

致：華僑銀行（澳門）股份有限公司（「銀行」）

To: OCBC Bank (Macau) Limited ("the Bank")

重要提示：

- 這是由賬戶持有人向銀行提供的自我證明表格，以符合有關法律及法規，包括海外賬戶納稅法案（“FATCA”）及自動交換財務賬戶資料。銀行可把收集所得的資料交給（1）有關稅務當局（包括美國國家稅務局）；及（2）澳門財政局，而澳門財政局會將資料轉交到另一稅務管轄區的稅務當局。
- 如賬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銀行。
- 除不適用或特別註明外，必須填寫這份表格所有部份。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（*）的項目為銀行須向財政局申報的資料。
- 銀行不會及不能提供任何稅務意見。如果閣下對如何填寫此表格有任何疑問，請與閣下的稅務顧問聯絡。

Important Notes:

- This is a self-certification form provided by an account holder to the Bank for compliance with relevant tax laws and regulations, including US Foreign Account Tax Compliance Act (“FATCA”) and Automatic Exchange of Financial Account Information. The data collected may be transmitted by the Bank to (1) relevant tax authorities, including US Inland Revenue Service (“IRS”); and (2) Macau Financial Services Bureau for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to the Bank.
- 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 Bank to the Financial Services Bureau.
- The Bank does not and cannot provide any tax advice. If you have any questions about how to complete this form, please consult your tax advisor.

英文譯本僅供參考，文義如與中文有歧義，概以中文本為準。

The English translation is for reference only. In case of any discrepancy between the English version and the Chinese version, the Chinese version shall prevail.

I. 一般資料 General Information

第一部份：實體賬戶持有人身份（每名實體賬戶持有人須分別填寫一份表格）

Part 1: Identification of Entity Account Holder (Complete a separate form for each entity account holder.)

實體 / 分支機構名稱 Legal Name of Entity / Branch*: _____

商業登記號碼 Company Search Number: _____

公司註冊證書 / 登記證號碼 Certificate of Incorporation / Registration Number: _____

實體成立為法人或設立所在地的稅務管轄區 Jurisdiction of Incorporation / Organization: _____

營業地址 Business Address*: _____

通訊地址 Correspondence Address: _____

(如與上述營業地址不同 If different from the business address stated above)

II. 海外賬戶納稅法案 Foreign Account Tax Compliance Act (“FATCA”)

FATCA要求銀行識別由美國人直接或間接持有的賬戶，並向美國國家稅務局申報相關賬戶信息。為確定客戶之美國或非美國稅務身份，FATCA要求銀行收集客戶額外信息或文件。

FATCA requires the Bank to identify accounts held directly or indirectly by US Persons and to report the relevant account information to the US IRS. In order to ascertain customers' US or non-US tax status, FATCA requires the Bank to collect additional information or documentation from customers.

(II)只適用於以下實體 (II) is only applicable to the following entities

- 主動業務 Active Business
- 非牟利機構 Non-profit Organisation
- 公營單位 Public Sector Entity
- 正在清盤 / 重組的實體 Entities in Liquidation / Reorganisation
- 被動非金融海外實體 Passive Non-Financial Foreign Entities

對於其他類型的實體，請提交相應的美國國家稅務局表格。

For other types of entities, please submit respective US IRS Tax Form.

第一部份：FATCA 狀況

Part 1 : FATCA Status

請選擇以下最能符合閣下的描述

Select one of the following statements that best describe the Entity.

選項 Option	描述 Description	FATCA 狀況 FATCA Status
A1. <input type="checkbox"/>	<p>主動業務</p> <p>在對上一個公曆年或其他適當申報期，</p> <ul style="list-style-type: none"> 本實體的總收入中少於 50% 屬被動收入(如投資、股息、利息、租金或特許權使用費)；及 本實體持有的資產中，少於 50% 屬產生被動收入的資產，或屬為產生被動收入²而持有的資產。 <p>Active Business</p> <p>For the preceding calendar year or other appropriate reporting period,</p> <ul style="list-style-type: none"> Less than 50% of the Entity's gross income is passive income (such as investments, dividends, interest, rents or royalties); AND Less than 50% of the assets held by the Entity are assets that produce or are held for the production of passive income. <p>註 Note:</p> <p>被動收入一般指總收入中由以下項目組成的部分：股息（包括替代股息付款）；利息；相等於利息的收入；租金和特許權使用費（僱員積極經營業務（至少積極經營部分業務）所得的租金及特許權使用費除外）；年金；出售物業而產生被動收入的淨收益；由若干商品交易而產生的淨收益；淨外匯收益；名義本金合同的淨利潤；根據現金值保險合約而收取的款項；以及保險公司收取與保險準備金和年金合同有關的金額。</p> <p>Passive income refers generally to the portion of gross income that consists of: dividends (including substitute dividend payments); interest; income equivalent to interest; rent and royalties (other than those derived from the active conduct of a trade or business conducted, at least in part, by employees); annuities; net gains from the sale of property that gives rise to passive income; net gains from certain transaction in commodities; net foreign currency gains; net income from notional principal contracts; amounts received under cash value insurance contracts; and amounts received by an insurance company in connection with its reserves for insurance and annuity contracts.</p>	<p>主動 非金融海外實體 Active NFFE</p>
A2. <input type="checkbox"/>	<p>非牟利機構</p> <ul style="list-style-type: none"> 非牟利機構 <p>Non-profit Organisation</p> <ul style="list-style-type: none"> is a Non-Profit Organisation 	
A3. <input type="checkbox"/>	<p>公營單位</p> <ul style="list-style-type: none"> 是以下的任何一項： <ul style="list-style-type: none"> i. 非美國政府； ii. 該政府的行政區（包括州、省、縣或直轄市）； iii. 執行某些政府或其行政區的職能的公共機構； iv. 美國領土的政府； v. 國際組織； vi. 非美國的中央銀行；或 vii. 由一個或多個前述實體全資擁有的實體。 <p>Public Sector Entity</p> <ul style="list-style-type: none"> is any one of the following: <ul style="list-style-type: none"> i. Government (other than US Government); ii. A political subdivision of such government (which includes a state, province, county, or municipality); iii. A public body performing a function of such government or a political subdivision thereof; iv. A government of a U.S. Territory; v. An international organization; vi. A non-U.S. central bank of issue; or vii. An Entity wholly owned by one or more of the foregoing. 	
A4. <input type="checkbox"/>	<p>正在清盤 / 重組的實體</p> <ul style="list-style-type: none"> 在過往 5 年並非金融機構；及 正對其資產進行清盤；或出於繼續或重新展開經營金融機構業務以外的業務的意圖，而進行重組 <p>Entities in Liquidation / Reorganisation</p> <ul style="list-style-type: none"> Is not a Financial Institution in the past five years, and is in the process of liquidating its assets, or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution 	

<p>A5. <input type="checkbox"/></p>	<p>被動非金融海外實體</p> <p>在對上一個公曆年或其他適當申報期，</p> <ul style="list-style-type: none"> 本實體的總收入中多於 50% 屬被動收入(如投資、股息、利息、租金或特許權使用費)；或 本實體持有的資產中，多於 50% 屬產生被動收入的資產，或屬為產生被動收入而持有的資產。 <p>只可選擇一項：</p> <p><input type="checkbox"/> 並無 (1) 最終擁有或控制本實體，及/或 (2) 直接或間接擁有本實體至少 10% 的美國控權人。</p> <p><input type="checkbox"/> 有 (1) 最終擁有或控制本實體，及/或 (2) 直接或間接擁有本實體至少 10% 的美國控權人。請完成以下第二部份。</p> <p>Passive Non-Financial Foreign Entities</p> <p>For the preceding calendar year or other appropriate reporting period,</p> <ul style="list-style-type: none"> more than 50% of the Entity's gross income is passive income (such as investments, dividends, interest, rents or royalties); OR more than 50% of the assets held by the Entity are assets that produce or are held for the production of passive income. <p>Select one only:</p> <p><input type="checkbox"/> does not have US Controlling Person(s) who (1) ultimately own(s) or control(s) the Entity, and/or (2) directly or indirectly own(s) at least 10% of the Entity.</p> <p><input type="checkbox"/> has US Controlling Person(s) who (1) ultimately own(s) or control the Entity, and/or (2) directly or indirectly own(s) at least 10% of the Entity. Please complete Part 2 below.</p> <p>註 Note:</p> <p>美國控權人指任何特定美國人士(定義見美國財政部法規第 1.1473-1(c) 章)，並：</p> <p>(a) 如屬法團，直接或間接擁有超過 10% 該法團的股票 (以投票權或價值計算)；</p> <p>(b) 如屬合夥，直接或間接擁有超過 10% 該合夥的利潤權益或資本權益；</p> <p>(c) 如屬信託，根據美國《稅務守則》第 671 至 679 章，被視為信託任何部分的擁有人；及直接或間接地持有超過 10% 實益權益。</p> <p>US Controlling Person means any Specified US Person (as defined in Treasury Regulations Section 1.1473-1(c)) that:</p> <p>(a) in the case of corporation, owns, directly or indirectly, more than 10 percent of the stock of such corporation (by vote or value);</p> <p>(b) in the case of partnership, owns, directly or indirectly, more than 10 percent of the profits interests or capital interests in such partnership;</p> <p>(c) in the case of trust, is treated as an owner of any portion of the trust under sections 671 through 679 of US Inland Revenue Code; and holds, directly or indirectly, more than 10 percent of the beneficial interest of the trust.</p>	<p>被動 非金融海外實體 Passive NFFE</p>
<p>A6. <input type="checkbox"/></p>	<p>以上都不適用。 is none of the above.</p>	<p>請填寫有關 美國國家稅務局 W-8 表格。 Please complete the relevant US IRS Form W-8.</p>

第二部份：美國控權人(只適用於被動非金融海外實體)
Part 2 : US Controlling Person(s) (Only for Passive NFFE)

如選擇(II)第一部份 A5, 請提供**所有 (不限於 4 個)** (1) 最終擁有或控制實體，及/或 (2) 直接或間接擁有實體至少 10% 的美國控權人的詳細資料。如這份表格上的空位不夠應用，可另紙填寫。

If the Entity have selected A5 in (II) Part 1, please provide details of **all (not restricted to four)** US Controlling Person(s) who (1) ultimately own(s) or control(s) the Entity, and/or (2) directly or indirectly own(s) at least 10% of the Entity. If space provided is insufficient, continue on additional sheet(s).

<p>1 姓名 Name</p> <p>_____</p> <p>美國稅務編號 US Taxpayer Identification No. (TIN)</p> <p>_____</p> <p>住址 Residence Address</p> <p>_____</p> <p>_____</p>	<p>2 姓名 Name</p> <p>_____</p> <p>美國稅務編號 US Taxpayer Identification No. (TIN)</p> <p>_____</p> <p>住址 Residence Address</p> <p>_____</p> <p>_____</p>
<p>3 姓名 Name</p> <p>_____</p> <p>美國稅務編號 US Taxpayer Identification No. (TIN)</p> <p>_____</p> <p>住址 Residence Address</p> <p>_____</p> <p>_____</p>	<p>4 姓名 Name</p> <p>_____</p> <p>美國稅務編號 US Taxpayer Identification No. (TIN)</p> <p>_____</p> <p>住址 Residence Address</p> <p>_____</p> <p>_____</p>

第三部份：FATCA 狀況聲明及簽署
Part 3 : Declarations and Signature for FATCA Status

在下方簽署後，即代表本人/吾等(代表實體)特此：
By signing below, I/we (on behalf of the Entity) hereby:

1. 承諾：
undertake to promptly:
 - I. 如上述提供的資料有任何改變，於有關改變發生的 30 日內通知銀行；
notify the Bank if there is any change in any of the information provided above, in any event by no later than the date falling 30 calendar days from the date of change;
 - II. 就上述任何改變的資料，向銀行提供有關資料、文件或其他證據；及
provide to the Bank such other information, documents or other evidence which the Bank may require in connection with such change in any of the information provided above; and
2. 聲明、保證、同意並證明予銀行，截至這個自我證明表格的日期
represent, warrant, agree and certify to the Bank that, as at the date of this self-certification form
 - I. 上述所提供的所有資料在各方面均是真實、完整及準確；
all information provided above is true, complete and accurate in all respects;
 - II. 當上述任何證明被發現是不準確及/或在銀行沒有收到相關證明文件的情況下，銀行有權利及絕對酌情權不為本實體開立新賬戶或提供額外產品及服務。
where any of the above certifications are found to be inaccurate and/or where the Bank did not receive the relevant supporting documentation(s), the Bank has the right and absolute discretion in not opening new accounts or offering additional products and services to the Entity.

本人/吾等聲明本人/吾等有資格代表本實體填寫及簽署此自我證明表格的本部份，並提交此自我證明表格給銀行。

I/We certify that I/we have the capacity to sign this part of this self-certification form for and on behalf of the Entity and to submit it to the Bank.

(請以原存銀行之簽署安排及印鑑樣式簽署。Please sign in accordance with the signing arrangement and specimen signature registered with the Bank.)

1 簽署 Signature: _____

姓名: 按照身份證 / 護照

Name: As per ID / Passport _____

身份證 / 護照號碼:

ID / Passport No.: _____

日期: 日日/月月/年年

Date: DD/MM/YY _____

3 簽署 Signature: _____

姓名: 按照身份證 / 護照

Name: As per ID / Passport _____

身份證 / 護照號碼:

ID / Passport No.: _____

日期: 日日/月月/年年

Date: DD/MM/YY _____

2 簽署 Signature: _____

姓名: 按照身份證 / 護照

Name: As per ID / Passport _____

身份證 / 護照號碼:

ID / Passport No.: _____

日期: 日日/月月/年年

Date: DD/MM/YY _____

4 簽署 Signature: _____

姓名: 按照身份證 / 護照

Name: As per ID / Passport _____

身份證 / 護照號碼:

ID / Passport No.: _____

日期: 日日/月月/年年

Date: DD/MM/YY _____

III. 自動交換財務賬戶資料 Automatic Exchange of Financial Account Information

第一部份：實體類別 Part 1: 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.

財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 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）並位於非參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	<input type="checkbox"/> 該非財務實體的股票經常在_____（一個具規模證券市場）進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> _____的有關連實體，該有關連實體的股票經常在_____（一個具規模證券市場）進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> 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 <input type="checkbox"/> 除上述以外的主動非財務實體 Active NFE other than the above
被動 非財務實體 Passive NFE	<input type="checkbox"/> 位於非參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 <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

第二部份：控權人(如實體帳戶持有人是被動非財務實體，填寫此部) *

Part 2: 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 Self-Certification Form (Controlling Person) for each controlling person.

(1)	(3)
(2)	(4)

第三部份：居留管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」) *

Part 3: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

提供以下資料，列明(a) 賬戶持有人的居留管轄區，亦即賬戶持有人的稅務管轄區（澳門包括在內）及(b) 該居留管轄區發給賬戶持有人的稅務編號。列出所有（不限於3個）居留管轄區。如這份表格上的空位不夠應用，可另紙填寫。

如帳戶持有人在澳門特別行政區有納稅義務，稅務編號是其納稅人編號。

如果賬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的稅務管轄區。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A — 賬戶持有人的居留管轄區並沒有向其居民發出稅務編號。

理由 B — 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

理由 C — 賬戶持有人毋須提供稅務編號。居留管轄區的主管機關不需要賬戶持有人披露稅務編號。

Complete the following table indicating (a) the jurisdiction of residence (including Macau) 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 three) jurisdictions of residence. If space provided is insufficient, continue on additional sheet(s).

If the Account Holder has tax obligation in the Macao SAR, the TIN is the taxpayer number.

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.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

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.

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.

居留管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號， 請填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋賬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

第四部份：自動交換財務賬戶資料之聲明及簽署

Part 4: Declarations and Signature for Automatic Exchange of Financial Account Information

1. 本人知悉及同意，銀行可根據《稅務信息交換法律制度》有關交換財務賬戶資料的法律條文，(a) 收集本表格於 I 一般資料及 III 自動交換財務賬戶資料部份所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向澳門特別行政區政府財政局申報。從而把該等資料轉交到賬戶持有人的居留管轄區的稅務當局。
 2. 本人在此聲明，本人已按照任何適用法律和法規的規定，向與本表格所有相關的實體股權持有人、控權人及第三方作出妥當通知，並已從前述人士獲得所有必要的同意、授權和豁免，前述人士的資料可能 (i) 出現在本表格及其任何附件中；及/或 (ii) 按銀行根據本表格或其擬定原意，以任何方式予以存儲、使用及披露。
 3. 本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。
 4. 本人承諾，如情況有所改變，以致影響本表格 I. 一般資料所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知銀行，並會在情況發生改變後 30 日內，向銀行提交一份已適當更新的自我證明表格。
 5. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。
1. I acknowledge and agree that (a) the information contained in I. General Information and III. Automatic Exchange of Financial Account Information of this form is collected and may be kept by 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 Bank to the Financial Services Bureau of the Government of the Macau 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 Legal Regime for the Exchange of Tax Information.
 2. I declare that I have duly notified as required by any applicable laws and regulations, and obtained all necessary consent, authorization and waiver from, all equity holders and controlling person(s) of the Entity and third parties relating to this form and whose information may (i) appear in this self-certification and any attachments to this form; and/or (ii) in any way be stored, used and disclosed by the Bank pursuant to, or as contemplated in, this self-certification form.
 3. I certify that I am authorized to sign for the account holder of all the account(s) to which this self-certification form relates.
 4. I undertake to advise the Bank of any change in circumstances which affects the tax residency status of the entity identified in I. General Information of this form 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.
 5. I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

(請以原存銀行之簽署安排及印鑑樣式簽署。)

(Please sign in accordance with the signing arrangement and specimen signature registered with the Bank.)

簽署 Signature



S.V.

姓名：按照身份證 / 護照 Name: As per ID / Passport

身份證/護照號碼 ID / Passport No.

身分 (實體代表) Capacity (for entity)

日期 (日/月/年) Date (DD/MM/YYYY)

(例如：公司的董事或高級人員、信託的受託人等)

(e.g. director or officer of a company, trustee of a trust etc.)

For bank's use 銀行專用

CIF No.

Branch Code

CRS Status