorized Signature(s) with company chop**  
公司印章及授權簽名

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**Date 日期**

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**Name of Client 客戶名稱**

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**Client Code 客戶編號**

<sup>1</sup> The term “Specified U.S. Person” means a U.S. Person, other than: (i) a corporation the stock of which is regularly traded on one or more established securities markets; (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); (iii) the United States or any wholly owned agency or instrumentality thereof; (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code; (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

"指定美國人士"是指美國人士，但不包括：(i) 其股票在一個或多個認可的證券市場上經常交易的公司；(ii) 屬於《美國國內收入法》第 1471(e)(2)條定義的、與第(i)條所述公司屬於同一擴大關聯集團的任何公司；(iii) 美國或其任何全資機關或機構；(iv) 美國的任何州、任何美國領土、上述任何一個或多個州的任何政治分支或其任何全資機關或機構；(v) 根據《美國國內收入法》第 501(a)條免於徵稅的任何組織或《美國國內收入法》第 7701(a)(37)條定義的個人退休計畫；(vi) 《美國國內收入法》第 581 條定義的任何銀行；(vii) 《美國國內收入法》第 856 條定義的任何房地產投資信託；(viii) 屬於《美國國內收入法》第 851 條定義的任何受監管的投資公司，或根據《1940 年投資公司法》(15 U.S.C. 80a-64) 向美國證券交易委員會登記的任何實體；(ix) 《美國國內收入法》第 584(a)條定義的任何共同信託基金；(x) 根據《美國國內收入法》第 664(c)條下獲豁免繳稅的任何信託，或《美國國內收入法》第 4947(a)(1)條所描述的任何信託；(xi) 根據美國或任何州的法律登記的證券、商品或衍生金融工具（包括名義本金合同、期貨、遠期合約和期權）的交易商；(xii) 《美國國內收入法》第 6045(c)條所定義的經紀人；或 (xiii) 《美國國內收入法》第 403(b)條或 457(g)條所述計畫下的任何獲豁免繳稅的信託。

The term “U.S. Person” means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

"美國人士"是指美國公民或居民的個人、在美國或根據美國或其任何州的法律組建的合夥企業或公司、信託(如(i)美國境內的法院 有權根據適用法律宣佈關於該信託的管理的絕大部分事宜的命令或判決；及(ii)一名或多名美國人士有權控制該信託的全部重大決定，或身為美國公民或居民的死者的遺產)。