

To: NEW REGION SECURITIES COMPANY LIMITED

致: 恒盛證券有限公司

**Self-Certification Form for Foreign Account Tax Compliance Act (“FATCA”)**  
**(Individual / Joint Account)**

**海外賬戶稅務合規法案(“FATCA”)的客戶聲明書(個人 / 聯名賬戶)**

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.

如閣下對 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。

Client Name 客戶名稱	Account No. 賬戶號碼
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Please complete the following information, each client is required to complete a separate Self-Certification Form  
請填寫以下資料, 如屬聯名賬戶, 每名客戶均須分別填寫聲明書。

Please select only **ONE** of the following. 請從以下類別中選取其中一項

I confirm that I am **NOT** a U.S. citizen or resident in the U.S. for tax purposes.

本人確認本人就課稅目的而言**不是**美國公民及/或美國居民。

I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test) and my U.S. federal taxpayer identification number (U.S.TIN) is as follow:

本人確認本人就課稅目的而言是美國公民及/或美國居民(綠卡持有人或根據實質居留測試被定性為居民), 而本人的美國稅籍編號如下:

U.S. TIN (SSN/EIN) 美國稅籍編號 (SSN/EIN) \_\_\_\_\_

I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.

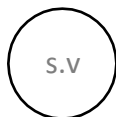
本人確認本人在美國(或美國境內)出生但不再屬於美國公民, 本人已自願放棄美國公民身份並提供美國「喪失原有國籍證明」。

**Declaration 客戶聲明**

I declare that the information provided in this certification is, to the best of my knowledge and belief, accurate and complete. I hereby consent for New Region Securities Company Limited(“NRSCL”) to disclose, report or share my information with local and overseas regulators or tax authorities where necessary to establish its tax liability in any jurisdiction. I undertake to promptly notify NRSCL in writing within 30 days of any change with respect to the foregoing information, and to provide such further information as NRSCL may require.

本人確認此聲明書內提供的資料為本人認知的範圍內均屬正確和完整。本人同意恒盛證券有限公司(“恒盛證券”)可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。若此聲明書中的

任何資料有所更改或恒盛證券要求本人提供額外資料, 本人同意於30日內提供及以書面通知恒盛證券。



Client/Company Authorized Signature  
客戶/公司授權簽署

\_\_\_\_\_ dd 日 \_\_\_\_\_ mm 月 \_\_\_\_\_ yy 年  
Date  
日期

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如就任何曆年有下列情況, 一般即屬已通過實質居留測試: (a)該名個人在該年度內在美國居留至少 31 天; 及(b)該名個人在該年度內在美國居留的天數, 與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和, 相等於或超過 183 天。