MONEX BOOM SECURITIES (H.K.) LIMITED
寶盛證券（香港）有限公司

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BOOM
TRADE LOCALLY · INVEST GLOBALLY

ENTITY TAX RESIDENCY SELF-CERTIFICATION 機構投資者：稅務居民身分聲明書 （For Corporate Account　公司帳戶適用）	**Return FAX / SCANNED Form** **請以傳真／電郵方式交回本表格**

BOOM Account Name BOOM 帳戶名稱	BOOM Account No. BOOM 帳戶號碼

Account Holder's Information　帳戶持有人資料

1. Company Name 公司名稱

English Name 英文名稱　（Use block letters　請以正楷填寫）

Chinese Name 中文名稱　（if applicable　如適用）

2. Place of Incorporation 註冊成立地　（Country　國家）

3. Correspondence Address　通訊地址（P.O. Box not accepted　郵箱號碼恕不接受）

City & Province 城市 及 省份
Country 國家
Postal Code 郵政編號

4. Registered Office Address　公司註冊地址

City & Province 城市 及 省份
Country 國家
Postal Code 郵政編號

Tax Residence(s)　稅務居民所屬地

5. Declaration of U.S. Tax Status 美國稅務身分聲明

Is the Account Holder a U.S. Person?
帳戶持有人是否為美國人士？

☐ No 否　　☐ Yes 是

Please provide its Taxpayer Identification Number (TIN):
請提供其納稅人識別號碼：

6. Declaration of Tax Residence 稅務居民所屬地聲明

Please indicate Account Holder's country of tax residence. 請註明帳戶持有人的稅務居民所屬地。
（If it is resident in more than one country, please list out all countries of tax residence and associated TINs.）
（如所屬地超過一個國家，請註明所有所屬地及其相關的納稅人識別號碼。）

	Country of Tax Residence 稅務居民所屬地	Taxpayer Identification Number(s) (TIN)*　納稅人識別號碼*
(1)	（Country　國家）	
(2)	（Country　國家）	
(3)	（Country　國家）	

Type of Entity under FATCA classification　根據 FATCA 的機構分類

7. Please tick (✓) one of the below categories as appropriate　請剔選以下 其中一個 合適分類：

☐ a) U.S. Entity 美國機構

Please provide U.S. Taxpayer Identification Number (TIN):
請提供美國納稅人識別號碼：

☐ b) Foreign Entity 海外機構
（Please ✓one）
（請選擇一項）

　☐ i) Foreign Financial Institution (FFI) 海外金融機構

　Please provide Global Intermediary Identification Number (GIIN):
　請提供全球中介機構識別號碼：

　☐ ii) Passive Non-Financial Foreign Entity (NFFE) 非實質營運的非金融海外機構

☐ c) Others 其他

Please specify:
請註明：

Type of Entity under CRS classification　根據「共同匯報標準」的機構分類

8. **Please tick (✓) <u>one</u> of the below categories as appropriate　請剔選以下 <u>其中一個</u> 合適分類：**

☐ a) Financial Institution e.g. depository financial institution, custodial institution, insurance company etc.
金融機構，例如存款金融機構、託管機構、保險公司等

☐ b) Professionally Managed Investment Entity, tax resident in a Non-Participating Jurisdiction
專業管理投資機構，或機構的稅務居民所屬地未有參加「共同匯報標準」。

☐ c) Passive Non-Financial Entity
非實質營運的非金融機構

☐ d) Others, please specify:
其他，請列明：

Tax Residence (FATCA and CRS) Declaration
稅務居民身分（FATCA 及 CRS）聲明

I/We declare (as an authorized signatory of the Account Holder) that all the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.　本人／吾等（身為帳戶持有人的授權簽署人士）聲明盡本人／吾等所知及所信，本表格所提供的資料均為準確及完整。

I/We acknowledge and understand that the information contained in this form and any reportable account(s) may be reported to the tax authorities of the country in which this account is maintained and exchanged with tax authorities of another country/jurisdiction in which the Account Holder may be a tax resident pursuant to intergovernmental agreements to exchange financial account information.　本人／吾等確認及明白本表格所載的資料及任何所申報帳戶的資料，可能會根據關於與帳戶所在國家交換財務帳戶資訊之政府間協議申報予帳戶持有人所在國家／司法管轄區的稅務機關，並與另一個國家／司法管轄區或若干國家司法管轄區稅務機關交換。

I/We agree that any personal information collected from me/us under this form may be used, transferred and retained in the manner and for purposes set out in the "**Personal Data Privacy Supplement**" attached to the Securities Client Agreement and the Futures Client Agreement *(if applicable)* between the Account Holder and Monex Boom Securities (H.K.) Limited ("BOOM"), as amended from time to time, or otherwise attached hereto *(as applicable)*.　本人／吾等同意本表格所載由本人／吾等收集的任何個人資料，可按照帳戶持有人與寶盛證券（香港）有限公司（「BOOM」）簽訂的「證券客戶協議」及「期貨客戶協議」*（如適用）*內「**個人資料私隱附件**」現時有效及不時修改的條文或本表格隨附的其他聲明*（如適用）*所載的方式及為該聲明所載的目的而使用、轉交及保存或其他用途。

I/We undertake to advise BOOM and provide an updated self-certification form within 30 days of the occurrence of any change in circumstances which causes any of the information contained in this form to be incorrect or incomplete.　本人／吾等承諾在任何可導致本表格所載資料失實或不完整的情況變動發生後 30 日內通知 BOOM，以及提供最新的自行證明書。

By providing information under this form, I/we authorize BOOM to update the information of this BOOM account (if applicable), based on the information under this form, with immediate effective.　在本表格提供資料的同時，本人／吾等授權 BOOM，按本表格所提供的資料，更新此 BOOM 帳戶的資料（如適用）並即時生效。

Client's Signature (Please affix with company chop.) **客戶簽署**（請加蓋公司印鑑。）	**Printed Name** **正階姓名**	Date (YYYY/MM/DD) 日期 (年/月/日)

For Official Use Only　只供本行使用		
Signature Verified by　核對簽署 Date 日期	Reviewed by 核對資料 Date 日期	System Setup by　設定系統 Date 日期

* Remarks:　Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as BOOM to collect and report certain information relating to their customers' tax statuses.
* 註：　根據「共同匯報標準」（簡稱「CRS」）規定，稅務機關要求包括 BOOM 在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。

If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages.
倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。

Tax Residency Rules　稅務居民所屬地規定：http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/

Tax Identification Numbers　納稅人識別號碼 (TINs)：http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/

*** Important Terminologies　重要用語 ***

Common Reporting Standard ("the CRS")　「共同匯報標準」

It is a set of rules developed by the Organisation for Economic Co-operation and Development (OECD).　It calls on governments participating in CRS to obtain information from their financial institutions and automatically exchange that information with other jurisdictions on an annual basis.　這是由經濟合作暨發展組織（OECD）制定的一套規定。它呼籲參與 CRS 的政府從其金融機構獲得信息，並每年自動與其他司法管轄區交換該信息。

Visit the OECD website for more information　了解更多資料，請訪問 OECD 網站：http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/

Tax Residence　「稅務居民身分」

Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes).　If your tax residence is outside Hong Kong (where your BOOM account is held), we may need to give the respective tax authorities the information in this information, along with information relating to your accounts.　根據共同匯報標準，我們須要確定閣下的納稅居住地（這通常是閣下須要繳納入息稅的地方）。若閣下的稅務居民身分地在香港（持有 BOOM 帳戶的地方）以外，我們可能須要向相關稅務機關提供本表格的信息以及與閣下賬戶相關的信息。

Taxpayer Identification Number ("TIN")　「納稅人識別號碼」

It is a unique number assigned by a government to an individual or an Entity and used to identify them for tax purposes.　Some governments do not issue a TIN but might use some other number such as a social security/insurance number, citizen/personal identification/service code/number, or resident registration number.　它是由政府分配給個人或機構的編號，用於識別其稅務身份。一些政府或不會發出稅務編號，但可能會使用其他身份證號碼代替，例如社會保障／保險編號，公民／個人身份證號碼或居民登記號碼。