

- 致：東方證券(香港)有限公司
To: Orient Securities (Hong Kong) Limited
- 致：東方期貨(香港)有限公司
To: Orient Futures (Hong Kong) Limited

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FATCA⁽¹⁾ Self-certification Form (Individual Clients)**自我認證表格 (個人帳戶)**

| | |
|-----------------------|---------------------|
| 客戶姓名 Client's name | 帳戶號碼 Account No. |
|-----------------------|---------------------|

Please seek advice from your tax advisor regarding any items of this form when necessary.

如有需要，請就此表格的內容諮詢你的稅務顧問

Please check "√" the boxes for each of the following questions:

請在以下合適的選項旁打勾 "√":

1. Are you a U.S. tax resident⁽²⁾? Yes 是 No 否
你是否是有納稅義務的美國居民?
2. Are you a U.S. citizen⁽³⁾? Yes 是 No 否
你是否是美國公民?
(If you hold multiple citizenships, select "Yes" if one of them is U.S. 如果你持有多國公民身份，如果其中一個是美國，請勾選「是」)

If you check "Yes" on any of the questions above, please complete the Form W-9.

如果你在以上任何一個問題旁勾選了「是」，請另外提交W-9 表格

Remark 備註:

- (1) FATCA means U.S. Foreign Account Tax Compliance Act 外國帳戶稅收遵從法
- (2) U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test to meet the substantial presence test, the Controlling Person must have been physically present in the U.S. on at least:
- 31 days during the current year, and
- 183 days# during the 3 year period that includes the current year and the 2 years immediately before.
#To satisfy the 183 days requirement, count: All of the days you were present in the current year, and One-third of the days you were present in the first year before the current year, and One-sixth of the days you were present in the second year before the current year.
美國居民包括綠卡持有者(即美國永久居民卡)以及滿足實際居留標準的個人，即該帳戶控制人必須實際在美國居住至少：
- 於本年度滿 31 天; 及
- 於過去三年內滿 183 天#(包括本年度及前兩個年度)
#滿足居住滿 183 天的計算是「居住在美國的總天數」計算：總和 = 本年度所有天數 + 去年度三分之一天數 + 前年度六分之一天數
- (3) U.S. citizens include individuals born in the U.S. territory or possession of the United States (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands).
美國公民包括出身於美國領土或美國的非憲轄管制領土(即美屬薩摩亞、關島、北馬里安納群島、波多黎各或美屬維爾京群島)

Client's signature:

客戶簽署: _____

Date:

日期: _____

If there are any discrepancies between the English and the Chinese version of this form, the English definition would prevail.
如中英文版本有任何歧義，以英文版本為準