

 **Account No.**

**開戶書(公司)**

**Account Opening Form (Company)**

|  |
| --- |
| **注意Note:** |
| **1.請以正楷填寫有關欄位Please complete all relevant section in block letters.****2.在適用的方格內加上☑ Please mark a “V” in the appropriate box.****3.任何更改處必須刪劃後在旁加簽 Any amendment should be crossed out and initialed.** |

|  |
| --- |
| ***此欄由銀行填寫 For Internal Use Only備註：*** |
| **存款經辦****Deposit Handling Officer****日期Date:**  | **帳戶核准主管****Account Approved by**  **日期Date:**  | **副本已寄予客戶****Copy sent to Customer by** **日期Date:** | **備註****Remarks** |

# **公司帳戶開戶書 Account Opening Form for Company**

# **帳戶性質Account Nature**

|  |  |
| --- | --- |
| [ ]  **無摺儲蓄帳戶 No Passbook Savings Account** [ ]  **HKD** [ ]  **USD** [ ]  **JPY** [ ]  **AUD**[ ]  **NZD** [ ]  **GBP** [ ]  **EUR** [ ]  **CNY** | [ ]  **支票帳戶Current Account** [ ]  **HKD** [ ]  **USD** [ ]  **CNY** |
| [ ]  **網上銀行E-Banking** | [ ]  **其他Others:**按一下輸入文字。 |

# **客戶資料Customer Information**

|  |  |
| --- | --- |
| **名稱Name (中文 Chinese)** | 按一下輸入中文名稱。 |
|  **(英文English)** | 按一下輸入英文名稱。 |
| **公司類型** **Type of Company** | [ ]  **合夥 Partnership**[ ]  **有限公司 Limited Company**[ ]  **上市公司[[1]](#footnote-1)Listed Company[[2]](#footnote-2)**[ ]  **上市公司之附屬子公司。請註明：****Subsidiary of a Listed Company. Please specify:**1. **上市公司持有之股份百分比The percentage of shares held by the Listed Company:**按一下輸入百分比。
2. **上市國家 Country of Listing:**按一下輸入國家。
3. **上市編號Stock Code:**按一下以輸入編號。

[ ]  **其他 Others：** 按一下輸入文字。 |
| **集團企業資訊（如有）****Information of Group Company****(if any )** | 1. **集團企業名稱 Name of Group Company:**

按一下輸入公司名。1. **集團企業地址 Address of Group Company:**

 按一下輸入地址。1. **集團企業行業性質 Nature of Business of Group Company:**

按一下輸入性質。 |
| **註冊地址****Registered Office Address** | 按一下輸入地址。 |
| **主要營業地址 (如與上述地址不同)****Principal Business Address** **(If different from the address above)** | [ ] **與註冊地址相同Same as Registered Office Address**按一下輸入地址。 |
| **通訊地址[[3]](#footnote-3)** **Correspondence Address[[4]](#footnote-4)**  | [ ] **與註冊地址相同Same as Registered Office Address**[ ] **與主要營業地址相同Same as Principal Business Address**[ ] **其他。地址：** **Others, Address:**按一下輸入地址。 |
| **註冊/成立日期****Date of Registration/Incorporation** | 按一下輸入西元年月日 |
| **註冊/成立地區****Place of Registration/ Incorporation** | 按一下輸入註冊地。 |
| **公司註冊證書號碼** **Certificate of Incorporation No.** | 按一下輸入公司編號。 |
| **商業登記號碼（香港公司適用）****Business Registration Certificate No.** **(Applicable to Hong Kong Companies Only)** | 按一下輸入商業登記號。 |
| **公司電話號碼****Company Telephone No.** | 按一下輸入國碼+區碼+電話。 |
| **聯絡人姓名及其手提電話號碼****Name and Mobile Phone No. of the Contact Person**  | 按一下輸入聯絡人姓名及手提電話。 |
| **傳真號碼****Fax No.** | 按一下輸入傳真號碼。 |
| **電郵地址****Email Address** | 按一下輸入電郵地址。 |
| **於銀行[[5]](#footnote-5)開立帳戶之關係人/關係企業的帳戶****Account(s) of Associated Person or Organization Maintained with the Bank[[6]](#footnote-6)** | 1. **關係人/關係企業名稱: Associated Person or Organization Name:**

按一下輸入名稱。**及其帳戶號碼Account No.**按一下輸入帳號。**關係人/關係企業名稱: Associated Person or Organization Name:**按一下輸入名稱。**及其帳戶號碼Account No.**按一下輸入帳號。1. **關係人/關係企業名稱: Associated Person or Organization Name:**

按一下輸入名稱。**及其帳戶號碼Account No.**按一下輸入帳號。 |
| 資本額(折合美金)Share Capital（Equivalent USD） | 按一下輸入資本額。 |

# **營運背景Operation Background**

|  |  |  |
| --- | --- | --- |
|  | **業務/行業性質****Nature of Business/Industry** | [ ] **進出口 Import/Export** [ ] **製造業Manufacturing** [ ] **零售業Retail** [ ] **批發Wholesale**[ ] **商業服務Business Services** [ ] **物流Transport**[ ] **金融/保險Finance/Insurance** [ ] **其他Others:**按一下輸入文字。 |
|  | **主要產品名稱****Name of Major Product** | 按一下輸入產品名稱。 |
|  | **年度營業額 （折合美金）****Annual Sales Turnover****(Equivalent USD ）** | [ ]  **<$2,000,000** [ ]  **$2,000,001 - $5,000,000** [ ]  **$5,000,001 - $10,000,000**[ ]  **>$10,000,000**  |
|  | **行業年資****Years of Business Experience**  | [ ]  **<1年year**[ ]  **1-3年years**[ ]  **4-6年years**[ ]  **7-10年years**[ ]  **>10年years** |
|  | **主要供應商所在國家(如有)****Country of Major Suppliers (if any)** | [ ] **香港Hong Kong**[ ] **台灣Taiwan**[ ] **中國 China**[ ] **其他，請註明 Others, Please specify:**按一下輸入國家。 |
|  | **年度採購額（折合美金）****Annual Purchase Amount（Equivalent USD ）** | [ ]  **<$2,000,000** [ ]  **$2,000,001 - $5,000,000** [ ]  **$5,000,001 - $10,000,000**[ ]  **>$10,000,000** |
|  | **銷售目標市場****Sales Target Market**  | [ ] **香港Hong Kong**[ ] **台灣Taiwan**[ ] **中國 China**[ ] **其他，請註明 Others, Please specify:**按一下輸入國家。 |
|  | **僱員人數****Number of Employees** | 按一下輸入人數。 |
|  | **資金來源****Source of Funds** | [ ] **公司所有者 Business Owner** [ ] **公司營運收入及利潤Income and Profit from Business Operation**[ ] **投資回報Return of Investment**[ ] **其他，請註明 Others, Please specify:**按一下輸入文字。 |
|  | **資金來源方式****Means of Funds Source** | [ ] **現金Cash** [ ] **本港轉帳Transfer in Hong Kong**[ ] **支票/匯票Cheque / Demand Draft** [ ] **國際電匯Telegraphic Transfer** [ ] **其他，請註明 Others, Please specify:**按一下輸入文字。 |
|  | **資金來源地****Origins of Funds** | [ ] **香港Hong Kong**[ ] **台灣Taiwan**[ ] **中國 China**[ ] **其他，請註明 Others, Please specify:**按一下輸入國家。 |
| **美國海外帳戶FATCA身份** |
| [ ]  | **本公司為美國納稅義務人(符合左列定義)，且願意提供 W-9 以茲證明 FATCA 身分****The Customer is considered as a U.S. person under federal tax purposes and agrees to provide** **W-9 for FATCA identification purposes** | [ ]   **本公司股票於任一具規模的證券市場有常態性交易。** **The Customer’s stock is regularly traded on an established securities market.**[ ]  **本公司股票並未於任一具規模的證券市場有常態性交易。** **The Customer’s stock is NOT regularly traded on an established securities market.** **符合下述任一定義即為美國納稅義務人 U.S. person under federal tax purposes is defined as follows:** 1. **於美國設立或依據美國法律成立之合夥組織、企業、公司或協會，或前述組織、企業或協會之分支；或**

**A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States ; or the branch offices of the aforementioned; or** 1. **若為美國人持有之非企業實體 ，該美國持有人需提供 W-9 以茲證明 FATCA 身分，而非該非企業實體 提供；**

 **In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity should provide W-9 for FATCA identification purpose, and not the entity;** 1. **任何遺產(不包含外國遺產)；或**

**An estate (other than a foreign estate); or** 1. **若為美國人持有之讓與人信託，該美國人讓與人或美國持有人需提供 W-9 以茲證明FATCA 身分，而非該讓與人信託提供；**

 **In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust should provide W-9 for FATCA identification purpose, and not the trust, and** 1. **若為美國國內信託(不包含讓與人信託)，該美國信託需提供 W-9 以茲證明 FATCA 身分，而非該信託之受益人提供。**

**In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) should provide W-9 for FATCA identification purpose, and not the beneficiaries of the trust.**  |
| [ ]  | **本公司為非金融集團之外國(即非美國)上市（櫃）、興櫃公司或其關係企業[[7]](#footnote-7)** **The Customer is a publicly traded non-financial foreign (i.e. non-U.S.) entity or an affiliate7 of such.**  | **請勾選並填寫下列適當欄位: Please tick appropriate box, where applicable.** [ ]  **本公司之股票於一個或多個具規模的證券市場[[8]](#footnote-8) 具常態性交易，包括(請舉出一個公司股票常態交易之證券市場):** 按一下輸入證券市場名稱。 **The stock of the Customer is regularly traded on an established securities market8 . The name of the exchange upon which the stock is traded is** Click here to enter text [ ]  **本公司之關係企業為非金融機構，且其股票於一個或多國具規模的證券市場具常態性****交易。此關係企業名稱為:** 按一下輸入關係企業名稱。 **其股票交易的證券市場名稱為:** 按一下輸入證券市場名稱。**The Customer is affiliated with [entity name]** Click here to enter text. **whose stock is regularly traded on an established securities market. The name of the exchange upon which the stock is traded is** Click here to enter text  |
| [ ]  | **本公司為實質營運之非金融外國(即非美國)法人[[9]](#footnote-9) (Active non-financial foreign (i.e. non-U.S.) entity)，且本公司前年度的毛利少於 50%為租金、利息、股利、權利金等被動所得; 且 前年度之資產少於50%為產生或可產生租金、利息、股利、權利金等被動所得之資產(以 季平均之被動資產總值，除以季平均之資產總值計算)。****The Customer is an active non-financial foreign (i.e. non-U.S.) entity that less than 50 percent of its gross income during the preceding calendar year is passive income (i.e., rent, royalty, interest, dividend); and less than 50 percent of the weighted average percentage of assets (tested quarterly) held are assets that produce or are held for the production of passive income.** |
| [ ]  | **本公司為非實質營運之非金融外國(即非美國)法人****The Customer is a passive non-financial foreign (i.e. non-U.S.) entity (Passive NFFE) .**  | **符合下列條件meets all of the following conditions:** 1. **本公司非屬上市（櫃）、興櫃之非金融企業或其關係企業；**

**the Customer is not a publicly traded non-financial foreign (i.e. non-U.S.) entity or an affiliate of such;** 1. **本公司並非依美國法律設立登記之非金融機構；以及**

**the Customer is not a non-financial foreign (i.e. non-U.S.) entity that was organized in a U.S. territory; and**1. **本公司並非實質營運之外國法人。**

**the Customer is not an active non-financial foreign (i.e. non-U.S.) entity.** **若勾選此欄位，請確認並勾選下列適用之選項：If this box is checked, please also confirm that:**[ ]  **本公司無任何超過 10%持股之實質美國股東[[10]](#footnote-10); 或** **The Customer doesn’t have any substantial U.S. owners who own more than 10% of the shares ; or**[ ]  **本公司有持股超過10%之實質美國股東如下表。且已提供該實質美國股東資訊之****美國外國帳戶FATCA美國股東聲明書，包含實質美國股東之姓名、地址、身分字****號、以及稅籍編號。且其中若為美國個人之股東，本公司已通知該股東並取得當****事人簽署之書面同意書，同意對其個人資料進行蒐集、處理與利用。** **The following table has for substantial U.S. owner(s) who own more than 10% of the shares. The customer provides information regarding U.S owners in the“ U.S. FATCA Self-Certification(for U.S owner)”, including the name, address, identification number, and tax registration number of the substantial US shareholder.****The Customer has informed such shareholder(s), and obtained such shareholder’s signed waiver to consent to the extent, including but not limited to, the collection, handling, utilization and reporting of the shareholder’s personal information.**

|  |  |
| --- | --- |
| **英文姓名(English name)** | **英文姓名(English name)** |
| **(1)**按一下輸入姓名。  | **(2)**按一下輸入姓名。 |
| **(3)**按一下輸入姓名。 | **(4)**按一下輸入姓名。 |
| **(5)**按一下輸入姓名。 | **(6)**按一下輸入姓名。 |

 |
| [ ]  | **本公司乃非營利機構** **The Customer is a non-profit organization that meets the following requirements:****且符合下列條件：** 1. **僅以宗教、慈善、科學、藝術、文化或教育之目的，在其居住國設立及存續；且**

**The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes; and**1. **在其居住國免繳納所得稅；且**

**The entity is exempt from income tax in its country of residence; and**1. **無任何股東或成員對其收入或資產享有所有權或受益權；且**

**The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets; and**1. **除從事公益慈善活動、支付勞務報酬或購買合理市價之財產外，該組織之居住國法律或其設立文件均不允許該組織的任何收入或資產分配予個人或非公益法人；或為個人或非公益法人之利益而使用其收入或資產；並且**

**Neither the applicable laws of the entity’s country of residence nor the entity’s formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity’s charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; and**1. **該組織之居住國法律或其設立文件規定，在該組織清算或解散時，其全部資產須分配予外國政府、外國政府的延伸部分、外國政府所控制之法人、或其它符合本項條件之非營利組織、或歸還給該組織居住國之政府或該政府的任何分支機關。**

**The applicable laws of the entity’s country of residence or the entity’s formation documents require that, upon the entity’s liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that meet the requirements of this item or escheats to the government of the entity’s country of residence or any political subdivision thereof.** |
| [ ]  | 本公司非屬上開五種法人型態。如金融機構、政府機構、國際組織、退休基金等專業機構法人，請填寫美國國稅局(IRS)W-8系列(如W-8BEN-E、W-8IMY等)或W-9之正式文件，以茲證明FATCA身分The Customer is not an entity mentioned above (e.g. Financial institution, government institution, international organization, retirement fund, and etc.), please complete irs form W-8 Or W-9.  |

# **董事/股東/合夥人/受託人/實益擁有人背景問卷Director/Shareholder/Partner/Trustee/Beneficial owner Background Questionnaire**

|  |  |  |
| --- | --- | --- |
|  | **董事/股東/合夥人/受託人/實益擁有人是否現職或曾任職於本地或海外政府部門之高級官員或擔任公職（如政府委任之委員會等）？ Is the Director(s)/Shareholder(s)/Partner(s)/Trustee(s)/****Beneficial owner(s) a current or former senior official or member in public office (e.g. appointed member of committee and etc.) in the local or foreign government?**  | [ ]  **否No**[ ]  **是，請詳述\*：Yes,Please specify\*:****國家及地區Country and District:**按一下輸入文字。**機構名稱/部門Name of Organization/Department:** 按一下輸入文字。**職位Job Title:**按一下輸入文字。**工作年期Working Years:**按一下輸入文字。**離職日期(如有)Date of Resignation (if any):**按一下輸入文字。 |
|  | **董事/股東/合夥人/受託人/實益擁有人是否現正或曾經從事任何政治工作（如政黨人士或政府顧問等）？Is/Was the Director(s)/Shareholder(s) /Partner(s)/Trustee(s)/Beneficial owner(s) involved in any political activities such as political party or government consultant?** | [ ]  **否No**[ ]  **是，請詳述\*：Yes,Please specify\*:****國家及地區Country and District:**按一下輸入文字。**機構名稱/部門Name of Organization/Department: :**按一下輸入文字。**職位Job Title:**按一下輸入文字。**工作年期Working Years:**按一下輸入文字。**離職日期(如有)Date of Resignation (if any):**按一下輸入文字。 |
|  | **董事/股東/合夥人/受託人/實益擁有人是否現正或曾經擔任國營企業或上市公司高級管理層職位？Does/Did the Director(s)/Shareholder(s)/****Partner(s)/Trustee(s)/Beneficial owner(s) hold a current or former senior management position of a stated owned enterprise or listed company?** | [ ]  **否No**[ ]  **是，請詳述\*：Yes,Please specify\*:**按一下輸入文字。**國家及地區Country and District:**按一下輸入文字。**機構名稱/部門Name of Organization/Department:** 按一下輸入文字。**職位Job Title:**按一下輸入文字。**工作年期Working Years:**按一下輸入年期。**離職日期(如有)Date of Resignation (if any):**按一下輸入日期。 |
|  | 董事/股東/合夥人/受託人/實益擁有人的直系親屬是否現正或曾經從事以上其中一項活動？Is/Was The Director(S)/Shareholder(S)/Partner(S)/Trustee(S)/Beneficial Owner(S)’S Immediate Family Member Involved In Any Of The Above Activities?  | [ ] 否No[ ] 是，請詳述\*：Yes,Please Specify\*:直系親屬姓名Name Of Immediate Family Member : 按一下輸入文字。與客戶關係Relationship With The Customer : 按一下輸入文字。國家及地區Country And District:按一下輸入文字。機構名稱/部門Name Of Organization/Department: 按一下輸入文字。職位Job Title:按一下輸入文字。工作年期Working Years:按一下輸入年期。離職日期(如有)Date Of Resignation (If Any):按一下輸入日期。 |

# **反洗黑錢問卷Anti-Money Laundering Questinonaire**

|  |  |  |
| --- | --- | --- |
|  | **公司成立的目的****Purpose of Incorporation** | [ ] **以境外公司或香港註冊公司投資大陸外資企業to invest in foreign investment companies** **in China through non- Hong Kong incorporated company or Hong Kong incorporated company** [ ] **方便國際貿易採購及接單to facilitate international trading, purchasing and accepting** **orders** [ ] **方便收取美元等國際貨幣貨款to facilitate accepting payment in international currency** **such as US dollar** [ ]  **私人投資 to facilitate private investments**[ ] **其他，請註明： Others, Please specify:** 按一下輸入文字。 |
|  | **客戶是否營業?****Does the Customer carry on business?** | [ ]  **否 No** [ ]  **是Yes** |
|  | **開戶目的****Purpose of Opening Account**  | [ ] **一般營運資金用途General working capital purpose** [ ] **支薪Payroll**[ ] **存款 Deposit**[ ] **交易用途（例如: 收付貨款、貿易融資）****Transaction purpose (e.g. Account Receivable and Account Payable, trade finance)**[ ]  **融資用途(例如:借款及還款) Funding purpose (e.g. loan and loan repayment)**[ ] **投資Investments**[ ] **以香港註冊獨資經營企業進行業務Conducting business as sole proprietor in Hong Kong**[ ] **其他，請註明： Others, Please specify:**按一下輸入文字。 |
|  | **客戶集團內是否有其他公司負責管理客戶的業務?****Is there any other company within the Customer’s group in charge of the Customer’s business operation?** | [ ]   **否No**[ ]  **是，請註明：Yes, Please state:****該公司的名稱Name of that Company:**按一下輸入公司名。**該公司與客戶的關係Business Relationship with the Customer:** 按一下輸入文字。 |
|  | **客戶集團內是否有其他公司負責管理客戶的財務?****Is there any other company within the Customer’s group in charge of the Customer’s finances?** | [ ]  **否 No**[ ]   **是，請註明：Yes,Please state:****該公司的名稱Name of that Company:**按一下輸入公司名。**該公司與客戶的關係Business Relationship with the Customer:** 按一下輸入文字。 |
|  | **每月預期存款****Anticipated deposits per month** | **次數No. of counts:**[ ]  **<10**[ ]  **10-20**[ ]  **21-30**[ ]  **>31****預期總金額Anticipated Total Amount:**按一下輸入金額。**預期存款性質Anticipated Nature of Deposits:**按一下輸入性質。**預期主要匯入地 (如有需要，可標示多於一個匯入地)Anticipated Origin of Inward Remittance (Please indicate more than one Origin, if appropriate):**按一下輸入匯入地。 |
|  | **每月預期提款****Anticipated withdrawals per month** | **次數No. of counts:**[ ]  **<10**[ ]  **10-20**[ ]  **21-30**[ ]  **>31****預期總金額Anticipated Total Amount:**按一下輸入金額。**預期提款性質Anticipated Nature of Withdrawals:**按一下輸入性質。**預期主要匯出地 (如有需要，可標示多於一個匯出地) Anticipated Destination of Outward Remittance (Please indicate more than one Destination, if appropriate):** 按一下輸入匯出地。 |
|  | **客戶有沒有管理第三方的資金?** **Has the Customer managed funds of third parties?** | [ ]  **否 No**[ ]  **是Yes** |
|  | **客戶經營的業務需要經常處理現金?****Does the Customer’s business involve handling cash on a routine basis?**  | [ ]  **否 No**[ ]  **是Yes** |
|  | **客戶是否曾在香港其他銀行開戶遭拒絕?****Has the Customer been rejected by other bank in respect of account opening** | [ ]  **否 No**[ ]  **是Yes** |
|  | **過去5年客戶業務運作是否有重大轉變 (如更改股東，名稱，母公司，營業地點，業務性質，提供的產品或服務種類)?****Has the Customer undergone a material change in its business operations (such as changing shareholder, name, parent company, place of business, scope of business, types of goods or services offered) in the past 5 years?** | [ ]  **否 No**[ ]  **是Yes** |
|  | **根據客戶的認知，客戶或客戶的集團是否或計劃在受制裁國家經營業務(受制裁國家名單由反洗黑錢部門提供)?****To the best of the Customer’s knowledge, whether the Customer or the Customer’s group intends to or has operated business in the sanctioned countries (the list of sanctioned countries is available at the Anti Money Laundering Department)?** | [ ]  **否 No**[ ]  **是Yes** |
|  | 客戶是否因稅務問題在任何國家/地區被起訴、調查或控告任何罪行或被罰款 Does the Customer have been Prosecuted, Investigated, or Charged For or With Any Offense or Penalty In Relation to Taxation In Any County/Territory?若曾涉及上述情事☑ 是，請勾選客戶是否已提供本行所有稅務問題之情況與結果? Does the Customer have provided the bank with the Circumstances and Outcome of each Tax Matter If The Customer has been involved in the above-mentioned situations☑ Yes? | [ ]  否 No[ ]  是Yes[ ]  否 No[ ]  是Yes |

# **共同申報準則 Common Reporting Standard**

|  |
| --- |
| **自我證明表格 Self-Certification Form** |
| **填寫本表格前，請先詳閱以下指示。Please read these instruction before completing the form.** **根據經濟合作與發展組織(以下簡稱OECD)共同申報準則(Common Reporting Standard/以下簡稱CRS)的規定，要求華南商業銀行股份有限公司香港分行(以下簡稱本行)收集並匯報帳戶持有人的稅務管轄區。各稅務管轄區對稅務居民定義不同，您可參閱OECD網站中各稅務管轄區所提供的說明。原則上居住之國家/管轄區為您之稅務居留地，如有特殊情形，您之稅務管轄區將不只一處。即便您已就美國政府<<外國帳戶稅務合規法案>>（簡稱「FATCA」）提供所需之資料，您仍可能需就CRS提供額外資料，因為兩者為獨立之規範。有關稅務管轄區詳情，請諮詢您的稅務顧問或參閱OECD所提供的說明。身為一家金融機構，本行不得提供稅務意見。Regulations based on the OECD Common Reporting Standard (“CRS”) require HUA NAN BANK HONG KONG BRANCH to collect and report certain information about an account holder’s tax residence. Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the OECD automatic exchange of information portal. In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). Even if have already provided information in relation to the United States Government’s Foreign Account Tax Compliance Act (FATCA), you may still need to provide additional information for the CRS as this is a separate regulation. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal. As a financial institution, we are not allowed to give tax advice.** **若您之稅務管轄區為香港以外國家，本行將依法匯報本表所載資料及您帳戶之財務帳戶資料給香港稅務局，香港稅務局將依與各稅務管轄區所簽訂的協議交換財務帳戶資訊。如帳戶持有人不是香港以外任何地區的稅務居民，則該帳戶持有人之資料將不會被申報至稅務局。****If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside Hong Kong, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to Hong Kong Inland Revenue Department and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information. If Hong Kong is the sole tax residence of the account holder, your financial account information will not be reported to the IRD.** |
| **重要提示Important Notes:****這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。****This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.** **如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。****An account holder should report all changes in his/her tax residency status to the reporting financial institution.****除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為申報財務機構須向稅務局申報的資料。All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.**  |
| **實體類別Entity Type** **在其中一個適當的方格內加上☑號，並提供有關資料。Tick one of the appropriate boxes and provide the relevant information** |
| **金融/財務機構****Financial Institution** | [ ]  **託管機構、存款機構或指明保險公司****Custodial Institution, Depository Institution or Specified Insurance Company**[ ]  **投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非参與稅務管****轄區的投資實體****Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity’s assets) and located in a non-participating jurisdiction**  |
| **主動非財務實體Active NFE**  | [ ]  **該非財務實體的股票經常在**(**一個具規模證劵市場）進行買賣**按一下輸入證券市場名稱。 **NFE the stock of which is regularly traded on** Click here to enter text**which is an established securities market.**[ ] 按一下輸入關係企業名稱。 **的有關連實體，該有關連實體的股票經常在（一個具規模證劵市場）進行買賣** 按一下輸入證券市場名稱。 **Related entity of** Click here to enter text **, the stock of which is regularly traded on** Click here to enter text **, which is an established securities market** [ ]  **政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體****NFE is a governmental entity, an international organization , a central bank, or an entity wholly owned by one or more of the foregoing entities**[ ]  **除上述以外的主動非財務實體 （請說明** 按一下輸入營業項目及產品。 **）****Active NFE other than the above (Please specify** Click here to enter text **)**  |
| **被動非財務實體****Passive NFE** | [ ]  **位於非参與稅務管轄區並由另一財務機構管理的投資實體Investment entity that is managed by another financial institution and located in a non-participating jurisdiction** [ ]  **不屬主動非財務實體的非財務實體NFE that is not an active NFE**  |
| **控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)Controlling Persons (Complete this part if the entity account holder is a passive NFE)** **就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.** **每名控權人須分別填寫一份「自我證明表格 – 控權人」。Complete Form「 Self-Certification Form – Controlling Person 」for each controlling person** |
| **(1)**按一下輸入文字。 | **(5)** 按一下輸入文字。 |
| **(2)** 按一下輸入文字。 | **(6)** 按一下輸入文字。 |
| **(3)** 按一下輸入文字。 | **(7)** 按一下輸入文字。 |
| **居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）****\*Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent “TIN” \***  |
| **提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 4 個）居留司法管轄區。****Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to four) jurisdictions of residence.** **如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。****If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.** **如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在稅務管轄區。** **If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.** **如沒有提供稅務編號，必須填寫合適的理由：****If a TIN is unavailable, provide the appropriate reason A, B or C:** **理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。** **Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.** **理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，帳戶持有人須解釋不能取得稅務編號的原因。** **Reason B–The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.** **理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。****Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.**  |
| **居留司法管轄區****Jurisdiction of Residence** | **稅務編號****TIN**  | **如沒有提供稅務編號，填寫理由 A、B 或 C****Enter Reason A, B or C if no TIN is available** | **如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因****Explain why the account holder is unable to obtain a TIN if you have selected Reason B** |
| **(1)** 按一下輸入文字。 | 按一下輸入文字。 | 按一下輸入文字。 | 按一下輸入文字。 |
| **(2)** 按一下輸入文字。 | 按一下輸入文字。 | 按一下輸入文字。 | 按一下輸入文字。 |
| **(3)** 按一下輸入文字。 | 按一下輸入文字。 | 按一下輸入文字。 | 按一下輸入文字。 |

|  |
| --- |
| **根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即$10,000）罰款。 It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a selfcertification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000).** |

# **自動傳送服務申請Automatic Transmission System**

**貴公司(閣下)可於下選項勾選,並留存有效之電郵地址，本行將快速安全傳送【存款月對帳單】至您指定電郵信箱,以節省您的寶貴時間。You can tick the item below and complete a valid email address. The bank will quickly and securely send the [Deposit Monthly Statement] to your designated email address.**

|  |  |  |
| --- | --- | --- |
| **下列傳送方式請擇一申請(僅能勾選一項)** **Please choose one of the following transmission methods to apply (only one can be tick)** | **收據/通知單 Receipt/Advice** | **月對帳單Statement** |
| **1** | [ ]   **電子郵件/ By E-mail Addr:**按一下輸入電子郵件。 | **E-Mail** | **E-Mail** |
| **2** | [ ]  **傳真/ By Fax****傳真號碼/收件人Fax No./Reciver:** 按一下輸入傳真號碼。 | **Fax** | **郵寄 Mailing** |
| **3** | [ ]  **收據傳真/月對帳單Fax Receipt /E-mail statement****傳真號碼/收件人Fax No./Reciver:** 按一下輸入傳真號碼。**電郵地址E-mail Address :** 按一下輸入電子郵件。 | **Fax** | **E-Mail** |
| **4** | [ ]  傳真+電子郵件/ By Fax + E-mail傳真號碼/收件人Fax No./Receipt: 按一下輸入傳真號碼。 電郵地址E-mail Address: 按一下輸入電子郵件。  | **Fax+E-Mail** | **E-Mail** |
| **5** | [ ]  **郵寄By mailing:** | **郵寄 Mailing** | **郵寄 Mailing** |
| **◎若客戶勾選電子郵件項目，請填寫接收SMS一次性驗証碼的手機號碼:****國碼Country code+手提電話號碼Mobile Phone No.:** 按一下輸入國碼。按一下輸入手提電話。**If "By E-mail"is ticked for the transmission methods, please provide the Mobile Phone No. (with Country/Area Code) to receive the One-Time Password (OTP) by SMS** |

**◎若客戶未勾選上述任一項目，銀行將視同客戶同意以「自動傳送服務系統」將上述文件以電子郵件方式傳送至客戶留存於本行之電子郵件信箱。If none of the above is ticked, the bank will presume that the Customer agree to use the "Automatic Delivery Service System" to send the receipt/advice/statement by e-mail through the Customer‘s e-mail saved in the bank.**

**◎若客戶勾選郵寄方式接收上述文件，將依本行「銀行服務收費詳情」收取費用。If "By mailing"is ticked for the transmission methods, you will be charged according to "Bank Service Charge Details".**

# **相關(或獲授權)人士詳情Particulars of Relevant (or Authorized) Person**

**關於客戶的董事、股東、合夥人、受託人、實益擁有人(統稱「相關人士」)及客戶的獲授權人士之詳情，請填寫相關(或獲授權)人士資料表。For particulars of director(s), shareholder(s), partner(s), trustee(s), beneficial owner(s), of the Customer (collectively “Relevant Person”) and the Customer’s Authorized Person(s), please complete the Relevant (or Authorized) Person Information Sheet.**

# **存款保障計劃Deposit Protection Scheme**

**根據香港存款保障計劃(下稱「存款保障計劃」)，香港存款保障委員會將向受影響的每名存款人發放最高五十萬港元的補償。**

**In accordance with the Deposit Protection Scheme of Hong Kong (the “Scheme”), the Hong Kong Deposit Protection Board will compensate affected depositors for their deposits, up to HK$500,000 per depositor.**

**銀行接受的下列存款，是符合存款保障計劃保障資格的存款：-
The following types of deposit maintained with the Bank are deposits qualified for protection by the Deposit Protection Scheme:-**

1. **活期存款Savings Accounts;**
2. **支票(往來)存款Current Accounts;**
3. **五年期以下的定期存款Time deposit with maturity less than 5 years;**
4. **擔保抵押之存款Secured/Pledged deposits.**

**以下之存款不受存款保障計劃保障：-**

**The following types of deposit are not protected by the Scheme:-**

1. **存款以外的金融產品(例如：債券、股票、外幣掛鈎和股票掛鈎產品)；**

**Financial products other than deposits(such as bonds, stocks, foreign currency linked and equity linked products);**

1. **年期超過五年的定期存款；**

**time deposits longer than 5 years in maturity;**

1. **不記名形式的存款(如不記名存款證) ；**

**bearer form deposits(such as bearer certificates of deposit);**

1. **離岸存款；**

**offshore deposits;**

1. **豁除人士持有的存款。**

**deposits held by an excluded person.**

**以印章代替親筆簽署彌償書Indemnity for use of Chop in lieu of Manual Signature**

1. **鑑於銀行接受執行或遵從載有客戶的獲授權人員之印章代替親筆簽署(下稱 “獲授權印章”)的指示 (下稱 “指示”)，客戶在此不可撤銷地及無條件地與銀行同意及承諾如下：-**

**In consideration of the Bank**’**s agreeing to accept, follow or act on any such of the instruction (the “Instruction”) of the Customer bearing a chop or chops of the Authorized Person(s) of the Customer (the “Authorized Chop”) in lieu of manual signature, the Customer hereby irrevocably and unconditionally agrees with and undertakes to the Bank that:-**

1. **針對關乎無論任何性質的帳戶及/或服務的任何轉帳、付款、提款、交易或運作而言，單憑獲授權印章本身即構成足夠及終局性的授權，並對客戶具有終局性的約束力；**

**the Authorized Chop by itself shall be sufficient and conclusive authority for any transfer, payment, withdrawal, transaction or operation of whatever nature in respect of the account and/or service and shall be conclusively binding on the Customer;**

1. **銀行有絕對的權利可以拒絕接受任何指示，倘若該等指示不遵從或遵守任何當時有效的銀行為規管帳戶及/或服務而訂立的條款及細則(下稱 “條款及細則”)；**

**the Bank has absolute right to refuse to accept any of the Instruction in the event that any of the Bank’s terms and conditions (the "Terms and Conditions") governing the relevant account and/or service for the time being in force shall not be complied with or otherwise observed;**

1. **倘若條款及細則與本彌償書的條文有任何差異，以本彌償書的條文為準；**

**if there is any difference between the Terms and Conditions and the provisions of this Indemnity, the provisions of this Indemnity shall prevail;**

1. **銀行毋須確認：**

**the Bank is not obliged to verify whether:**

**(i) 獲授權印章是否由客戶蓋上；**

**the Authorized Chop is affixed by the Customer;**

**(ii) 獲授權印章是否真實或偽造；**

 **the Authorized Chop is genuine or forged;**

**(iii) 獲授權印章的蓋印是否已獲客戶的授權或已為客戶所知悉；或**

 **the Authorized Chop has been affixed with the Customer’s authority or knowledge; or**

**(iv) 任何指引是否已獲客戶妥為授權。**

 **any of the Instruction has been duly authorized by the Customer.**

1. **銀行對於以蓋印獲授權印章形式代替客戶的親筆簽署形式運作帳戶或使用服務所涉及、導致或引起的所有風險及損失將不承擔任何責任；**

**the Bank shall accept no responsibility for all risks and losses of whatever nature in connection or associated with or caused or occasioned by operating the account or using the service by means of the Authorized Chop in lieu of the Customer’s manual signature;**

1. **倘若在任何時候，獲授權印章遺失或被竊，或客戶知悉或有合理的理由相信或懷疑獲授權印章可能於未獲客戶授權的情況下被使用，則客戶將立刻以書面通知銀行有關的事宜。若銀行在收到前述通知之後，但在有合理機會作出回應之前，執行任何指示，則銀行毋須對之承擔責任；**

**the Customer shall promptly notify the Bank in writing if at any time the Authorized Chop shall be lost or stolen or the Customer shall have notice or reasonable ground to believe or to suspect that the same may be used or stamped without the Customer’s authority. The Bank shall not be responsible for following the Instruction provided always that it is followed before the Bank has had a reasonable opportunity to respond subsequent to the fact that such notice has reached the Bank;**

1. **銀行對接受及遵從指示而引起客戶的任何損失或損害，毋須承擔任何責任；**

**the Bank will not be liable for any loss or damage whatsoever suffered or sustained by the Customer arising out of the Bank’s accepting and following the Instruction;**

1. **倘若因為銀行接受指示及按該等指示行事，而蒙受或招致任何訴訟、法律行動、訟案、損失、損害、索償、支出(法律上或其他) 、利息、成本及費用，則客戶保證銀行不致蒙受損害或損失並對銀行作出全面彌償。**

**the Customer shall hold the Bank harmless and keep the Bank fully indemnified against all actions, proceedings, suits, losses, damages, claims, expenses (legal and otherwise), interests, costs and charges whatsoever suffered or incurred by the Bank howsoever arising out of the Bank’s acceptance of or acting upon the Instruction.**

1. **客戶授權銀行在任何客戶於銀行的帳戶中借記款項，以解除客戶按本彌償書對銀行的責任。**

**The Bank is authorized to debit any of the Customer’s account with the Bank in discharge of the Customer’s liability to the Bank hereunder.**

1. **當客戶多於一個人時，本彌償書的陳述、保證、承諾及彌償均被視作由所有客戶共同及分別地作出。**

**Where the Customer is more than one person, the representations, warranties, undertakings and indemnities given herein shall be deemed to be given by all the Customers jointly and severally.**

1. **本彌償書在各方面均受香港法律管轄並依據香港法律解釋。客戶不可撤銷地接受香港法院的非專屬司法管轄權管轄，但銀行可在銀行選擇的其他有司法管轄權的法院強制執行本彌償書。**

**This Indemnity shall be governed by and construed in all respects in accordance with Hong Kong law. The Customer irrevocably submits to the non-exclusive jurisdiction of the Hong Kong Courts but the Bank shall be entitled to enforce this Indemnity in courts of other competent jurisdiction as the Bank may select.**

# **第三方指令Third Party Mandate**

1. **定義及釋義DEFINITIONS AND INTERPRETATIONS**
	1. **在本指令中，除非在上下文另有規定，否則下列的詞語具下列意思：-**

 **In this Mandate, the following words and expressions shall, except where the context otherwise requires, have the following meanings:**

 **「帳戶」指以客戶名稱於銀行設立的帳戶。**

**Account” means the account(s) in the name of the Customer established with the Bank.**

**「適用法律」指不時適用於帳戶之任何相關監管機構或主管當局之任何法律、規則及規例。**

**Applicable Laws” means all laws, rules, and regulations promulgated by the regulatory or competent authority applicable to the**

**Account from time to time.**

**「獲授權人士」指根據本指令的條款及細則由客戶授權之人士就帳戶向銀行發出指示或指令，及為客戶操作帳戶，其詳細資料載於本指令附錄。**

**Authorized Person” means the person authorized by the Customer to give instructions or directions to the Bank with respect to the**

**Account and operate the Account for and on behalf of the Customer pursuant to the terms and conditions of this Mandate and whose**

**particulars are set out in the Schedule hereto.**

**「銀行」指華南商業銀行股份有限公司，乃於中華民國成立的有限責任公司，及其繼承人及受讓人。**

**Bank” means Hua Nan Commercial Bank, Ltd., a banking corporation incorporated in Taiwan with limited liability and its successors**

**or assigns.**

**「香港」指中華人民共和國香港特別行政區。**

**Hong Kong” means the Hong Kong Special Administrative Region of the People’s Republic of China.**

* 1. **在本指令中所指的條例，均被視作包括不時修訂、延展、重新制定的法例，前提是所指的條例並不會擴展或增加本指令任何一方的責任。**

**References in this Mandate to any enactment shall be deemed to include references to such enactment as amended, extended or re-enacted from time to time, provided that no such deemed references shall have effect to extend or increase the liability of any party hereunder.**

* 1. **在本指令中，除非上下文有不同的要求，否則表示單數之詞語同時亦含複數之意思，反之亦然。表示其單一性的詞語包括任何性別之意思。**

**References to the singular shall include references to the plural and vice versa and references to genders shall include the other and the neutral genders as the context requires.**

* 1. **本指令之標題僅為方便閱讀而添加，並不影響本指令的解釋及無法律效力。**

**The clause headings in this Mandate and schedules are for convenience only and shall not affect the interpretation or construction of this Mandate.**

* 1. **除非另有說明，在本指令中，凡提及條款、段落、分條款及附表，即指本指令內的條款、段落、分條款及附表。**

**References to clauses, paragraphs, sub-clauses and schedules are, except where the context otherwise requires, to be construed respectively as references to clauses, paragraphs, sub-clauses and schedules to this Mandate.**

* 1. **在本指令中所指的「本指令」或其他文件，除非另有規定，均視作包括對本指令或其他文件的不時加以任何方式修訂、延展、代替、取代及/或補充的版本及就本指令及/或其他文件不時進行修訂、延展、代替、取代及/或補充的文件。**

**References in this Mandate to “this Mandate” or any other documents shall, except otherwise expressly provided, include reference to this Mandate or such other document as amended, extended, novated, replaced and/or supplemented in any manner from time to time and/or any document which amends, extends, novates, replaces and/or supplements this Mandate or any such other document.**

1. **銀行的權限THE BANK’S AUTHORITY**
	1. **客戶指示銀行，直至及除非銀行實際收到客戶進一步相反的書面指示及儘管客戶可與此同時親自行使與帳戶有關的任何權利及權力，包括但不限於就帳戶下或與帳戶有關的所有事項給予指示或指令，銀行將根據以下的條款及細則待及視獲授權人士為擁有全權授權為客戶、代客戶及以客戶的名義操作帳戶。**

**The Customer hereby instructs the Bank that, until and unless the Bank has actually received further written instructions from the**

**Customer to the contrary and notwithstanding that the Customer may in the meantime personally exercise any of the rights and**

**powers with respect to the Account including, without limitation, giving instruction or direction in relation to all matters under or in**

**connection with the Account, the Bank will treat and consider the Authorized Person as fully empowered and authorized for the**

**Customer and on the Customer’s behalf and in the Customer’s name(s) to operate the Account on the terms and conditions as set**

**out below.**

1. **獲授權人士的權力POWERS OF THE AUTHORIZED PERSON**
	1. **獲授權人士可：The Authorized Person may:**
2. **在此期間不時地操作於銀行設立的任何帳戶，以及發出、簽署、承兌及背書的向銀行提取、提出或支付之支票、銀票、付款指令（包括支付予獲授權人士或持票人的支票、銀票及付款指令）、匯票及承付票（包括由獲授權人士或代表獲授權人士簽署、承兌或發出的匯票及承付票），不論銀行帳戶的結餘是貸方或借方，或因此而引起透支，但本條文並不損害銀行拒絕允許客戶透支或客戶的透支超越不時訂明的透支額度的權利；**

**operate any of the Account with the Bank for the time being and from time to time and to draw, sign, accept and endorse cheques,**

**drafts, orders to pay (including cheques, drafts and orders to pay to the Authorized Person’s own order or to bearer), bills of exchange and promissory notes (including bills of exchange and promissory notes signed, accepted or made by the Authorized Person or on the Authorized Person’s behalf), drawn upon, or addressed to, or made payable with, the Bank whether any such Account is for the time being in credit or in debit or may in consequence become overdrawn or otherwise but without prejudice to the Bank’s right to refuse to allow any overdraft or increase of overdraft beyond any specified overdraft limit from time to time;**

1. **就匯款，包括電匯以及就任何客戶應付及處理款項的方式（不論是否定期），向銀行發出，更改及撤銷指示；**

**give, vary and revoke instructions to the Bank regarding remittances, including telegraphic transfers, and as to the manner in which any money payable by or to  the Customer, whether periodically or otherwise, is to be paid or dealt with;**

1. **就證券或外幣買賣或其他交易，向銀行發出，更改及撤銷指示，包括對獲授權人士有利的指示，及要求發出任何信用證、擔保、彌償、反彌償，或發出，更改及撤銷有關任何信用證、擔保、彌償、反彌償的指示，包括任何對獲授權人士有利或針對獲授權人士的義務或就帳戶的任何其他交易的任何信用證、擔保、彌償、反彌償，不論銀行帳戶的結餘是貸方或借方，或因此而引起透支，但此條文並不損害銀行拒絕允許客戶透支或客戶的透支超越不時訂明的透支額度的權利；**

**give, vary and revoke instructions to the Bank with regard to the purchase or sale of, or other dealings in, securities or any foreign**

**currency, including any instructions in favour or for the benefit of the Authorized Person, and to make any request for the issue of any letter of credit, guarantee, indemnity or counter-indemnity or to give, vary or revoke instructions in relation to any letter of credit, guarantee, indemnity or counter-indemnity, including any letter of credit, guarantee, indemnity or counter-indemnity in favour of the Authorized Person or in respect of any of the Authorized Person’s obligations, or with regard to any other transactions of any kind or with regard to any of  the Account, in every case whether any such Account is in credit or in debit or may in consequence become overdrawn or otherwise but without prejudice to the Bank’s right to refuse to allow any overdraft or increase of overdraft beyond any specified overdraft limit from time to time;**

1. **提取帳戶内任何或全部的存款及發出、更改及撤銷指示，包括對獲授權人士有利的指示，以交付、處理或處置不時因帳戶而由銀行管有的(不論是由於抵押、安全保管或其他方式而管有的)任何證券、契據、文書或其他財產，包括保險箱及其盛載物；**

**withdraw any or all money in any of  the Account and to give, vary or revoke instructions to deliver, dispose of, or deal with, any**

**securities, deeds or documents or other property, including security boxes and their contents, whatsoever from time to time in the Bank’s possession for any of  the Account whether by way of security or safe custody or otherwise, including any instructions in favour or for the benefit of the Authorized Person; and**

1. **要求任何獲授權人士合理需要有關帳戶的任何資料，及按需要收取帳戶結單，以及在一般銀行與客戶之間的交易下，以有效的意圖及目的行事，如同客戶能夠親自處理上述的事項及交易及於業務過程中可能出現的其他事項及交易一樣。對銀行而言，所有上述已構成充分的權力。**

 **request any information regarding any of  the Account as the Authorized Person may reasonably require and to receive  the Customer’s statements of account on demand, and generally in all dealings and transactions between the Customer and the Bank to act as fully and effectually for all intents and purposes as  the Customer could if personally present and acting in the matters and transactions stated above, and also in such other matters and transactions as may arise in the course of business for all of which this shall be a sufficient authority to the Bank.**

1. **死亡對指令的影響EFFECT OF DEATH ON AUTHORITY**
	1. **倘若本指令未於客戶在生期間被撤銷，當銀行收到客戶已去世的書面通知（或客戶的任何其中一位去世，如適 用），則對客戶 的遺產代理人具有約束力。**

**This Mandate, if not revoked as stated above in  the Customer’s lifetime(s), shall be binding on  the Customer’s personal representatives when the Bank receives written notice of  the Customer’s death(s) (or the death of anyone of the Customer, if applicable).**

1. **銀行毋須調查NO INQUIRY BY THE BANK**

* 1. **客戶確認銀行沒有義務確定或調查行使以上權力的目的。**

**The Customer confirms that the Bank is to be under no obligation to ascertain or to inquire into the purpose for which any of the above powers is exercised.**

1. **違法行爲ILLEGALITY**
	1. **倘若銀行認爲遵守本指令會導致或可能導致銀行違反任何本地或國外的法律責任時，銀行沒有義務遵守本指令或客戶的任何其他指示或要求。**

 **The Bank is not obligated to comply with this Mandate or any other instruction or request from the Customer when the Bank considers that to do so would or may cause the Bank to act in contravention of any domestic or foreign legal duties.**

1. **適用的條款及細則APPLICATION OF TERMS AND CONDITIONS**
	1. **「銀行服務條款及細則」内的條款及細則亦適用於本指令。**

**The terms and conditions set out in the “Terms and Conditions of Banking Service” shall, mutatis mutandis, apply to this Mandate.**

1. **彌償INDEMNITY**
	1. **就銀行遵守本指令全部或任何部份而言，客戶就此承諾對銀行就按照本指令行事或與按照本指令行事有關而蒙受或產生的任何損失、要求、法律訴訟、程序、費用（包括但不限於法律費用）、收費或開支作出彌償及持續作出彌償，並免除銀行因按照本指令行事而導致客戶蒙受的損失或損害的全部責任。**

**In consideration of the Bank’s compliance with this Mandate in whole or in part, the Customer hereby undertakes to indemnify and keep indemnified the Bank from and against any loss, demand, action, proceedings, costs (including but not limited to legal costs), charge or expense the Bank may suffer or sustain arising out of or in connection with the Bank’s compliance as aforesaid** **and to absolve the Bank from all liability for loss or damage the Customer may sustain from the Bank’s acting on this Mandate.**

1. **第三方權利THIRD PARTY RIGHTS**
	1. **於不損害第9.3條條款的情況下，當一名人士並非本指令的當事人，則其於《合約(第三者權利)條例》(香港法律第623章)(下稱「第三者條例」)項下並無權力執行或享有本指令任何條文的利益。**

**Without prejudice to clause 9.3, a person who is not a party to this Mandate has no right under the Contracts (Rights of Third Parties) Ordinance (Cap. 623 of the Laws of Hong Kong) (the “Third Parties Ordinance”) to enforce or to enjoy the benefit of any term of this Mandate.**

* 1. **儘管本指令的任何條文，於任何時候撤銷或修訂本指令毋須取得非本指令的當事人之同意。**

**Notwithstanding any provision contained herein, the consent of any person who is not a party to this Mandate is not required to rescind or vary this Mandate at any time.**

* 1. **所有銀行的董事、主管人員、員工，附屬機構或代理可以，憑藉第三者條例，依賴明確賦予該等人士的權利或權益之任何本指令項下的條文(包括但不限於，任何彌償、限制或責任的豁免)。**

**Any director, officer, employee, affiliate or agent of the Bank may, by virtue of the Third Parties Ordinance, rely on any provision herein (including without limitation any indemnity, limitation or exclusion of liability) which expressly confers rights or benefits on that person.**

1. **適用法律GOVERNING LAW**

**10.1本指令在各方面均受香港特別行政區的法律所管轄、解釋及行使，並不可撤回地接受香港特別行政區法院的 非專屬司法管轄權所管轄。**

**This Mandate shall be governed by and construed in all respects in accordance with the laws of Hong Kong and the parties hereto irrevocably submit to the non-exclusive jurisdiction of the Hong Kong courts.**

**10.2本指令包含英文與中文版本。倘若英文與中文版本間存在任何差異，則以英文版本為準。**

**Where there is a discrepancy between the English version and the Chinese version, the English version of this Mandate shall prevail.**

|  |
| --- |
| **Schedule 附錄** |
| **Name of Authorized Person and Specimen(s)獲授權人士名稱** |
| **1.** | **全名Full Name:** | 按一下輸入名稱。 | **3.** | **全名Full Name:** | 按一下輸入名稱。 |
| **身份證或護照編號****ID / Passport No. :** | 按一下輸入編號。 | **身份證或護照編號****ID / Passport No. :** | 按一下輸入編號。 |
| **2.** | **全名Full Name:** | 按一下輸入名稱。 | **4** | **全名Full Name:** | 按一下輸入名稱。 |
| **身份證或護照編號****ID / Passport No. :** | 按一下輸入編號。 | **身份證或護照編號****ID / Passport No. :** | 按一下輸入編號。 |

**◎獲授權人士簽字/獲授權印章式樣之簽署安排載列於本開戶書之印鑑卡。**

**The signature arrangement of the authorized person‘s signature/authorized chop is set out in the Signature Card of the account opening form.**

# **董事局決議案認證摘要Certified Extracts of Board Resolutions(公司適用applicable to Company)**

**公司名稱COMPANY NAME:：**輸入公司名。 **(下稱「本公司」(the “Company”)**

**本公司於** 輸入西元年 **年** 輸入月份 **月\_** 輸入日期 **日 及在** 按一下輸入地點 **(地點) 合法召開董事局會議。**

**Directors’ Meeting of the Company duly convened and held at** Click here to enter text  **(address) on** Click here to enter text **(date).**

**吾等，下列客戶聲明及簽署處之簽署人，現認證以下是本公司真實及正確的董事局會議記錄摘要及於董事局會議合法通過的決議的摘要(已存檔於本公司的會議記錄冊上)，會議是合法召開且有會議法定人數出席，並於上述日期及地點召開。**

**We, the following" Customer‘s Declaration and signatures" signed, hereby certify that the following is a true and correct extracts of the minutes and resolutions of the directors of the Company (duly kept in the minutes book of the Company) duly passed at a Directors’ Meeting of the Company duly convened and held on the date and in the place as above at which a quorum of directors were present throughout.**

**茲一致決議如下：-**

**IT WAS UNANIMOUSLY RESOLVED THAT: -**

1. **銀行服務**

**GENERAL BANKING SERVICE**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| [ ]  | **1.1 同意及核准以本公司的名義於華南商業銀行股份有限公司，香港分行(下稱「銀行」)開立下列帳戶(下稱「該銀行帳戶」)：The following account(s) in the name of the Company (the “Bank Account(s)”) be opened with Hua Nan Bank Ltd., Hong Kong Branch (the “Bank”):**

|  |  |
| --- | --- |
| [ ]  | **港幣往來戶 HKD Current Account** |
| [ ]  | **港幣儲蓄戶 HKD Savings Account** |
| [ ]  | **美金往來戶 USD Current Account** |
| [ ]  | **美金儲蓄戶 USD Savings Account** |
| [ ]  | **其他Others： (請註明Please specify)** 按一下輸入文字。 |

 |
| [ ]  | * 1. **核准及接受下列於本會議上提交討論的文件及其條款及細則：-**

**The following documents and their respective terms and conditions as tabled for discussion, be and are hereby approved and accepted: -**

|  |  |
| --- | --- |
| [ ]  | **《開戶書(公司)》“Account Opening Form (Company)”** |
| [ ]  | **《銀行服務條款及細則》“Terms and Conditions of Banking Service”** |
| [ ]  | **其他Others： (請註明Please specify)** 按一下輸入文字 |

 |

|  |
| --- |
| [ ]  **1.3 授權下列人士That the following authorized Person(s)**1. 按一下輸入名稱
2. 按一下輸入名稱
3. 按一下輸入名稱

**留存於開戶書上的印鑑卡的授權簽字和簽字人的私人印章（如果有）式樣。 獲授權人員根據下述第1.4條決議註明的簽署安排，操作該銀行帳帳戶及就一切有關該銀行帳戶的事宜發出指示：：** **whose authorized signature and the signatory’s private seal (if applicable) in the form of the seal card on the** **account opening form. The authorized person operates the Bank Account(s) and give instructions in respect of** **all matters of the Bank Account(s) in accordance with signing arrangement specified in resolution 1.4 below**[ ]  **1.4 獲授權人士的簽署安排為：-****The signing arrangement(s) of the Authorized Person(s) is/are: -****任何獲授權人士的**按一下輸入文字 **位共同簽署或蓋上載有其名字的私章(如適用)便為有效。其簽署安排依華南商業銀行股份有限公司香港分行開戶書”印鑑卡”列明之獲授權人員的獲授權簽字/獲授權印章式樣** **Any** Click here to enter text **of the Authorized Person(s) signing jointly or the fixing of his/her/their personal seals shall be valid. Signatory(ies) acting in accordance with the signing instruction as set out in the "Signature card" of the account opening form of Hua Nan Commercial Bank,Ltd. Hong Kong Branch** |

# **聲明及簽署Customer’s Declaration and Signatures**

1. **本公司已細閱及完全明白本開戶書之內容，本公司確認本開戶書所載資料及資訊均屬真實、準確、最新及完整的資料。本公司進一步承諾，如本開戶書所載之任何該等資料及資訊有任何更改，本公司會即時以銀行規定之表格通知銀行。**

**We have read and fully understood the contents of this Account Opening Form. We confirm that information and data given by us in this Account Opening Form is true, accurate, update and complete. We further undertake to notify the Bank forthwith in the form prescribed by the Bank in case of any change of any such information and data.**

1. **本公司要求銀行提供一份由本公司及銀行簽署之本開戶表格連同其他開戶文件的副本，並於開戶後以平郵、傳真或電郵寄出。**

**We request that a copy of this Account Opening Form together with other account opening documents signed by us and the Bank be provided to us, by ordinary post, fax or email.**

1. **本公司確認及聲明，本公司已獲得《銀行服務條款及細則》，且本公司已詳細閱讀其條文，並同意受其約束。We acknowledge and declare that a copy of the “Terms and Conditions of Banking Service” has been provided to us and we had carefully read and agreed to be bound by the same.**
2. **本公司確認及明白，除非上下文另有規定，本開戶書採納《銀行服務條款及細則》的定義詞語。We acknowledge and understand that the defined terms in the “Terms and Conditions of Banking Service” are adopted in this Account Opening Form unless the context otherwise requires.**
3. **就上述文件及本開戶書，本公司已被邀請提問及於簽署本開戶書及相關文件前尋求獨立及專業意見。本公司謹此確認本公司已細閱及完全明白上述文件及本開戶書之內容。**

**We have been invited to ask questions and seek independent and professional advice on the above documents and this Account Opening Form before signing this Account Opening Form and the incidental documents. We hereby confirm that we have read and fully understood the contents of the abovementioned documents and this Account Opening Form.**

1. **本開戶書之中英文版本如有歧異，應以英文版本為準。**

**The English version of this Account Opening Form shall prevail in case of any discrepancy between the English and Chinese versions.**

1. **(適用於非美國公民) 本公司確認及聲明如本公司或獲授權人士(如有)此後擁有美國國籍或擁有美國永久居留權，本公司會即時以書面通知銀行。本公司進一步確認及明白，銀行並不對任何本公司或獲授權人士(如有)因疏忽或蓄意不通知銀行最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知銀行上述事項而招致銀行的所有損失或損害承擔不可推卸的賠償責任。**

**(Applicable to non US Person) We acknowledge and declare that we and our Authorized Person(s) (if any) shall notify the Bank in writing forthwith as and when we and our Authorized Person(s) hold US citizenship or permanent right of abode. We further acknowledge and understand that the Bank shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the updated information to the Bank by us and our Authorized Person(s) (if any) and we and our Authorized Person(s) (if any) have the compelling obligation to be responsible for the Bank’s losses and damages resulting from or in connection with the failure by us and our Authorized Person(s) to notify the Bank as aforesaid.**

1. **本公司明白、確認及同意，如有需要，其董事、股東、合夥人、受託人、實益擁有人及獲授權人士之個人資料及資訊及交易紀錄或須披露予其他司法管轄區的主管當局，包括但不限於台灣及美國主管當局。**

**We understand, acknowledge and agree that, where the circumstances warrant, the personal data and information of the director(s), shareholder(s), partner(s), trustee(s), beneficial owner(s) and Authorized Person(s) and the transaction record(s) may be disclosed to the competent authority of other jurisdictions including, without limitation, the competent authority of Taiwan and US.**

1. **本公司聲明及確認，已於開戶前告知其董事、股東、合夥人、受託人、實益擁有人及獲授權人士有關其個人資料之安排，他(們)之責任及對他(們)之影響，並已取得他(們)之同意，繼續以他(們)之資料辦理開戶申請手續。**

**We declare and acknowledge that we have notified the director(s), shareholder(s), partner(s), trustee(s), beneficial owner(s) and the Authorized Person(s) in respect of the arrangement relevant to the personal data and the responsibility as well as impact on the part of those, and that we obtained the consent of those for the purpose of proceeding with account opening process.**

1. **本公司已經細閱、明白及同意接受載列於本開戶書的以印章代替親筆簽署彌償書的條款的約束。**

**We have read, understood and agreed to be bound by the terms of the Indemnity for use of Chop in lieu of Manual Signature.**

1. **本公司已經細閱、明白及同意接受載列於本開戶書的第三方指令的條款的約束。**

**We have read, understood and agreed to be bound by the terms of the third party mandate.**

1. **本公司知悉及同意，華南銀行香港分行可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。**

**We acknowledge and agree that (a) the information contained in this form is collected and may be kept by HUA NAN BANK HONG KONG BRANCH(the “Bank”) for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).**

1. **本公司承諾，如情況有所改變，以致影響所述的公司的稅務居民身分，或引致開戶書所載的資料不正確，本公司會通知貴行，並會在情況發生改變後 30 日內，向貴行提交一份已適當更新的自我證明表格。**

**We undertake to advise the Bank of any change in circumstances which affects the tax residency status or causes the information contained herein to become incorrect, and to provide the Bank with a suitably updated self-certification form within 30 days of such change in circumstances.**

1. **本公司聲明及認證董事局決議案證摘要所填報的所有資料和聲明均屬真實、正確和完備。**

**We declare that “the minutes and resolutions of the directors of the Company (duly kept in the minutes book of the Company)” given in this form are true, correct and complete.**

1. **本人確認已獲提供一份《關於個人資料(私隱)條例致客戶的通知》(香港法例第 486 章)，並確認已明白及接受其中條款。**

**We have been provided with a Notice to Customers relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) and confirm that we understand and accept the terms and conditions set out therein.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|

|  |
| --- |
| **對保** |
|  |

**董事/主席/合夥人簽署：****Signed by Director/Chairman/Partner** |

|  |
| --- |
| **對保** |
|  |

**董事/合夥人簽署：****Signed by Director /Partner**  |
| **董事/合夥人簽署：****Signed by Director /Partner**

|  |
| --- |
| **對保** |
|  |

  | **董事/合夥人簽署：****Signed by Director /Partner**

|  |
| --- |
| **對保** |
|  |

 |

# **印鑑卡Signature Card**

|  |  |  |
| --- | --- | --- |
| **中文名稱Chinese Name:** 按一下輸入文字。 | **帳戶編號Account No.** |  |
| **英文名稱English Name:** 按一下輸入文字。 | **生效日期Effective Date:**  |
| **茲同意It is hereby agreed:-**1. **下列印鑑憑任**按一下輸入文字。 **式客戶的獲授權人員之獲授權簽字或獲授權印章 (連同客戶的公司章)有效，銀行與客戶另有同意者除外。**

**Unless otherwise agreed between the Bank and the Customer, any** Click here to enter text **of the Authorized Signature(s) or the Authorized Chop(s) of the Authorized Person(s) of the Customer below be and is/are effective. Company chop of the Customer is required.**1. **資料正確無誤，簽字人員接受開戶申請表或其他適用的條款及細則。**

**The information herein are true and correct and the signatory(ies) accept(s) the terms and conditions in the Account Opening Form or other applicable terms and conditions.**1. **以合規為目的，銀行得披露或洩露提供予銀行的個人、公司或其他機密資料予香港或海外主管機關。**

**For compliance purpose, the Bank is authorized to disclose or divulge the personal, corporate or other confidential information provided to the Bank to the Hong Kong or overseas competent authority.** |
| **客戶的獲授權簽署及/或獲授權印章(連同公司章)****Authorized Signature(s) and/or Authorized Chops** **and Company Chop of the Customer**

|  |
| --- |
| **對保** |
|  |

 |
| **Specimen(s) of Authorized Signature(s)/Authorized Chop(s) of the Authorized Person** **獲授權人員的獲授權簽字/獲授權印章式樣** |
| **(i)** | **全名Full Name:** | 按一下輸入姓名。 |

|  |
| --- |
| **對保** |
|  |

 |
|  | **身份Capacity:** | 按一下輸入文字。 |
|  | **身份證或護照編號****ID / Passport No. :** | 按一下輸入證號。 |
|  | **擁有美國國籍或美國永久留權(綠卡)U.S. citizenship or permanent right of abode(green card holder)**[ ]  **是 Yes** [ ]  **否No** |  |
| **(ii)** | **全名Full Name:** | 按一下輸入姓名。 |

|  |
| --- |
| **對保** |
|  |

 |
|  | **身份Capacity:** | 按一下輸入文字。 |
|  | **身份證或護照編號****ID / Passport No. :** | 按一下輸入證號。 |
|  | **有美國國籍或美國永久留權(綠卡)U.S. citizenship or permanent right of abode(green card holder)**[ ]  **是 Yes** [ ]  **否No** |  |
| **(iii)** | **全名Full Name:** | 按一下輸入姓名。 |

|  |
| --- |
| **對保** |
|  |

  |
|  | **身份Capacity:** | 按一下輸入文字。 |
|  | **身份證或護照編號****ID / Passport No. :** | 按一下輸入證號。 |
|  | **有美國國籍或美國永久留權(綠卡)U.S. citizenship or permanent right of abode(green card holder)**[ ]  **是 Yes** [ ]  **否No** |  |
| **(iv)** | **全名Full Name:** | 按一下輸入姓名。 |

|  |
| --- |
| **對保** |
|  |

 |
|  | **身份Capacity:** | 按一下輸入文字。 |
|  | **身份證或護照編號****ID / Passport No. :** | 按一下輸入證號。 |
|  | **有美國國籍或美國永久留權(綠卡)U.S. citizenship or permanent right of abode(green card holder)**[ ]  **是 Yes** [ ]  **否No** |  |
| **(v)** | **全名Full Name:** | 按一下輸入姓名。 |

|  |
| --- |
| **對保** |
|  |

 |
|  | **身份Capacity:** | 按一下輸入文字。 |
|  | **身份證或護照編號****ID / Passport No. :** | 按一下輸入證號。 |
|  | **有美國國籍或美國永久留權(綠卡)U.S. citizenship or permanent right of abode(green card holder)**[ ]  **是 Yes** [ ]  **否No** |  |
| **(vi)** | **全名Full Name:** | 按一下輸入姓名。 |

|  |
| --- |
| **對保** |
|  |

 |
|  | **身份Capacity:** | 按一下輸入文字。 |
|  | **身份證或護照編號****ID / Passport No. :** | 按一下輸入證號。 |
|  | **有美國國籍或美國永久留權(綠卡)U.S. citizenship or permanent right of abode(green card holder)**[ ]  **是 Yes** [ ]  **否No** |  |
| **Company Chop Specimen公司章式樣** |

1. 上市公司指公司股票可於任何公開市場交易的公司。 [↑](#footnote-ref-1)
2. Listed Company means any company with such shares capable of trade in any open market. [↑](#footnote-ref-2)
3. 倘若通訊地址的位置留空，銀行將會假設通訊地址與主要營業地址相同。但是，倘若主要營業地址的位置同樣留空，銀行將會假設通訊地址與註冊地址相同。除非另有註明，帳戶結單、支票簿(如有)及其他通訊將會寄至通訊地址。 [↑](#footnote-ref-3)
4. If the space in the Correspondence Address is empty, the Bank will presume the Correspondence Address and the Principal Place of Business are the same. However, if the space in the Principal Place of Business is also empty, the Bank will presume the Correspondence Address and the Registered Office are the same. Unless otherwise specified, account statement, cheque book (if any) and all other communications will be sent to the Correspondence Address. [↑](#footnote-ref-4)
5. 指華南商業銀行股份有限公司，香港分行 [↑](#footnote-ref-5)
6. Hua Nan Commercial Bank, Ltd., Hong Kong Branch [↑](#footnote-ref-6)
7. 此處所指之關係企業係指FATCA法規要求之聯屬公司(affiliate)，須符合與共同母公司股權連結超過50%之要件 A corporation is connected through stock ownership with a common parent and the common parent directly or indirectly possesses more than 50% of the total voting power or value of the corporation. [↑](#footnote-ref-7)
8. 具規模的證券市場一般係指政府核准設立、每年交易金額在十億美元以上之交易所；上市、上櫃及興櫃均屬之An established securities market means, for any calendar year, the annual value of shares traded on the exchange exceeds US$1 billion during each of the three calendar year immediately preceding the calendar year in which the determination is made. [↑](#footnote-ref-8)
9. “外國”特指“非美國”之意思。外國非金融法人則係指任何不是金融機構的外國法人。The term “foreign” specially means “non-U.S.” for the purposes of this self-certification. The term “non-financial foreign entity” means any foreign entity that is not a financial institution. [↑](#footnote-ref-9)
10. 10%之計算除姻親關係(in-laws)或繼子女與繼父母或類似關係(step relationship)之親屬外，應包含配偶、直系親屬與旁系親屬對該法人客戶之持股。該美國人股東毋須揭露親屬之持股比例，而是將加總的持股比例全數計入該美國人股東之持股。Family members are defined as related parties include brothers and sisters, spouse, ancestors, and lineal descendants. In-laws and step relationships are not related parties, and losses on sale or exchanges with these parties may be deducted unless the in-law or step relationship is merely acting as a nominee for a related party. Half-brothers and half-sisters are related parties. The percentage of stock owned by the foresaid related parties does not need to be disclosed, but the percentage should be aggregated with the percentage of stock owned by the specified U.S. person for the purpose of determining the total percentage of stock owned by that specified U.S. person. [↑](#footnote-ref-10)