

## 有關美國公民身份 / 稅務常駐國家的證明書(只適用於個人)

### SELF CERTIFICATION ON US CITIZENSHIP/TAX RESIDENCY STATUS (INDIVIDUALS ONLY)

第 1 部分：客戶資料 Part1: Customer's Particulars	
姓名(與香港身份證 / 護照所示相同) Name (as in HKID/Passport)	
身份證 / 護照號碼 HKID No./Passport No.	
簽發國家 Country of Issue	
地址 Address	

第 2 部分：客戶聲明書 Part2: Declaration by Customer
<p>(請剔選適用者 Please tick whichever applicable)</p> <p>就美國聯邦所得稅而言，本人陳述及保證如下： For US federal income tax purposes, I represent and warrant that:</p> <p><input type="checkbox"/> 本人並非美國人<sup>1</sup> / 稅務居民 / 綠卡持有人 I am not a US person<sup>1</sup> / Tax Resident / Green Card Holder</p> <p>若你並非美國人，請提供下列其中一項證明文件： If you are not a US person, please provide one of the following supporting documents:</p> <ul style="list-style-type: none"> <li>a) 非美國護照副本；或 copy of non-US passport; or</li> <li>b) 非由美國政府簽發的身份證明文件；及 non-US government issued identification; and</li> <li>c) 失去美國國籍的證明書副本或沒有該證明書的合理解釋（若你在美國出生） copy of certificate of loss of nationality of the US or reasonable explanation that you do not have such a certificate (if you were born in the US):</li> </ul> <p>_____</p> <p><input type="checkbox"/> 本人是美國人<sup>1</sup> / 稅務居民 / 綠卡持有人 I am not a US person<sup>1</sup> / Tax Resident / Green Card Holder</p> <p>請提供你的美國納稅人編號： Please provide your US Taxpayer Identification Number (TIN): _____</p> <p><input type="checkbox"/> 本人確認本人不再是美國人<sup>1</sup> / 稅務居民 / 綠卡持有人 I confirm that I am no longer a US person<sup>1</sup></p> <p>若你不再是美國人，請提供下列證明文件： If you are no longer a US person, please provide the following supporting documents:</p> <ul style="list-style-type: none"> <li>a) 非美國護照副本；或 copy of non-US passport; or</li> <li>b) 以下其中一項文件 one of the following: <ul style="list-style-type: none"> <li>● 失去美國國籍的證明書副本；或 copy of certificate of loss of nationality of the US; or</li> <li>● 表格 I-407; 或 I-407 Form or</li> <li>● 提供理由說明為何沒有上述證明書/表格 provide reason for not having the above certificate/form:</li> </ul> </li> </ul> <p>_____</p>

備註 Notes:

1 「美國人」的定義如下：

Definition of "US person":

- a) 美國公民或永久居民(如美國綠卡持有人或通過「逗留美國實際天數測試」而被視為美國居民的人士);  
A citizen or permanent resident of the United States (e.g. US Green Card holder or someone who meets the requirements to be considered a resident under the 'substantial presence test');
- b) 美國註冊的公司、合夥、遺產及信託;  
US corporations, partnerships, estates and trusts;
- c) 本身並非外國人(外國指非美國)(定義如美國聯邦稅法所界定者)的任何其他人士;  
Any other person that is not a foreign (i.e. non-US) person (as defined under U.S. federal tax law);

声明 Declarations

- (1) 本人證明在此文件中提供的資料為真確、完整及準確。若當中任何資料有變或變為不確,本人須立即在得悉資料有變或變為不確的日期起計 30 個曆日內通知掌上智珠有限公司 (「掌上智珠」)。本人承諾從速向「掌上智珠」提供其因應有關變更所要求的其他資料、文件或證明。

I certify that the information provided herein is true, complete and accurate. If any information herein changes or becomes inaccurate in any way, I shall immediately inform ZSDP Limited ("ZSDP") of such change or inaccuracy within 30 calendar days from the date I had knowledge of such change or inaccuracy. I undertake to promptly provide to "ZSDP" such other information, documents or evidence which "ZSDP" may require in connection with such change.

- (2) 本人同意「掌上智珠」為此證明書的目的而收集、使用、披露及處理本人的個人資料。

I consent to the collection, use, disclosure and processing of my personal data by "ZSDP" for the purposes of this Certification.

- (3) 本人同意「掌上智珠」為確定或查證此證明書的內容而向任何第三方(包括任何香港或海外政府機構)披露此證明書中的任何資料(包括提供此證明書)。

I consent to "ZSDP" disclosing any information herein (including providing this Certification) to any third party including any Hong Kong or overseas government authority for the purposes of confirming or investigating the content of this Certification.

客戶簽署 Customer's Signature	日期 Date

## 確認書 Confirmation

因應掌上智珠有限公司依據證券及期貨事務監察委員會(“證監會”)於2012年4月發出的<<打擊洗錢及恐怖分子資金籌集指引>>執行的客戶盡職審查措施, 本人於上述日期向其提供此確認書。

This confirmation was provided by the undersigned as at the date hereof for the purpose of assisting “ZSDP” to fulfill ZSDP’s “Client Due Diligence” duty pursuant to the relevant provisions in the Guideline on Anti-Money Laundering and Counter-Terrorist Financing April 2012 published by Securities and Futures Commission of Hong Kong (the “SFC”).

下方簽字人在此確認:

The undersigned hereby confirmed that:

- a) 本人/吾等並無與政界人士/恐怖份子有牽連或聯繫  
I/We are not linked to politically exposed person/terrorist;
- b) 本人/吾等的業務性質並非容易蒙受洗錢風險  
The nature of my/our business are not susceptible to money laundering risk;
- c) 本人/吾等並非源於或涉及非法活動所得  
The fund from my/our account are not arising from or related to proceeds of crime; and
- d) 本人/吾等特此同意若證監會要求或根據證監會不時發佈之任何法律、條例、操守準則、規則、規例、指引要求之時提供進一步資料  
I/We agree to provide further information if and when required by the SFC or under any laws, regulations, code of conduct, rules or guidelines published by the SFC from time to time.

\_\_\_\_\_  
客戶姓名 Client's Name: \_\_\_\_\_