



Certificate of US Citizenship/Tax Residency (Individuals) #

美國公民或美國稅務居民證明（個人）#

To: Anuenue Securities Limited
致：鉅亨證券有限公司
28/F, Guangdong Tours Centre, 18 Pennington Street, Causeway Bay, Hong Kong
香港銅鑼灣邊寧頓街 18 號廣旅集團大廈 28 樓

Part I - IDENTIFICATION 身份						
<input type="checkbox"/> Mr 先生	<input type="checkbox"/> Mrs 太太	<input type="checkbox"/> Ms 女士	Name of Applicant 申請人姓名	English 英文	Chinese 中文	Alias (if any) 別名 (如有)
Date (dd/mm/yyyy) and Place of Birth 出生日期 (日/月/年) 及地點		HK ID Card No. or Passport No. and Country of Issue 香港身份證號碼或護照號碼及簽發國家			Citizenship (please list all) 國籍 (請列明所有國籍)	
Residential Address (Note: Please provide proof of address) 住宅地址 (註: 請提供地址證明)					Country/國家:	
Mailing Address (if different from Residential Address) (Note: Please provide proof of address) 郵寄地址 (若有別於住宅地址) (註: 請提供地址證明)					Country/國家:	
Residential Phone No. 住宅電話號碼		Business Phone No. 公司電話號碼		Mobile Phone No. 手提電話號碼		Fax No. 傳真號碼
Email Address 電郵地址						

Part II – CERTIFICATION
第 II 部分-證明

I, _____ (Name of client) certify that:
本人, _____ (客戶姓名) 證明如下:

I am **not** a U.S. person (including U.S. citizen or U.S. tax resident)*
本人**並非**美國人 (包括美國公民或美國稅務居民)

*Please provide a completed W-8BEN form.
請提供填寫完畢的 W-8BEN 表。

OR
或

I am a U.S. person (including a U.S. Citizen or U.S. tax resident) **
本人為美國人 (包括美國公民或美國稅務居民)

**Please provide a completed W-9 form and your US Taxpayer Identification Number (TIN) _____ - _____ - _____

請提供填寫完畢的 W-9 表及閣下的美國納稅人識別號碼 (TIN): _____ - _____ - _____

You are a U.S. citizen if:

若閣下滿足下列任一條件，則閣下即為美國公民：

- you are a U.S. citizen residing within or outside of the United States; or
閣下為居住在美國境內或境外的美國公民；或
- you hold multiple citizenships any one of which is U.S. citizenship; or
閣下具有多重公民身份，其一為美國公民身份；或
- you were born in the United States (or a U.S. territory) and have not legally surrendered your U.S. citizenship.
閣下出生於美國（或美國領土），且未依法放棄閣下的美國公民身份。

You are a U.S. tax resident for U.S. federal income tax purposes if:

若閣下滿足下列任一條件，則閣下即為美國聯邦所得稅意義上的美國稅務居民：

- you are a U.S. permanent resident card (i.e., green card) holder; or
閣下是美國永久居民卡（綠卡）持有人；或
- you satisfy a substantial physical presence test generally determined based on your number of days physically present in the United States; or
閣下符合一般基於閣下於美國居留的日數計算之「實質親身居留測試」；或
- you have validly elected to be treated as a U.S. tax resident for U.S. federal income tax purposes.
閣下已有效地被視為就美國聯邦所得稅目的而言之美國稅務居民。

For more information on the definition of U.S. citizen and U.S. tax resident, please refer to the U.S. Internal Revenue Service website: www.irs.gov.

有關美國公民或美國稅務居民的定義，更多詳情請瀏覽美國國稅局網站: www.irs.gov.

If you are in any doubt, please seek independent professional advice.

如有任何疑問，請尋求獨立專業意見。

Part III – CONSENT AND CONFIRMATION REGARDING REPORTING AND WITHHOLDING

第 III 部分 – 有關申報和預扣事宜的同意和確認

- Subject to any applicable law, I hereby consent to Anuenue Securities Limited (“ASL”) or any of its affiliates to use, verify, provide or share my information with any domestic and overseas regulator, tax authority or governmental agency where necessary to ensure ASL’s compliance with any law, regulation, directive and obligation applicable to ASL as ASL may determine in its sole discretion.
在遵守任何適用法律的前提下，本人特此同意，在鉅亨證券有限公司（“鉅亨證券”）自行確定為確保鉅亨證券遵守適用於鉅亨證券的任何法律、法規、指令和義務而有必要的情况下，鉅亨證券或其任何關聯方可使用、核實、提供或分享本人的資料與任何國內外監管機構、稅務機關或政府機構。
- Where required by any domestic and overseas regulator, tax authority or governmental agency, I acknowledge and agree that ASL may withhold from my account(s) such amounts as may be necessary to comply with any applicable law, regulation, directive and obligation.
本人承認並同意，在應任何國內外監管機構、稅務機關或政府機構要求時，鉅亨證券為遵守任何適用之法律、法規、指令和義務可從本人戶口中預扣必要的金額。
- ASL and each affiliate of ASL, and any director, officer, employee, or agent of ASL or an affiliate of ASL (collectively, the “Relevant ASL Persons”) shall not be liable to you or any other person for any liabilities, losses, damages, claims, costs and/or expenses which may be suffered or reasonably incurred because of any actions taken by Relevant ASL Persons in good faith as a result of obligations imposed on a Relevant ASL Person by applicable law. You agree to fully indemnify and hold the Relevant ASL Persons harmless in respect of any liabilities, losses, damages, claims, costs and/or expenses which may be suffered or reasonably incurred by any of the Relevant ASL Persons directly or indirectly arising out of or in connection with any material misrepresentation, or incomplete or inaccurate or false information regarding the information referred to in this Certificate of US Citizenship/Tax Residency (Individuals).
若鉅亨證券及其每一關聯方以及鉅亨證券或其任何一關聯方的任何董事、高級職員、僱員或代理人（合稱“鉅亨證券有關人士”）因適用法律對其施加的義務並本著誠信而採取了任何行為，因而導致閣下或任何其他人士遭受或合理招致的任何責任、損失、損害、索償、成本和/或費用，鉅亨證券有關人士均不就對閣下或任何其他人士承擔責任。若任何鉅亨證券有關人士所遭受或合理招致的任何責任、損失、損害、索償、成本和/或費用是直接或間接由於本美國公民或美國稅務居民證明（個人）所載信息含有任何實質性誤述或含有不完整、不準確或虛假的信息或者與之相關而引起的，閣下同意就此對鉅亨證券有關人士做出充分彌償並使其免於受損。
- All the information given above is true, accurate and complete. If there is any change in connection to this Certificate, I will promptly notify ASL in writing within 30 calendar days and submit a new Certificate.
以上所有信息均真實、準確且完整。若發生與本證明相關之任何變更，本人將會在 30 個日曆日內及時書面通知鉅亨證券並提交新證明。

Signature of Client / 客戶簽名



X

Printed Name / 正楷姓名:

Date (dd/mm/yyyy) / 日期 (日/月/年):

Each account holder and joint-account holder (if Joint Account) should complete their own Certificate.

每一名帳戶持有人和每一名聯名帳戶持有人（如屬於聯名戶口）應各自填寫一份證明。

Anuenue Securities Limited

Floor 28, 18 Pennington Street, Causeway Bay, Hong Kong

p/電話 852. 2122 8800 f/傳真 852. 2122 8009 e/電郵 cs@anuenuegroup.com

www.anuesec.com