

**Individual FATCA Self-Certification**  
個人《海外帳戶稅收合規法案》自行認證

To: 致:

Going International (HK) Financial Group Limited

高盈國際(香港)金融集團有限公司

Please TICK appropriate box below.

請在以下合適的格內劃上剔號。

- |   | Yes 是                    | No 否                     |
|---|--------------------------|--------------------------|
| 1. Are you a “U.S. Resident <sup>1</sup> ”? 閣下是否“美國居民 <sup>1</sup> ”?<br>If yes, please specify TIN 如是，請提供稅務身份號碼: _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Are you a “U.S. Citizen <sup>2</sup> ”? 閣下是否“美國公民 <sup>2</sup> ”?<br>If yes, please specify TIN 如是，請提供稅務身份號碼: _____  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Are you born in the U.S. or the U.S. Territories <sup>3</sup> ?<br>閣下是否出生于美國或美國領土 <sup>3</sup> ?                     | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Do you hold a “U.S. Permanent Resident Card (Green Card)”?<br>閣下是否持有“美國永久居民身份證 (綠卡)”?                                | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered “Yes” to any of above questions, please complete Form W-9.

若閣下對以上任何問題回答“是”，請填寫 W-9 表格。

1. I hereby confirm the information provided above is true, accurate and complete.  
本人確認以上所提供的資料是真實、準確以及完整。
2. Subject to applicable local laws, I hereby consent for GOING INTERNATIONAL (HK) FINANCIAL GROUP LIMITED (“GOING FINANCIAL”) to share my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.  
在不抵觸當地適用法律的情況下，本人同意高盈國際(香港)金融集團有限公司（“高盈金融”）可向國內及海外的監管機構或稅務機構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。
3. Where required by domestic or overseas regulators or tax authorities, I consent and agree that GOING FINANCIAL may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I hereby expressly, unconditionally and irrevocably waive any claim I may have against GOING FINANCIAL in the event of loss and shall indemnify GOING FINANCIAL for any liability in connection with such withholding by GOING FINANCIAL as required by domestic or overseas regulators or tax authorities.  
因應國內或海外的監管機構或稅務機構需要，本人准許並同意高盈金融可按適用的法律、法規和指令在本人帳戶中扣留相關所須的金額款項。本人謹此明確地、無條件地及不可取消地放棄本人因高盈金融因應國內或海外的監管機構或稅務機構需要而在本人帳戶中扣留相關所須的金額款項所發生的損失的索賠權利，及本人須賠償予高盈金融因此而引起的法律責任。

4. I undertake to notify GOING FINANCIAL within 30 calendar days if there is a change in any information which I have provided to GOING FINANCIAL. I hereby understand and agree to provide GOING FINANCIAL additional documentary evidence to validate the U.S. Non-U.S. status when potential U.S. indicia or change in circumstances is noted by GOING FINANCIAL during the course of relationship.

本人保證本人提供的任何資料如有變更，本人會於三十日內通知高盈金融。本人明白並同意當業務關係中出現潛在的美國標識或環境變化，本人會向高盈金融提供額外的證明文件以證實本人的美國/非美國身份。

**Notes 備註:**

1. A U.S. resident refers to U.S. Green Cardholder (i.e. holder of U.S. Permanent Resident card) or individual who meets the substantial presence test (i.e. he/she has been physically present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three year period (including current year and the two prior years)).

美國居民指美國綠卡持有者(即美國永久居民卡持有者)或滿足實質性存在測試的個人(即於本納稅年度已在美國實際居住至少 31 天，並於三年內(包含本年度及過往兩年)已在美國實際居住至少 183 天)。

2. You will be considered a US citizen if you have dual or multiple citizenships one of which is US citizenship.

如閣下持有雙重或多國國籍而其中一個國籍是美國國籍，則閣下將被視為一名美國公民。

3. The term U.S. territory includes amongst others the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico, and the U.S. Virgin Islands.

美國領土包括北馬里安納群島聯邦，關島，波多黎各聯邦和美國維爾京群島。

**顧客簽署：**